

**Contact Information****Phone PIMCO Shareholder Services:**

|           |                  |
|-----------|------------------|
| Dublin    | + 353 1776 9990  |
| Hong Kong | + 852 3 556 1498 |
| Singapore | + 65 6 826 7589  |
| Toronto   | + 1 416 506 8337 |

**Email Account Opening & Registration:**

PIMCOReg@statestreet.com

**Email PIMCO Shareholder Services:**

PIMCOEMteam@statestreet.com

**Fax Numbers:**

|           |                  |
|-----------|------------------|
| Dublin    | + 353 1 562 5519 |
| Hong Kong | + 852 3001 0305  |
| Singapore | + 65 6622 4660   |
| Toronto   | + 1 669 272 1223 |

**Mail:**

PIMCO Shareholder Services  
State Street Fund Services (Ireland) Limited  
78 Sir John Rogerson's Quay,  
Dublin 2, D02 HD32, Ireland

PIMCO Shareholder Services  
C/O State Street Global Services  
Transfer Agency  
68/F, Two International Finance Centre,  
8 Finance Street, Central,  
Hong Kong

**Welcome!**

Thank you for your interest in the PIMCO Funds: Global Investors Series plc (the Company). This application form contains all the information you need to open an account with us.

**Instructions****Step 1**

**Once you have considered the Prospectus please proceed to complete and sign this application form.**

**Step 2**

Please fax or email (see left for details) the completed application form along with supporting documentation requested in Appendix A.

**Step 3**

PIMCO Shareholder Services will inform you if additional documents are required.

**Step 4**

The duly completed application form together with full anti-money laundering ("AML") due diligence documentation and other supporting documentation are required before an account can be opened and an initial subscription processed. Subscription requests will not be processed by the Administrator until an account has been opened by the Administrator and an account number has been issued to the Applicant.

Until such time as your account is fully verified, no redemption, conversion or transfer requests will be processed.

**IMPORTANT: If you are a U.S. person, please contact PIMCO Shareholder Services to request the relevant alternative application form. In addition, if you are an Irish resident, please contact PIMCO Shareholder Services for the appropriate application form supplement.**

**Note:** Defined terms in this application form shall, unless otherwise indicated, have the same meaning as in the Prospectus.

Directors: David M. Kennedy (Irl), Ryan P. Blute, Craig A. Dawson, Mangala V. Ananthanarayanan, Frances Ruane, Myles Lee.

Registered in Ireland: Company Registration Number 276928; Registered Office: 78 Sir John Rogerson's Quay, Dublin 2, D02 HD32, Ireland. The Company is an umbrella type investment company with variable capital and segregated liability between Funds of the Company.

## 1. Registration Information

Registered Shareholder Name(s) (the "Applicant") \_\_\_\_\_

Telephone \_\_\_\_\_ Fax \_\_\_\_\_

Registered Address \_\_\_\_\_ Registered Country \_\_\_\_\_

Postal Code \_\_\_\_\_ Country of Beneficial Owner \_\_\_\_\_

Email \_\_\_\_\_ Client Preferred Currency \_\_\_\_\_

Tax ID (if appropriate) \_\_\_\_\_

If orders will be placed using SWIFT (or an intermediary that connects to State Street via SWIFT), please provide the SWIFT identifier from which orders will be sent for the relevant account.

Business Identifier Code (BIC) \_\_\_\_\_

Distinguished Name (DN) for ISO 20022 messages \_\_\_\_\_

All orders placed using SWIFT are subject to the BIC validation process and subsequent processing will be either delayed or rejected if the identifiers above are incorrect or not provided.

### Main contact for transaction orders (if different from the above):

Name \_\_\_\_\_

Company Name \_\_\_\_\_

Telephone \_\_\_\_\_ Email \_\_\_\_\_

### For Income Shares Only:

Please note, in the event neither option is selected, all distributions will automatically be reinvested.

- ☐ Reinvest – distributions reinvested in additional Shares
- ☐ Cash – distributions paid in cash

## 2. Declaration of Investment

Please tick the box where applicable:

- ☐ Investing on my/our own behalf
- ☐ Investing on behalf of a Third Party Disclosed in the Applicant Name
- ☐ Investing on behalf of several non-disclosed Third Parties (omnibus/pooled accounts)

## 3. Bank Information

Please specify in the section below the bank to which redemption proceeds and distributions payments are to be wired. Payments will only be made to a bank account held in the name of the registered investor. No third party payments will be made. If you are paying for subscriptions through another bank account other than the one indicated below, please provide the banking details that will be used. Amendments to investors' payment instructions will only be effected upon receipt by the Administrator of an original instruction signed by the applicable authorised signatories. In the case of joint applicants, instructions will only be made upon receipt of instruction signed by all applicants.

### Applicant Bank Details (Wiring instructions for your bank):

Bank Name \_\_\_\_\_ Account Number/IBAN \_\_\_\_\_

Bank Address \_\_\_\_\_

Account Name \_\_\_\_\_

ABA No./Sort Code/BLZ \_\_\_\_\_ SWIFT \_\_\_\_\_

For further credit Account Name (if applicable) \_\_\_\_\_

For further credit Account Number (if applicable) \_\_\_\_\_

Payment Type (please select) MT202 ☐ / MT103 ☐

Currency \_\_\_\_\_

Reference \_\_\_\_\_

**Correspondent/Intermediary Bank Details (The bank used by your bank in the local market to clear funds of different currencies. If a correspondent bank is not needed, there is no need to complete this section.):**

Bank Name \_\_\_\_\_

Bank Address \_\_\_\_\_

ABA No./Sort Code/BLZ \_\_\_\_\_ SWIFT \_\_\_\_\_

## 4. Associated Investment Professionals

PIMCO Account Manager \_\_\_\_\_ Dealer Code \_\_\_\_\_

Consultant \_\_\_\_\_ Consultant Email \_\_\_\_\_

## 5. Account Information

### Account Type:

Please select one of the following:

- |   |  |   |  |
|---|--|---|--|
| <input type="checkbox"/> Government Body            | <input type="checkbox"/> Asset Manager           | <input type="checkbox"/> Charity                      | <input type="checkbox"/> Individual Investor |
| <input type="checkbox"/> Insurance Company          | <input type="checkbox"/> Bank                    | <input type="checkbox"/> Foundation                   | <input type="checkbox"/> Local Authority     |
| <input type="checkbox"/> Family Office              | <input type="checkbox"/> Trust                   | <input type="checkbox"/> Pension Scheme               | <input type="checkbox"/> Fund of Funds*      |
| <input type="checkbox"/> Supra-national Corporation | <input type="checkbox"/> Third Party Distributor | <input type="checkbox"/> Other (please specify) _____ |  |

\*Does the Fund of Funds have UCITS status? ☐ Yes ☐ No

Please provide name and address of the investing entities if different from the "Applicant" (if available):

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### FATCA/CRS Information (refer to Appendix C):

Please select one of the following:

- |                                  |   |   |
|----------------------------------|---|---|
| <input type="checkbox"/> GIIN    | <input type="checkbox"/> W9 Form                          | <input type="checkbox"/> Non-Applicable |
| <input type="checkbox"/> W8 Form | <input type="checkbox"/> Self-Certification (Ref. App. C) |   |

### Level of expected total investment:

- ☐ Ranging between a currency equivalent to EUR 0 to EUR15K
- ☐ Ranging between a currency equivalent to EUR 15K to EUR100K
- ☐ Ranging between a currency equivalent to EUR 100K to EUR1M
- ☐ Ranging between a currency equivalent to EUR 1M to EUR100M
- ☐ Superior to a currency equivalent to EUR 100M

### Source of Wealth

The source of wealth refers to the origin of the Applicant's overall wealth.

Please specify if source of wealth originates from:

☐ Yourself \_\_\_\_\_

Job title (if self-employed please specify nature of business) \_\_\_\_\_

Employer name \_\_\_\_\_

☐ Another person (please specify) \_\_\_\_\_

Job title (if self-employed please specify nature of business) \_\_\_\_\_

Employer name \_\_\_\_\_

Please give details of how you acquired/generated your overall wealth or if you are acting on behalf of another person how that person acquired/generated their overall wealth:

- |   |  |  |
|---|--|--|
| <input type="checkbox"/> Inheritance      | <input type="checkbox"/> Salary            | <input type="checkbox"/> Pension                               |
| <input type="checkbox"/> Sale of Business | <input type="checkbox"/> Investment income | <input type="checkbox"/> Sale of assets (please specify) _____ |
| <input type="checkbox"/> Gift             | <input type="checkbox"/> Lottery           | <input type="checkbox"/> Other (please specify) _____          |

Further supporting documentation may be requested if deemed necessary to verify the above information.

### Source of Funds

The source of funds refers to the source of cash for the investment into PIMCO Funds: Global Investors Series plc.

Please specify if source of funds originates from:

- ☐ Yourself \_\_\_\_\_  
Job title (if self-employed please specify nature of business) \_\_\_\_\_  
Employer name \_\_\_\_\_
- ☐ Another person (please specify) \_\_\_\_\_  
Job title (if self-employed please specify nature of business) \_\_\_\_\_  
Employer name \_\_\_\_\_

Please give details of how the cash was realised for this investment:

- |  |   |
|--|---|
| <input type="checkbox"/> Inheritance                           | <input type="checkbox"/> Sale of Business |
| <input type="checkbox"/> Gift                                  | <input type="checkbox"/> Salary           |
| <input type="checkbox"/> Investment income                     | <input type="checkbox"/> Lottery          |
| <input type="checkbox"/> Pension                               |   |
| <input type="checkbox"/> Sale of assets (please specify) _____ |   |
| <input type="checkbox"/> Other (please specify) _____          |   |

Further supporting documentation may be requested if deemed necessary to verify the above information.

### Trading Type:

Please select one of the following:

- |   |                              |                               |
|---|------------------------------|-------------------------------|
| Omnibus Account: number of decision makers: | <input type="checkbox"/> One | <input type="checkbox"/> Many |
| Single Client: number of decision makers:   | <input type="checkbox"/> One | <input type="checkbox"/> Many |

**Please provide any further instruction applicable to this account:**

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## 6. Request for Additional Reports

The Applicant should select the below reports they wish to receive (See below for report descriptions.)

- ☐ Contract Note      ☐ Monthly Statement      ☐ Monthly Fact Sheets  
☐ Quarterly Investment Reports      ☐ PIMCO Client Access      ☐ Daily NAV file, please select:      ☐ EXCEL      ☐ CSV

Name \_\_\_\_\_

Role (Primary contact, custodian, consultant, etc.) \_\_\_\_\_

Company \_\_\_\_\_

Registered Address \_\_\_\_\_

\_\_\_\_\_ Postal Code \_\_\_\_\_

Telephone \_\_\_\_\_ Fax \_\_\_\_\_

Email \_\_\_\_\_

- ☐ Contract Note      ☐ Monthly Statement      ☐ Monthly Fact Sheets  
☐ Quarterly Investment Reports      ☐ PIMCO Client Access      ☐ Daily NAV file, please select:      ☐ EXCEL      ☐ CSV

Name \_\_\_\_\_

Role (Primary contact, custodian, consultant, etc.) \_\_\_\_\_

Company \_\_\_\_\_

Registered Address \_\_\_\_\_

\_\_\_\_\_ Postal Code \_\_\_\_\_

Telephone \_\_\_\_\_ Fax \_\_\_\_\_

Email \_\_\_\_\_

### Request for Swift statements

Please provide the SWIFT identifier to receive swift MT535/MT536 statements and select the frequency below, placing a Y or N in the appropriate boxes.

SWIFT identifier of the entity or intermediary Business Identifier Code (BIC) \_\_\_\_\_

| Statement type / Frequency | Holdings (MT535) | Transactions (MT536) |
|----------------------------|------------------|----------------------|
| On a daily basis...        |                  |                      |
| On a weekly basis...       |                  |                      |
| On a monthly basis...      |                  |                      |

### Global Services Platform

We are pleased to offer the availability of GSP Digital Investor, an online platform that provides a comprehensive suite of features, including online trading, real-time account information, and access to your statements and contract notes. Should you require further information or wish to gain access to this platform, please do not hesitate to contact our Investor Services Team at [PIMCOEMTeam@statestreet.com](mailto:PIMCOEMTeam@statestreet.com).

### Report Descriptions:

- |   |   |
|---|---|
| <input checked="" type="checkbox"/> Contract Notes              | Transaction confirmation  |
| <input checked="" type="checkbox"/> Monthly Statements          | Monthly Statements showing the valuation and trades placed during the month or quarter  |
| <input checked="" type="checkbox"/> Monthly Fact Sheets         | Market commentary, performance, market outlook and strategy for the month   |
| <input checked="" type="checkbox"/> Quarterly Investment Report | Detailed narrative and statistical reporting of quarterly results, insight into future investment strategies, general, domestic and international economics and financial outlook |
| <input checked="" type="checkbox"/> PIMCO Client Access         | Online access to portfolio overview, transactions, performance, reports and statements  |
| <input checked="" type="checkbox"/> Daily NAV file              | Daily confirmation of NAV for each fund and class available in Excel or CSV format  |
| <input checked="" type="checkbox"/> Periodic Newsletters        | Please contact your Account Manager for a full description of available publications  |

## 7. Signatures and Dates

All subscriptions for Shares are subject to the terms of the Company's Prospectus. In addition, by signing this application form, the Applicant confirms that it has read and agrees to the declarations (including the representations and warranties contained within them), terms and conditions set out in Appendix D.

**By completing this application form and signing below, the Applicant confirms that the information contained in the declarations set out in Appendix D is true and correct.**

All subscriptions for Shares are subject to receipt of:

- all documentation required as set out in Appendix A
- completion of Appendix A, Intermediary declaration (if appropriate) Appendix B, Appendix C, Appendix D and Appendix E

The undersigned hereby authorises the Administrator, the Manager and any other agents or delegates of the Company to act upon instructions by post or facsimile without a signature guarantee.

Please sign in the section below. If this is a joint account, all joint Applicants should sign. If the Applicant is a Partnership, Trust, corporation or other legal entity ("Corporation") an authorised person should sign. An Authorised Signatory List must be submitted with this application form unless the Applicant is an Individual or Joint Investor. The Authorised Signatory List must be printed on headed paper and contain the names and specimen signatures of all persons authorised to trade on the account.

Name \_\_\_\_\_ Title \_\_\_\_\_

Signature \_\_\_\_\_ Date (dd mm yyyy) \_\_\_\_\_

Telephone \_\_\_\_\_

Email \_\_\_\_\_

Name \_\_\_\_\_ Title \_\_\_\_\_

Signature \_\_\_\_\_ Date (dd mm yyyy) \_\_\_\_\_

Telephone \_\_\_\_\_

Email \_\_\_\_\_

## Appendix A

### Anti-Money Laundering Documentation Checklist:

Under Irish anti-money laundering and counter terrorist financing ("CTF") and taxation legislation, the Company or its delegates must obtain information to verify the identity, permanent address and tax residency status of any new investor in the Company. In addition, the Company may also require an Intermediary that is applying for Shares on behalf of persons (which may include natural and/or legal persons) who will be beneficially entitled to these Shares to obtain such information from such third parties. AML/CTF documents must be provided in advance before an account can be opened.

Please note that redemptions/distribution will not be processed on non-cleared/verified accounts and that upon any delay or failure to provide satisfactory information to each of the Company, Administrator, Manager and the Distributor may take such action (including but not limited to declining to accept an application) as they think fit.

In addition please note that the Company reserves the right to compulsorily repurchase and cancel any Shares allocated to the Applicant where the Applicant fails to provide the necessary documentation to allow the Company or its Service providers to comply with their respective obligations under applicable anti-money laundering and counter terrorist financing regulations.

**The list below is an indicative list of anti-money laundering documentation to be provided by investors. This is an indicative list only and is provided as a guide outlining standard due diligence requirements. Depending on the risk category of your investment additional documentation may be required. Once your application has been received by the Administrator a full assessment will be carried out and additional documents may be requested in order to satisfy these enhanced requirements.**

#### Joint and Individual investors

1. Copy of a passport or a driver's license or national identity card. The documents must be in date, show a picture of the person, full name, date of birth and signature of the person.
2. Copies of two recent utility bills issued by different service providers within the last six months; or copies of one recent utility bill and one bank statement Issued within the last six months.
3. Source of wealth & source of funds

#### Institutional Investors

##### Credit or Financial institutions transacting as an intermediary or nominee:

1. Authorised signature list on company letterhead
2. Confirmation that the investor is acting on behalf of others (refer to "Intermediaries Confirmation" section)
3. Proof of regulation and authorisation from the Regulated Financial Institution must be provided in a written AML Attestation Letter\* (please contact PIMCO Shareholder Services for the appropriate template)
4. Account must be in the name of the Regulated Financial Institution
5. Declaration of Beneficial Owner(s) form (refer to appendix G)

\*Additional information / documentation may be required subject to intermediary risk assessment, such as information on their AML/CTF policies, the nature of the intermediaries business & details of their beneficial ownership. Intermediaries from certain countries will require an enhanced level of due diligence and further information or documentation, including information on underlying investors may also be required

##### Private and Unlisted Companies:

1. Authorised Signature List on company letterhead
2. Registered number, Registered office address & Nature/Purpose
3. Names and verify the identity for all beneficial owners who own more than 25% of share capital, profit or voting rights up to the ultimate beneficial owner (applying requirements for "Joint and individual investors" listed above)
4. Certificate of incorporation or equivalent,
5. Memorandum & articles of association or equivalent,
6. Copy of audited financial statements
7. Proof of Source of wealth: financial report, balance sheet, other documentation of source of wealth (can be covered by Audited Financial Statements if contained therein)
8. Declaration of Beneficial Owner(s) form (refer to appendix G)
9. Verify the identity of two senior managing officials if there is no natural person who owns more than 25% (applying requirements for "Joint and individual investors" listed above)

**Pension Scheme:**

1. Authorised Signature List on company letterhead
2. Registered office address
3. Copy of Constitutional/Formation Document (e.g. Trust Deed, certificate of incorporation), including rules for payment of pension
4. Confirmation of registration, as appropriate, from the relevant tax authorities or Pensions Board and confirm details of regulatory body
5. Declaration of Beneficial Owner(s) form (refer to appendix G)
6. Verify the identity of two senior managing officials if there is no natural person who owns more than 25% (applying requirements for "Joint and individual investors" listed above)

**Collective Investment Schemes (CIS):**

If the scheme is listed on a regulated market then it may qualify for Simplified Due Diligence, otherwise the following documentation is required

1. Full name of CIS
2. Registered address of CIS
3. Prospectus or equivalent (Memorandum & Article of Association, certificate of incorporation etc.)
4. Name and address of scheme promoter
5. Name and address of scheme administrator
6. Name and address of entity carrying out AML checks for the scheme investors and confirmation that entity is regulated for AML purposes
7. Names of all beneficial owners of the CIS who own over 25% of the share capital of the scheme;
8. Authorised signatory list on company letterhead
9. AML letter of assurance from entity carrying out AML checks who is a designated body regulated for AML purposes
10. Declaration of Beneficial Owner(s) form (refer to appendix G)
11. Verify the identity of two senior managing officials if there is no natural person who owns more than 25% (applying requirements for "Joint and individual investors" listed above)

**Trusts:**

1. Full name of the trust
2. Registered address of the trust and country of establishment
3. Legal form of the trust
4. Copy of the legal instrument establishing and governing the trust (i.e. the trust deed)
5. Nature and purpose of the trust
6. Names and addresses of all trustees
7. Verification of identity of all trustees (if individuals, one proof of ID and two proofs of address are required)
8. Name and verification of identity for all individuals who own share capital or are entitled to voting rights in respect of the trust, or otherwise exercise control over the trust. Where the beneficial owner is a corporate entity, details of the ultimate beneficial owners must be provided (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc.)
9. Verification of identity of the settlor of the trust
10. Authorised signatory list
11. Verification of identity of the protector for the trust (where such protector has been appointed)
12. Proof of source of wealth
13. In the case of a corporate trustee the Administrator will either require proof of regulation or in the case of an unregulated corporate trustee, verification details in accordance with the documents listed above for incorporated entities.
14. Declaration of Beneficial Owner(s) form (refer to appendix G)
15. Verify the identity of two senior managing officials if there is no natural person who owns more than 25% (applying requirements for "Joint and individual investors" listed above)



## Partnerships:

1. Full name of investor
2. Registered office address
3. Principal business address if different to above
4. Names and verification of partners (where not a Partnership Fund); Or if a Partnership Fund, names and verification of General Partner and partners who own more than 25% of the shares, profit or voting rights and listing of directors if appropriate. Where the beneficial owner is a corporate entity, details of the ultimate beneficial owners must be provided (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc.)
5. Copy of photo IDs (passports) of legal representatives authorised to operate account.
6. Copy of constitutional document (Partnership Agreement, cert of incorporation, registration)
7. Authorised Signature List on company letterhead
8. Declaration of Beneficial Owner(s) form (refer to appendix G)
9. Verify the identity of two senior managing officials if there is no natural person who owns more than 25% (applying requirements for "Joint and individual investors" listed above)

To fulfil anti-money laundering and counter terrorist financing requirements, the Administrator at its discretion may request additional information in addition to the documents requested above. The Applicant and its agent(s), if any, shall be personally liable to the Administrator for any misrepresentation made in this respect. All original documents provided to the Administrator will be returned upon request.

Please note that identification of Beneficial Ownership of the investor is required for any person or entity which holds more than 25% of the investor if low or medium risk and 10% if classified as high risk.

## Who can certify my document?

Documentation can be certified by a Police Officer; Certified or Chartered Accountant; Notary Public; Practicing lawyer; Embassy/Consular Staff; or a Director, Compliance Officer, Legal Officer, Company Secretary of a regulated financial institution in an equivalent country.

The certifier should state that the particular document is a true copy of the original, sign, date, print name and state capacity within which they are signing.

Note that if the information and verification you provide to the Administrator are incomplete or not sufficient, your investment may be delayed and not accepted.

## Intermediaries Confirmation

Where the Applicant is an Intermediary applying for Shares on behalf of persons (which may include natural and/or legal persons) who will be beneficially entitled to the Shares in respect of which this application is being made the following declaration is required.

### ANTI MONEY LAUNDERING DECLARATION TO BE COMPLETED BY PERSON ACTING AS INTERMEDIARY/NOMINEE – AML LETTER FOR REGULATED FINANCIAL INTERMEDIARY/ NOMINEE

|                        |   |
|------------------------|---|
| NATURE OF INTERMEDIARY | NON DISCRETIONARY (EXECUTION ONLY) <input type="checkbox"/> |
|                        | DISCRETIONARY <input type="checkbox"/> <sup>1</sup>         |

<sup>1</sup> If the intermediary is investing on a discretionary basis, a Wolfsberg Questionnaire or Due Diligence Questionnaire ("DDQ") must be provided.

I/We (name and address of agent/intermediary) (*print name in block capitals*):

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confirm that we are regulated in \_\_\_\_\_ (insert jurisdiction)

by \_\_\_\_\_ (name of Regulator)

I/We are obliged pursuant to (insert name of legislation) \_\_\_\_\_

to have appropriate anti money laundering and counter terrorist financing ("AML/CTF") procedures in place. These requirements are equivalent to the standards imposed under the Fifth Anti-Money Laundering Directive.

I/We are making this application as trustee, agent, representative or nominee on behalf of a client (the "Underlying Investor"). I/We represent that I/we have all requisite power and authority from the Underlying Investor to execute and perform the obligations under this Application Form. We also agree to be liable to the Company, Administrator, Manager and the Distributor and their directors, shareholders, partners, officers and agents for any and all costs, fees and expenses (including legal fees and disbursements) in connection with any damages resulting from our misrepresentation or misstatement contained herein, or the assertion of our lack of proper authorisation from the Underlying Investor to execute this Application Form or perform the obligations hereof.

I/We confirm that:

We hereby confirm the following in connection with all Investors and their beneficial owners in all designations in the name in the Company:

- (i) we have established AML/CTF policies, procedures and internal controls to ensure ongoing compliance with applicable AML/CTF and economic sanctions laws and regulations \_\_\_\_\_ (**insert relevant law/regulation here**);
- (ii) our AML/CTF policies, procedures and internal controls incorporate systems and controls to identify and verify our customers, and their beneficial owners<sup>1</sup> and performs (i) appropriate risk-grading procedures to differentiate between customer due diligence for high and low risk relationships (ii) ongoing customer due diligence, (iii) regular AML/CTF monitoring and sanction screening, (iv) staff AML/CTF training and (v) detect, investigate and, as required, report any suspicious activities to the relevant authorities;
- (iii) we have systems and controls in place to identify Politically Exposed Persons, their relatives and close associates (collectively PEPs) and we conduct enhanced due diligence, including establishing the source of wealth and the source of funds and enhanced ongoing monitoring on PEPs and other high risk customers.

With regard to each investor who has invested via the financial intermediary in the Company, we hereby confirm;

- (i) the accounts will only be operated by the Financial Intermediary who maintain ultimate, effective control over the account;
- (ii) we have performed customer due diligence and identified and verified the beneficial owner(s), and have obtained the information on the purpose and the intended nature of the business relationship;
- (iii) To the best of our knowledge, we are unaware of any activities on the part of the investor(s), and their beneficial owners which could lead us to suspect an involvement in criminal conduct' money laundering or terrorist activities;
- (iv) we will retain documents and information on the investor(s), including any beneficial owner, obtained as part of our customer identification and verification process for at least 5 years after the termination of their relationship with us;
- (v) we will provide you with related customer due diligence documents and information, which we may have on our files relating to the identity of the investor(s) and beneficial owner(s) upon request, and
- (vi) none of the investor(s) including any beneficial owner have been identified as PEPs or are subject to sanctions lists administered by the European Union, the United States, including OFAC, and the United Nations.

We further undertake to advise you, should at any time in the future there be any change in any information provided above or in the Declaration of Beneficial Owners (see Appendix G). \_\_\_\_\_

Yours faithfully,

\_\_\_\_\_  
Authorised Signatory (This should be signed by the MLRO, a Director or an authorised member of the Compliance Department or Legal Department (please state position) of the regulated entity)

(State Name and Position of Authorised Signatory)

The person signing below confirms that he/she is duly authorised to sign this declaration on behalf of the above mentioned intermediary/agent.

Capacity of signatory (Director/Manager etc) \_\_\_\_\_

Signature \_\_\_\_\_ Print Name \_\_\_\_\_

Date (dd mm yyyy) \_\_\_\_\_

<sup>1</sup> Please note that a threshold of 25% applies where the Underlying Investor is classified as low or medium risk and a threshold of 10% will be applied if the Underlying Investor is classified as high risk (provided that the Underlying Investor is not a trust, as no minimum threshold is applicable in respect of a trust).

<sup>2</sup> Sanctions Regime" shall mean any sanctions against countries, persons or entities that are imposed at any time by, at a minimum, the U.S. Treasury Department's Office of Foreign Assets Control ("OFAC"), the European Union and the United Nations.

## Appendix B

### Declaration of residence outside Ireland

Applicants resident outside Ireland are required by the Irish Revenue Commissioners to make the following declaration which is in a format authorised by them, in order to receive payment without deduction of tax. It is important to note that this declaration, if it is then still correct, shall apply in respect of any subsequent acquisitions of Shares. Terms used in this declaration are defined in the Prospectus.

Please tick the appropriate box below to indicate whether the Applicant is declaring on the Applicant's own behalf or as an Intermediary.

☐ **Declaration on Own Behalf:**

I/We declare that I am/we are applying for the Shares on my own/our own behalf/on behalf of a company and that I am/we are/the company is entitled to the Shares in respect of which this declaration is made and that:

- ☐ I am/we are/the company is not currently resident or ordinarily resident in Ireland, and
- ☐ should I/we/the company become resident in Ireland I/we will so inform the Company, in writing, accordingly.

☐ **Declaration as Intermediary:**

I/We declare that I am/we are applying for Shares on behalf of person:

- ☐ who will be beneficially entitled to the Shares; and
- ☐ who, to the best of my/our knowledge and belief, are neither resident nor ordinarily resident in Ireland. I/we also declare that:
- ☐ unless I/we specifically notify the Company to the contrary at the time of application, all applications for Shares made by me/us from the date of this application will be made on behalf of such persons, and
- ☐ I/we will inform the Company in writing if I/we become aware that any person, on whose behalf I/we hold Shares, becomes resident in Ireland.

Name of Applicant \_\_\_\_\_

Address of Applicant \_\_\_\_\_

Postal Code \_\_\_\_\_

Country \_\_\_\_\_

Signature of Applicant or Authorised Signatory \_\_\_\_\_ (Declarant)

Capacity of Authorised Signatory (if applicable) \_\_\_\_\_ Date (dd mm yyyy) \_\_\_\_\_

**Important Notes:**

1. Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.
2. To be valid, the application form (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by the Applicant. Where there is more than one Applicant, each person must sign. If the Applicant is a company, it must be signed by the company secretary or another authorised officer.
3. If the application form (incorporating the declaration required by the Irish Revenue Commissioners) is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature.
4. Where the Applicant becomes resident in Ireland and the Company has been notified as per the above the Administrator will contact the Applicant with a separate form for completion.

## Appendix C

### The Foreign Account Tax Compliance Act ("FATCA")

We are obliged under Section 891E of the Taxes Consolidation Act 1997 of Ireland (as amended) and regulations made pursuant to that section to collect certain information about each investor's tax arrangements in line with the Company's obligations under the "Agreement Between the Government of Ireland and the Government of the United States of America to Improve International Tax Compliance and to Implement FATCA" (the "IGA").

Please complete the sections below as directed and provide any additional information that is requested. Please note that in certain circumstances we may be obliged to share this information with relevant tax authorities and we may request additional information from the investor to clarify its tax payer status.

All terms identified in italics are as defined in the IGA a copy of which is available on the Irish Revenue website at [www.revenue.ie](http://www.revenue.ie) or at <http://revenue.ie/en/business/international/agreement-ireland-usa-compliance-fatca.pdf>

### The Common Reporting Standard ("CRS")

We are obliged under Section 891F and Section 891G of the Taxes Consolidation Act 1997 of Ireland (as amended) and regulations made pursuant to those sections to collect certain information about each investor's tax arrangements pursuant to the OECD Common Reporting Standard ("CRS"), an initiative to implement automatic exchange of financial account information on a global basis.

Please complete the sections below as directed and provide any additional information that is requested. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an investor's interests in the Fund with relevant tax authorities. This form is intended to request information only where such request is not prohibited by Irish law. We may request additional information from the investor to clarify its tax payer status.

If you have any questions about this form or the investor's tax residency status, please refer to the OECD CRS Portal or speak to a tax adviser. For further information on CRS please refer to [www.oecd.org/tax/automatic-exchange/](http://www.oecd.org/tax/automatic-exchange/)

If any of the information below about the investor's tax residence or FATCA/CRS classification changes in the future, please ensure that we are advised of these changes promptly.

### Entity Self-Certification form – Irish Domiciled Fund

#### Instructions for completion

This section should be completed by **Entity investors only**. Individual investors should instead complete the Individual Self Certification form below.

#### Section 1: Entity Identification Section:

(Optional Section only required if using the Self-Certification as a standalone document and not part of the application form)

Entity Name \_\_\_\_\_

Fund Name \_\_\_\_\_

Registered Address \_\_\_\_\_

Number \_\_\_\_\_ Street \_\_\_\_\_

City, town, State, or Province \_\_\_\_\_

\_\_\_\_\_ Postal Code/Country \_\_\_\_\_

Mailing address (if different from above)

Number \_\_\_\_\_ Street \_\_\_\_\_

City, town, State, or Province \_\_\_\_\_

\_\_\_\_\_ Postal Code/Country \_\_\_\_\_

Country of Incorporation \_\_\_\_\_

#### 1.2 (a) Is the entity a U.S. Specified Person

Yes ☐ U.S. Tax Identification Number \_\_\_\_\_

No ☐

**Please note that in certain circumstances we may be obliged to share this information with relevant tax authorities.**

## Section 2: Declaration of Tax residency

(Note: Declaration of Tax residency is requested in the context of CRS)

Please indicate all the countries in which the Entity is resident for tax purposes with associated tax ID numbers, if any.

| Country/Countries of Tax Residency | Tax ID Number |
|------------------------------------|---------------|
|                                    |               |
|                                    |               |
|                                    |               |

## Section 3: FATCA Classification

If you have indicated in section 1 that your institution is resident in the United States for tax purposes, please leave this section blank. Otherwise please provide the information requested below.

### 3.1 If your Institution is a Financial Institution, please tick one of the below FI categories

If you are a **Financial Institution**, please tick one of the below categories, and provide your FATCA GIIN at 3.2.

- ☐ I. Irish Financial Institution or a Partner Jurisdiction Financial Institution
- ☐ II. Registered Deemed Compliant Foreign Financial Institution
- ☐ III. Participating Foreign Financial Institution

### 3.2 Please provide your Global Intermediary Identification number (GIIN) \_\_\_\_\_

### 3.3 If you are a Financial Institution but unable to provide a GIIN, please tick one of the below reasons

- ☐ I. The Entity is a IGA Partner Jurisdiction Financial Institution and have not yet obtained a GIIN
- ☐ II. The Entity has not yet obtained a GIIN but is sponsored by another entity which does have a GIIN

Please provide your sponsor's name and sponsor's GIIN:

Sponsor's Name: \_\_\_\_\_ Sponsor's GIIN: \_\_\_\_\_

- ☐ III. Exempt Beneficial Owner
- ☐ IV. Certified Deemed Compliant Foreign Financial Institution (including a Foreign Financial Institution deemed compliant under Annex II of an IGA)
- ☐ V. Non-Participating Foreign Financial Institution
- ☐ VI. Excepted Foreign Financial Institution
- ☐ VII. U.S. person but not a Specified U.S. person

### 3.4 Non-Financial Institutions

If the institution is not a Foreign Financial Institution. Please confirm your organisation's status below:

- ☐ a) Active NFFE
- ☐ b) Passive NFFE
- ☐ c) I am an Excepted NFFE

If you have classified your organisation as a "Passive NFFE" please complete Section 5 below in respect of any Controlling Persons.

## Section 4: CRS Classifications

### 4.1 If your Institution is a Financial Institution under CRS, please tick one of the below categories

- ☐ I. Financial Institution under CRS (other than (II) below)
- ☐ II. An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution  
(If this box is ticked, please complete Section 5 in respect of any Controlling Persons)

### 4.2 Non-Financial Institutions under CRS:

If the institution is not a Foreign Financial Institution, please confirm the institution's status below:

- ☐ a) **Active Non-Financial Entity (NFE)** – a corporation the stock of which is regularly traded on an established securities market.  
Please provide the name of the established securities market on which the corporation is regularly traded: \_\_\_\_\_
- ☐ b) **Active Non-Financial Entity (NFE)** – if you are a Related Entity of a regularly traded corporation.  
Please provide the name of the regularly traded corporation that the Entity is a Related Entity of: \_\_\_\_\_  
Please provide details of the securities market that the entity is listed on: \_\_\_\_\_
- ☐ c) **Active Non-Financial Entity (NFE)** – a Government Entity or Central Bank
- ☐ d) **Active Non-Financial Entity (NFE)** – an International Organisation
- ☐ e) **Active Non-Financial Entity (NFE)** – other than those listed in a, b, c and d above.  
(for example a start-up NFE or a non-profit NFE)
- ☐ f) **Passive NFE** (If this box is ticked, please complete Section 5 in respect of any Controlling Persons)

## Section 5: Controlling Persons

If you ticked Section 3.4(b) or 4.1(II) or 4.2(f) above please complete below in respect of each Controlling Person.

The term "Controlling Persons" means the natural persons who exercise control over an entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term "Controlling Persons" shall be interpreted in a manner consistent with the Financial Action Task Force Recommendations.

| Full Name | Date of birth<br>(dd mm yyyy) | Place of Birth | Residential Address | Country/countries<br>of tax residency | Tax Reference<br>numbers | Details of<br>Controlling<br>Person's Beneficial<br>Ownership if 25%<br>or over |
|-----------|-------------------------------|----------------|---------------------|---------------------------------------|--------------------------|---|
|           |                               |                |                     |                                       |                          |   |
|           |                               |                |                     |                                       |                          |   |
|           |                               |                |                     |                                       |                          |   |

## Section 6: Declaration and Undertakings Section:

The Institution or organisation declares that the information provided in this form is, to the best of their knowledge and belief, accurate and complete.

The institution or organisation undertakes to advise the recipient promptly of any change in circumstances which causes the information contained herein to become incorrect and to provide the recipient with a suitable updated Self-Certification within 90 days of such change of circumstances.

The institution agrees that the information provided in this form, as well as financial information about the financial accounts to which this form is applied (such as the account balance or value, gross income and proceeds received) may be reported to the tax authorities of the country or countries in which the financial accounts are maintained and subsequently exchanged with tax authorities of another country or countries in which the institution is resident pursuant to the CRS and FATCA.

Authorised Signature(s) \_\_\_\_\_

Capacity with respect to institution or organisation \_\_\_\_\_

Date (dd mm yyyy) \_\_\_\_\_

## Individual Self-Certification form

This section should be completed by **Individual investors only**. Entity investors should instead complete the Entity Self Certification form above.

### Section 1: Investor Identification Section:

Investor Name \_\_\_\_\_

Fund Name \_\_\_\_\_

Residential Address \_\_\_\_\_

Number \_\_\_\_\_ Street \_\_\_\_\_

City, town, State, or Province \_\_\_\_\_

\_\_\_\_\_ Postal Code/County \_\_\_\_\_

Mailing address (if different from above) \_\_\_\_\_

\_\_\_\_\_

Number \_\_\_\_\_ Street \_\_\_\_\_

City, town, State, or Province \_\_\_\_\_

\_\_\_\_\_ Postal Code/County \_\_\_\_\_

Country of Birth \_\_\_\_\_ Date of Birth (dd mm yyyy) \_\_\_\_\_

### Section 2: Declaration of Tax residency

(Note: Declaration of Tax residency is requested in the context of CRS)

Please indicate all the countries in which you are resident for tax purposes with associated tax ID numbers, if any.

| Country/Countries of Tax Residency | Tax ID Number |
|------------------------------------|---------------|
|                                    |               |
|                                    |               |
|                                    |               |

**Joint Applicants: Where there are Joint account holders each investor is required to complete the self-certification. If you have any questions about how to complete this form, please contact your tax advisor.**

### Section 3: Declaration and Undertakings Section:

I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete:

I undertake to advise the recipient promptly of any change in circumstances which causes the information contained herein to become incorrect and to provide the recipient with an updated Self-Certification within 90 days of such change of circumstances.

I agree that the information provided in this form, as well as financial information about the financial accounts to which this form is applied (such as the account balance or value, gross income and proceeds received) may be reported to the tax authorities of the country or countries in which the financial accounts are maintained and subsequently exchanged with tax authorities of another country or countries in which I am resident pursuant to the CRS and FATCA.

Signature: \_\_\_\_\_ Date (dd mm yyyy): \_\_\_\_\_

### Declarations, Terms and Conditions:

#### 1. Ability to Purchase Shares

I/We have the legal power, authority and capacity to enter into and sign this application form for Shares in the Company and have the authority to make the investment pursuant to this application form whether this investment is my/our own name or is made on behalf of another person or institution.

I/We confirm that this application is in compliance with all applicable laws and regulations.

#### 2. Application Form

I/We acknowledge that this application constitutes the agreement under which I/we agree to subscribe for Shares in the Company and shall be governed by the laws of Ireland. In the event of any dispute or claim arising under this agreement or the Prospectus, or relating to his Shares in the Company I/we submit to the exclusive jurisdiction of the Irish courts.

I/We understand that the confirmations, representations, declarations and warranties made herein are continuous and apply to all subsequent purchases of Shares in the Company.

No redemption, exchange or transfer out requests will be processed prior to receipt of this Application Form and supporting documentation.

#### 3. Receipt and Consideration of Fund Documentation

I/We hereby acknowledge that I/we have been offered the current Prospectus and Memorandum and Articles of Association of the Company as may be amended from time to time and where applicable the most recent annual report or half-yearly report of the Company. Furthermore I/we hereby acknowledge that this application is made on the terms thereof and subject to the provision of the Prospectus and Memorandum and Articles of Association of the Company and I/we am/are bound by the terms of the Prospectus and Memorandum and Articles of Association of the Company.

I/We am/are capable of evaluating the merits and risks of an investment by me/us in the Shares in the light of my/our financial condition and resources and have considered the risk factors as set out in the Prospectus.

The following confirmation is applicable to Applicants that are resident, domiciled and/or investing from within the European Economic Area ("EEA") or Switzerland only:

I/We declare that the relevant Key Information Document(s) for Packaged Retail and Insurance-Based Investment Products (the PRIIPs KID) have been provided to me/us in good time prior to making the application for Shares and that we have read and reviewed and understood the nature and the risks of the investments product that is being offered to us.

I/We hereby acknowledge and agree that the updated PRIIPs KID(s) for each Share class is available from [www.europe.pimco-funds.com](http://www.europe.pimco-funds.com) or such other website address as may be notified to me/us from time to time and that I/we will read and review the most up-to-date version of the relevant PRIIPs KID(s) prior to making any subsequent application for Shares.

Where we are investing as nominee, we shall provide our client(s) with the PRIIPs KID(s) issued in respect of the relevant Share class and we shall ensure that we do so in compliance with Regulation 1286/2014 of the European Parliament and of the Council of 26 November 2014 on key information documents for packaged retail and insurance-based investment products and Commission Delegated Regulation (EU) 2017/653 of 8 March 2017, as amended from time to time and in compliance with the applicable legislation in any jurisdiction in carrying out this activity. We shall maintain records of our provision of the PRIIPs KID(s) to our clients and shall furnish such records to the Company, or its delegates, upon request.

The following confirmation is applicable to all other Applicant's:

I/We hereby acknowledge that I/we have received or accessed by electronic means the relevant Other Local Offering Documents\* of the Company.

\* "Local Offering Documents" refers to the specific documents required to be provided to an investor (other than the PRIIPs KID) pursuant to the law; and regulations of the jurisdiction in which they are domiciled, in addition to the Prospectus of the Company. These documents are currently as follows:

- For investors domiciled in Hong Kong: the Country Supplement to the Prospectus for Hong Kong Investors and the Key Facts Statement;
- For investors domiciled in Singapore: the Singapore Supplement and the Product Highlights Sheet, or, where applicable, the Singapore Information Memorandum, in each case, as the same may be amended from time to time.
- For investors domiciled in the United Kingdom: Key Investor Information Document(s) (the KIID(s)) in compliance with Commission Regulation (EU) No. 583/2010 as retained under the European Union (Withdrawal) Act 2018 and amended by the Collective Investment Schemes (Amendment etc.) (EU Exit) Regulations 2019.

The following confirmations are applicable to Applicants that are domiciled within the United Kingdom only:

- I/We declare that the relevant KIID(s) have been provided to me/us in good time prior to making the application for Shares and that we have read and reviewed and understood the nature and the risks of the investments product that is being offered to us.
- Where we are investing as nominee, we shall provide our client(s) with the KIID(s) issued in respect of the relevant Share class and we shall ensure that we do so in compliance with Commission Regulation (EU) No. 583/2010 as retained under the European Union (Withdrawal) Act 2018 and amended by the Collective Investment Schemes (Amendment etc.) (EU Exit) Regulations 2019. We shall maintain records of our provision of the KIID(s) to our clients and shall furnish such records to the Company, or its delegates, upon request.

Any representations, acknowledgements and consents relating to the Local Offering Documents shall apply only in relation to the Local Offering Documents applicable to the jurisdiction in which the Applicant is domiciled.



#### 4. Payment for Shares and Rejection

I/We have made arrangements for payments to be made to the relevant bank account(s) for subscriptions and acknowledge that the Company reserves the right to reject any application in whole or part without assigning any reason therefore.

I/We acknowledge that the Company reserves the right to cancel without notice any contract for which payment has not been received by the relevant settlement date and to recover any losses incurred.

I/We hereby agree to indemnify and keep indemnified the Company, Manager, Investment Advisers, Administrator, Depositary, Distributor and Sub-Agents (together "the Company and its Service Providers") against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) incurred or suffered by the Company or its Service Providers on reliance on representations (oral or written) that subscription payment arrangements have been put in place by me/us. I/We further agree to indemnify and to keep the Company and its Service Providers indemnified against any loss arising directly or indirectly in relation to my/our late and/or failed settlement arrangements.

#### 5. Survivorship for Joint Applicants

Upon the death of one of the Applicants, the Applicants direct that all rights and entitlement to the Shares being applied for by the Applicants be held in the name of and to the order of the survivor or survivors or the executor or administrator of such survivor or survivors.

#### 6. Service Fee, Trail Fee

I/We acknowledge and agree that Service Fees and/or Trail Fees (as described in the Prospectus) will only be payable to me/us if I/we have entered into a separate agreement with the Distributor which governs the payment of such fees.

#### 7. Umbrella Cash Account

I/We understand that we operate a single, omnibus subscriptions/redemptions account for all of the Funds, in accordance with the Central Bank's guidance relating to umbrella fund cash accounts, through which subscription monies and redemption proceeds and dividend income (if any) for each Fund are channelled. I/We further understand that this subscriptions/redemptions account shall not have the protection of the Central Bank (Supervision and Enforcement) Act 2013 (Section 48(1)) Investor Money Regulations 2015 for Fund Service Providers, as may be amended from time to time (the "Investor Money Regulations") and that a risk exists to the extent that monies are held by the Company in the subscriptions/redemptions account for the account of a relevant Fund at a point where such Fund becomes insolvent. Upon receipt into the subscriptions/redemptions account, subscription monies, redemption proceeds or dividend income will be the property of the relevant Fund and accordingly I/we will be treated as a general creditor of the Company during the period such monies are held in the subscriptions/redemptions account. I/We note that further information on the operation of the omnibus subscriptions/redemptions account and the associated risks are disclosed in the Prospectus.

#### 8. Anti-Money Laundering

I/We warrant and declare that the monies being invested pursuant to this application do not represent directly or indirectly the proceeds of any criminal activity and the investment is not designed to conceal such proceeds so as to avoid prosecution for an offence or otherwise.

I/We understand and accept that the Company and the Administrator, Distributor and Manager (together the "Service Providers") each reserve the right to seek evidence of identity to comply with applicable anti-money laundering and counter terrorist financing regulations (the "AML Requirements"), and I/we agree to provide the Company and its Service Providers with any such additional information or documentation as may be required.

I/We understand and accept that the Company reserves the right to compulsorily repurchase and cancel any Shares held by me/us where I/we fail to provide the necessary documentation to allow the Company or its Service Providers to comply with their respective obligations under applicable anti-money laundering and counter terrorist financing regulations.

I/We acknowledge that verification of the identity of the applicant, any Beneficial Owner of such applicant (and/or where relevant, any underlying investor's identity) is required to take place before the establishment of the business relationship. Subscription applications will not be accepted (and any subscription monies received will be returned less interest/charges) if the verification of such identity has not been completed and if all relevant account opening documentation has not been received.

I/We acknowledge that the Company or its Service Providers also reserve the right to delay or refuse to make any redemption payment or distribution to a Shareholder without notice if any of the Company or its Service Providers suspects or is advised that the payment of any redemption or distribution moneys to such Shareholder might result in a breach or violation of any applicable anti-money laundering or other laws or regulations including financial sanctions laws or regulations by any person in any relevant jurisdiction, or such refusal is considered necessary or appropriate to ensure the compliance by the Company or its Service Providers with any such laws or regulations in any relevant jurisdiction. I/We hereby hold the Company and its Service Providers harmless and indemnify them against any loss arising as a result of a failure to process the application if such information has been required and has not been provided by me/us and from any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in any document delivered by me/us to the Company or its Service Providers. I/We shall notify the Administrator immediately if any of the representations herein made are no longer accurate and complete in all respects.

I/We acknowledge that in accordance with applicable AML Requirements, redemption monies or dividend payments shall not be paid on un-verified accounts. In the event that I/we fail to submit the necessary documentation requested by the Company or its Service Providers as required under the AML Requirements, redemption monies or dividend monies will be held in an Umbrella Cash Account and shall remain an asset of the relevant Fund and I/we will not benefit from the application of any investor money protection rules (i.e. the redemption monies/dividend monies will not be held on trust for me/us).

In such circumstances, I/we acknowledge that I/we will be unsecured creditor of the relevant Fund in respect of such redemption monies or dividend payments until such time as the relevant documentation required by the Company has been received to its satisfaction and the redemption monies/dividend payments have been paid to me/us.

I/We will comply with such beneficial ownership notices issued by the Company or its Service Provider on its behalf seeking beneficial ownership information.

I/We understand that it is an offence where I/we fail to comply with such beneficial ownership notices or where I/we make a false statement in respect of same.

I/We understand that where I am/we are a Beneficial Owner<sup>3</sup> of the Company, I/we must notify the Company where the Company's beneficial ownership register does not contain my/our details and where I/we have not received a beneficial ownership notice from the Company.

## **9. Additional Information; Acting on Instructions; Limit of Liability**

The Company and its Service Providers are hereby authorised to accept and execute any instructions in respect of the Shares to which this application relates or which may in future be acquired by me/us which are given by me/us in written form, by email, or by facsimile and in the case of joint account holders which are given by such means jointly by the applicants ("Instructions"). I/We hereby agree to indemnify each of the Company and its Service Providers and agree to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of any of them acting upon Instructions. The Company and its Service Providers may rely conclusively upon and shall incur no liability in respect of any action taken upon any Instructions believed in good faith to be genuine and to be signed or given by properly authorised persons.

I/We shall provide the Company or its Service Providers with any additional information which it may reasonably request in connection with tax or other similar requirements in order to substantiate any representations made by me/us or otherwise and I/we authorise the Company or its agents to disclose such information relating to this application to such persons as they consider appropriate.

I/We understand and agree that any redemption proceeds paid to me/us will only be paid to a bank account in my/our name and with a recognised financial institution.

I/We agree to indemnify and hold harmless the Company, the Manager, the Administrator, and their respective affiliates, directors, members, partners, shareholders, officers, employees and agents from and against any and all losses, liabilities, damages, penalties, costs, fees and expenses (including legal fees and disbursements) which may result, directly or indirectly, from any inaccuracy in or breach of any representation, warranty, covenant or agreement set forth in this section or in any document delivered by me/us to the Company and shall notify the Company immediately if any of the representations herein made are no longer accurate and complete in all respects.

## **10. Additional Information, Outdated Information**

I/We agree to provide to the Company, Manager, Administrator and/or Distributor at such times as each of them may request and to provide on request such declarations, certificates or documents as each of them may reasonably require connection with this investment should any information furnished to any of them become inaccurate or incomplete in any way, I/we hereby agree to notify the Company or the Administrator immediately of any such change and further agree to request the redemption of Shares in respect of which such confirmations have become incomplete or inaccurate. I/We agree to notify the Administrator of any change to my/our tax residency status.

## **11. Return of Values**

For the purposes of the Return of Values (Investment Undertakings) Regulations 2013, I/we confirm that I/we are not Irish resident or ordinarily Irish resident (as defined in the Prospectus) and should I/we become resident in Ireland I/we will so inform you, in writing, accordingly.

I/We have completed the relevant non-Irish resident declarations in Appendix B accordingly.

## **12. U.S. Person, CFTC Requirements, FATCA, CRS and DAC 6**

I/We confirm that I/we are not U.S. Person(s) as defined in the Prospectus and I/we certify that the Shares applied for are not being acquired for the benefit of, directly or indirectly, any U.S. Person, in violation of any applicable law and I/we will not, subject to the conditions set forth in the Prospectus, sell or offer to sell or transfer Shares to a U.S. Person.

I/We confirm and warrant that I/we have executed this application form outside the United States (unless I/we is/are a professional fiduciary acting in a discretionary capacity for the account of a person who is not a U.S. Person other than an estate or trust).

Due to the particular investor composition, the Low Average Duration Fund may be considered "Commodity Pools" by the U.S. Commodity Futures Trading Commission ("CFTC"). While these Funds may trade commodity interests (commodity futures contracts, commodity options contracts and/or swaps),

<sup>3</sup> The term "beneficial owner" is defined in Appendix G to this form

including security futures products, the Manager is exempt from registration with the CFTC as a commodity pool operator ("CPO") pursuant to CFTC Rule 4.13(a)(3) with regard to each Fund. Therefore, unlike a registered CPO, the Manager is not required to deliver a CFTC disclosure document to prospective investors, nor is it required to provide investors with certified annual reports that satisfy the requirements of CFTC rules applicable to registered CPOs.

The Manager qualifies for the exemption under CFTC Rule 4.13(a)(3) with respect to each of these Funds on the basis that, at all times, interests in each Fund: (1) are exempt from registration under U.S. Securities Act of 1933; (2) are not marketed to the public in the United States; (3) are offered only to accredited investors, knowledgeable employees, and "qualified eligible persons" as defined in CFTC Rule 4.7; and (4) each Fund meets one or the other of the following tests with respect to its commodity Interest positions, including positions in security futures products, whether entered into for bona fide hedging purposes or otherwise: (a) the aggregate initial margin, premiums, and required minimum security deposit for retail forex transactions, determined at the time the most recent position was established, will not exceed 5 percent of the liquidation value of such Fund's portfolio, after taking into account unrealized profits and unrealized losses on any such positions it has entered into; or (b) the aggregate net notional value of such positions, determined at the time the most recent position was established, does not exceed 100 percent of the liquidation value of such Fund's portfolio, after taking into account unrealized profits and unrealized losses on any such positions it has entered into.

In addition, the Manager may rely on such temporary relief from CPO registration with regard to the Funds as the CFTC may make available from time to time. I/We hereby agree that if the Company is required to comply with the rules of Sections 1471 through 1474 (inclusive) of the Internal Revenue Code of 1986 of the U.S., as amended, any current or future regulations or official interpretations thereof, any agreement entered into thereunder, or any fiscal or regulatory legislation, rules or practices adopted pursuant to any intergovernmental agreement entered into in connection with the implementation thereof and similar international tax information exchange regimes, including the OECD Common Reporting Standard ("FATCA/CRS") in order to receive any payments without withholding tax and comply with reporting obligations. I/We will:

- (i) provide the Company (or any nominated service provider) with any information, declarations, certificates or documentation necessary for FATCA/CRS reporting; and
- (ii) permit the Company to:
  - a. share such information with the U.S. Internal Revenue Service, Irish Revenue Commissioners or other relevant tax or other government authority as required by FATCA/CRS;
  - b. compel or effect the sale of the Shares or repurchase and cancel the Shares if it fails to comply with the foregoing requirement; and
  - c. make any other amendments to any other documents entered into in connection with the subscription ("Transaction Documents") as may be necessary to enable the Company to comply with FATCA/CRS.

To the extent that any Transaction Documents do not permit the Company to take any of the actions required for it to comply with FATCA/CRS, I/we hereby authorise the amendment of the any such Transaction Documents to provide for such action.

I/We acknowledge that the Company intend to take such steps as may be required to satisfy any obligations imposed by Council Directive (EU) 2018/822 (amending Directive 2011/16/EU), as applied in Ireland by means of the relevant Irish tax legislation ("DAC6"). I/We further acknowledge that this may, in specific circumstances, require the Company or any party that falls to be considered an "intermediary" for the purposes of DAC6 to exchange certain of my/our information (including details of my/our investment in the Company) to the Irish Revenue Commissioners and other relevant tax authorities. I/We hereby agree to the transmission of such data by the relevant party to the Irish Revenue Commissioners and/or other relevant tax authorities, as is required to comply with DAC6.

In order for the Company to comply with the above DAC6 obligations, I/we agree to provide to the Company, Administrator or any party that falls to be considered an "intermediary" for the purposes of DAC6 for a particular transaction, any necessary information at such times as each of them may request and furthermore provide any supporting certificates or documents as each of them may reasonably require in connection with this investment by reason of DAC.

### **13. Electronic Communications; Recording of Phone Calls**

I/We hereby acknowledge that any notice or document may be served by the Company on me/us in the manner specified from time to time in the Prospectus and, for the purposes of the Electronic Commerce Act 2000, if I have provided an email address or fax number to the Company or its delegate, consent to any such notice or document being sent to me/us by fax or electronically to the fax number or email address previously identified to the Company or its delegate which I/we acknowledge constitutes effective receipt by me/us of the relevant notice or document. I/We acknowledge that I/we are not obliged to accept electronic communication and may at any time choose to revoke my/our agreement to receive communications by fax or electronically by notifying the Company in writing at the above address provided that my/our agreement to receive communications by fax or electronically shall remain in full force and effect pending receipt by the Company of written notice of such revocation.

I/we acknowledge that email is not a secure form of communication and may be subject to interception, interruption, corruption, distortion, non-delivery, loss, may not be confidential, secure or error free and may contain viruses. Using and relying on email involves increased risk of fraud and of miscommunications including those due to a telecommunications system or equipment failure, misdirected communications or illegibility of the instructions or documents and I/we will bear all risks if I/we choose to conduct my/our dealings using email. Neither the Company nor its Services Providers will accept responsibility or liability of any nature whatsoever arising out of or in connection with Instructions given by me/us in PDF form by email, including without

limitation, my/our use of an incorrect email address, failure of my/our transmission, interception, alteration or corruption, non-receipt of the email, failure of technical infrastructure, error, omission, interruption, deletion, defect, delay in operation or transmission, computer virus, communication line failure, or any allotment, switch or redemption or other action taken in good faith by the Administrator upon any electronic Instruction.

I/We consent to the recording of telephone calls made to and received from me/us by the Company, its delegates, its duly appointed agents and any of their respective related, associated or affiliated companies for record keeping, security and/or training purposes.

#### **14. Data Protection**

In signing this application form, I/we hereby consent to the Company and its delegates and their duly authorised agents and any of their respective related, associated or affiliated companies holding, using, disclosing and processing my/our data. I/we have read in detail the Privacy Notice attached at Appendix F. This document provides an outline of my/our data protection rights and the Company's and its affiliates and delegates data protection obligations as they relate to my/our investment in the Company.

#### **15. Management Fees and Distributions charged to capital**

Shareholders should note that the management fees for certain Funds will be charged to the capital of the fund. Thus, on redemptions of holdings Shareholders may not receive back the full amount invested. Shareholders should also note that the distributions will be paid out of capital in certain Funds. As a result capital will be eroded and distributions will be achieved by foregoing the potential for future capital growth and this cycle may continue until all capital is depleted.

#### **16. Structured Products**

Shareholders shall not structure or facilitate the structuring of, nor shall an investment in the Company and/or its Funds be associated with the structuring of, any financial product which is linked in any way to an investment in the Company and/or its Funds unless, where relevant, the Shareholder has obtained prior written consent from the Manager or the Distributor and the Shareholder (and the terms of any such financial product) is in compliance with such terms as are agreed between the Shareholder and the Manager or the Distributor and such other terms or requirements as are notified to the Shareholder pursuant to any such agreement. In the event that a Shareholder in the Company fails to comply with the aforementioned requirement, then the Company reserves the right, at its sole discretion, to compulsorily repurchase and cancel any Shares held by the Shareholder and the Company shall not be liable whatsoever for any loss, liability or cost incurred or suffered by the Shareholder.

## Appendix E

### Politically Exposed Persons

Please complete either Section 1 or 2 below, with reference to the definitions below.

A Politically-Exposed Person ("PEP") is an individual who has at any time in the preceding 12 months been, entrusted with a prominent public function. This includes the following individuals (but excluding any middle ranking or more junior official):

- a "specified official"\*
- a member of the administrative, management or supervisory body of a state-owned enterprise;

\*A "specified official" is (including any such officials in an institution of the European Communities or an international body):

- (a) heads of State, heads of government, ministers and deputy or assistant ministers;
- (b) members of parliament or of similar legislative bodies;
- (c) members of the governing bodies of political parties;
- (d) members of supreme courts, of constitutional courts or of other high-level judicial bodies, the decisions of which are not subject to further appeal, except in exceptional circumstances;
- (e) members of courts of auditors or of the boards of central banks;
- (f) ambassadors, chargés d'affaires and high-ranking officers in the armed forces;
- (g) members of the administrative, management or supervisory bodies of State-owned enterprises;
- (h) directors, deputy directors and members of the board or equivalent function of an international organisation.

Note: No public function referred to in points (a) to (h) shall be understood as covering middle-ranking or more junior officials.

An immediate family member of a PEP includes any of the following persons:

- (a) any spouse of the PEP;
- (b) any person who is considered to be equivalent to a spouse of the PEP under the national or other law of the place where the person or PEP resides;
- (c) any child of the PEP;
- (d) any spouse of a child of the PEP;
- (e) any person considered to be equivalent to a spouse of a child of the PEP under the national or other law of the place where the person or child resides;
- (f) any parent of the PEP;
- (g) any other family member of the PEP who is of a class prescribed by the Minister for Justice under section 37(11) of the Act.

A close associate of a PEP includes any of the following persons

- a. any individual who has joint beneficial ownership of a legal entity or legal arrangement, or any other close business relations, with the PEP;
- b. any individual who has sole beneficial ownership of a legal entity or legal arrangement set up for the actual benefit of the PEP.

As an example, a "beneficial owner" of a body corporate is any individual who (other than a company having securities listed on a regulated market):

- i. ultimately owns or controls, whether through direct or indirect ownership or control (including through bearer shareholdings), more than 25 per cent of the shares or voting rights of the body; or
- ii. otherwise exercises control over the management of the body.

**Section 1: To be completed only if the PEP Rules apply with Reference to the above definitions**

- ☒ the application is being made by a PEP/immediate family member of a PEP/ close associate of a PEP; or
- ☒ the applicant has a beneficial owner who is a PEP/immediate family member of a PEP/close associate of a PEP; or
- ☒ the application is being made for the benefit of a PEP/immediate family member of a PEP/close associate of a PEP; or
- ☒ it is intended to transfer the shares to a PEP/immediate family member of a PEP/close associate of a PEP.

Name of PEP \_\_\_\_\_

Office of PEP \_\_\_\_\_

Address of PEP \_\_\_\_\_

Relationship of Applicant or Applicant's Beneficial Owner to PEP \_\_\_\_\_

**Source of Wealth of the PEP**

**(please give details of how the PEP acquired/generated his/her overall wealth – please tick appropriate box below):**

- |   |   |
|---|---|
| <input type="checkbox"/> Inheritance                            | <input type="checkbox"/> Sale of Business |
| <input type="checkbox"/> Gift                                   | <input type="checkbox"/> Salary           |
| <input type="checkbox"/> Investment income                      | <input type="checkbox"/> Lottery          |
| <input type="checkbox"/> Pension                                |   |
| <input type="checkbox"/> Sale of assets (please specify): _____ |   |
| <input type="checkbox"/> Other (please specify): _____          |   |

Further supporting documentation may be requested if deemed necessary to verify the above information.

**Source of Funds of the PEP**

**(please gives details of PEP realised the cash for this investment – please tick appropriate box below):**

- |   |   |
|---|---|
| <input type="checkbox"/> Inheritance                            | <input type="checkbox"/> Sale of Business |
| <input type="checkbox"/> Gift                                   | <input type="checkbox"/> Salary           |
| <input type="checkbox"/> Investment income                      | <input type="checkbox"/> Lottery          |
| <input type="checkbox"/> Pension                                |   |
| <input type="checkbox"/> Sale of assets (please specify): _____ |   |
| <input type="checkbox"/> Other (please specify): _____          |   |

Further supporting documentation may be requested if deemed necessary to verify the above information.

**Section 2: Please tick the box below if the PEP rules do not apply with reference to the definitions above:**

- ☐ ☒ I/we confirm that the application is NOT being made by a PEP/immediate family member of a PEP/close associate of a PEP; and
- ☒ the applicant does not have a beneficial owner who is a PEP/immediate family member of a PEP/close associate of a PEP; and
- ☒ the application is NOT being made for the benefit of a PEP/immediate family member of a PEP/close associate of a PEP; and
- ☒ it is NOT intended to transfer the shares to a PEP/immediate family member of a PEP/close associate of a PEP.

### Privacy Notice

#### PIMCO Funds: Global Investors Series plc (the "Company")

##### Introduction

The purpose of this document is to provide you with information on our use of your personal data in accordance with the EU data protection regime introduced by the General Data Protection Regulation (Regulation 2016/679, the "**Data Protection Legislation**").

In this document, "we", "us" and "our" refer to the Company and its affiliates and delegates.

##### Who this affects

If you are an individual investor, this will affect you directly. If you are an institutional investor that provides us with personal data on individuals connected to you for any reason in relation to your investment with us, this will be relevant for those individuals and you should transmit this document to such individuals or otherwise advise them of its content.

##### Your personal data

By virtue of making an investment in the Company and your associated interactions with us (including the initial application, and including the recording of electronic communications or phone calls where applicable) or by virtue of you otherwise providing us with personal information on individuals connected with you as an investor (for example directors, trustees, employees, representatives, shareholders, investors, clients, beneficial owners or agents), you will provide us with certain personal information which constitutes personal data within the meaning of the Data Protection Legislation. We may also obtain personal data on you from other public sources.

This includes information relating to you and/or any individuals connected with you as an investor in the Company such as: name, residential address, email address, contact details, corporate contact information, signature, nationality, place of birth, date of birth, tax identification, credit history, correspondence records, passport number, bank account details, source of funds details and details relating to your investment activity, contact and payment details and information to verify identity.

##### How we may use your personal data

The Company, as the data controller, may collect, store and use your personal data for purposes including the following:

- (i) to reflect your ownership of shares in the Company (i.e. where this is necessary for the performance of the contract); and/or
- (ii) to discharge our anti-money laundering obligations or for prevention of fraud or for regulatory or tax reporting purposes or in response to legal requests or requests from regulatory authorities (i.e. where this is necessary for compliance with a legal obligation to which we are subject); and/or
- (iii) for direct marketing purposes (providing information on products and services) (i.e. where this is necessary for the purposes of the legitimate interests of us or a third party and such legitimate interests are not overridden by your interests, fundamental rights or freedoms and provided that we are acting in a fair, transparent and accountable manner and have taken appropriate steps to prevent such activity having any unwarranted impact on you and also noting your right to object to such uses).

Additionally, State Street Fund Services (Ireland) Limited (the "**Administrator**") may use your personal data where this is necessary for compliance with a legal obligation to which it is directly subject to (i.e. to comply with applicable law in the area of anti-money laundering and counter terrorist financing or where mandated by a court order or regulatory sanction). The Administrator, in respect of this specific use of personal data, acts as a data controller.

Should we wish to use your personal data for other specific purposes (including, if applicable, any purpose that requires your consent), we will contact you.

##### Why we may transfer your personal data

We may share your personal data with our affiliates and delegates.

In certain circumstances we may be legally obliged to share your data and other financial information with respect to your interest in the Company with the Irish Revenue Commissioners and they, in turn, may exchange this information with foreign tax authorities including tax authorities located outside the EEA.

The affiliates and delegates of the Company may process your personal data on our behalf and this may include certain entities located outside the EEA.

##### The data protection measures we take

Any transfer of personal data by us or our duly authorised delegates outside the EEA shall be in accordance with the conditions in the Data Protection Legislation.

We shall apply appropriate information security measures designed to protect data in our possession from unauthorised access by third parties or any form of computer corruption.

We shall notify you of any personal data breach affecting you that is likely to result in a high risk to your rights and freedoms.

## **Your data protection rights**

You have certain rights regarding our use of your personal data, examples summarised below:

- the right to access your data (in an easily readable form);
- the right to examine and correct your data;
- the right to data portability;
- the right to restrict the use of your data;
- the right to withdraw any consent given to the processing of your data (where applicable);
- the right to receive information regarding any entities we disclose your data to;
- the right to lodge a complaint with the Office of the Data Protection Commissioner (our lead supervisory authority);
- the right to object to the processing of your data where we have considered this to be necessary for the purposes of our legitimate interests.

## **Our retention of your personal data**

We may retain your personal data for such a period as required by any applicable laws or regulations or for such a period as may be permitted in accordance with the lawful purposes or our legitimate interests outlined above. Thereafter, we will refrain from collecting any further personal data on you and shall take appropriate steps to dispose of any records containing your personal data to the extent this is operationally feasible and proportionate.

## **Getting in touch**

The Company is not required to designate a data protection officer. However, should you have any queries or wish to discuss your data protection rights with us, please contact us at [emea\\_privacy@pimco.com](mailto:emea_privacy@pimco.com).



## Appendix G

### Declaration of Beneficial Owners

In accordance with applicable AML Requirements, investors must declare the identity of their ultimate beneficial owner(s) ("Beneficial Owners"). Please tick only one of the options below and complete the relevant section. Please refer to the Beneficial Owners definition on the next page under the heading "Definition of Beneficial Owners" to determine whether Section 1 or Section 2 is applicable.

- ☐ Option A: We confirm there is/are natural person(s) who is/are the Beneficial Owner(s) of the investor. (Please complete Section 1 below)
- ☐ Option B: We confirm there is/are no natural person(s) identified under Option A and therefore, the Beneficial Owner(s) are those who hold the position of senior managing official(s). (Please complete Section 2 below)

#### Section 1: There is a natural person(s) who is / are a beneficial owner of the investor

##### Beneficial Owner 1

| Full Name | Residential Address (PO box or C/O will not be accepted) | Date and Place of Birth | Nationality | Tax Residence(s) | Tax Identification Number(s) | Share holding type (and %) |
|-----------|--|-------------------------|-------------|------------------|------------------------------|----------------------------|
|           |  |                         |             |                  |                              |                            |

##### Beneficial Owner 2

| Full Name | Residential Address (PO box or C/O will not be accepted) | Date and Place of Birth | Nationality | Tax Residence(s) | Tax Identification Number(s) | Share holding type (and %) |
|-----------|--|-------------------------|-------------|------------------|------------------------------|----------------------------|
|           |  |                         |             |                  |                              |                            |

#### Section 2: No natural person(s) who is / are a beneficial owner of the investor

In the event where no natural person falls under Option A, the senior managing official(s) of the subscribing entity will be recorded as the Beneficial Owner.

##### Senior Managing Official 1

| Full Name | Residential Address (PO box or C/O will not be accepted) | Date and Place of Birth | Nationality | Function (Title) |
|-----------|--|-------------------------|-------------|------------------|
|           |  |                         |             |                  |

##### Senior Managing Official 2

| Full Name | Residential Address (PO box or C/O will not be accepted) | Date and Place of Birth | Nationality | Function (Title) |
|-----------|--|-------------------------|-------------|------------------|
|           |  |                         |             |                  |

If needed, please add additional senior managing official(s) on a separate sheet.

I, \_\_\_\_\_ hereby certify, to the best of my knowledge, that the information provided above is complete and correct.

**Further, I understand that the administrator reserves the right to request further documentation if needed to comply with applicable anti-money laundering laws and regulations.**

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Appropriate Representative (e.g. AVP or above, Director, Compliance, MLRO or delegate)

**(State Name and Position of Appropriate Representative)**

## DEFINITION OF BENEFICIAL OWNER(S)

A Beneficial Owner is defined as meaning any natural person(s) who ultimately owns or controls the customer and/or the natural person(s) on whose behalf a transaction or activity is being conducted and includes at least: .

- (a) in the case of corporate entities: (i) the natural person(s) who ultimately owns or controls a legal entity through direct or indirect ownership of a sufficient percentage of the shares or voting rights or ownership interest in that entity, including through bearer shareholdings, or through control via other means, other than a company listed on a regulated market that is subject to disclosure requirements consistent with Union law or subject to equivalent international standards which ensure adequate transparency of ownership information. A shareholding of 25 % plus one share or an ownership interest of more than 25 % in the customer held by a natural person shall be an indication of direct ownership. A shareholding of 25 % plus one share or an ownership interest of more than 25 % in the customer held by a corporate entity, which is under the control of a natural person(s), or by multiple corporate entities, which are under the control of the same natural person(s), shall be an indication of indirect ownership; (ii) if, after having exhausted all possible means and provided there are no grounds for suspicion, no person under point (i) is identified, or if there is any doubt that the person(s) identified are the beneficial owner(s), the natural person(s) who hold the position of senior managing official(s), the obliged entities shall keep records of the actions taken in order to identify the beneficial ownership under point (i) and this point;
- (b) in the case of trusts: (i) the settlor; (ii) the trustee(s); (iii) the protector, if any; (iv) the beneficiaries, or where the individuals benefiting from the legal arrangement or entity have yet to be determined, the class of persons in whose main interest the legal arrangement or entity is set up or operates; (v) any other natural person exercising ultimate control over the trust by means of direct or indirect ownership or by other means;
- (c) in the case of legal entities such as foundations, and legal arrangements similar to trusts, the natural person(s) holding equivalent or similar positions to those referred to in point (b);