

Lazard Investment Funds

Application Form for
Corporates/Trusts/Charities



Lazard Investment Funds (the “Company”)

Application Form for Corporates/Trusts/Charities

COMPLETING YOUR APPLICATION FORM

Before filling in the application form please check you:

- Understand the Fund and its objectives you have chosen
- Consider the risks involved
- Understand the charges of the investment

Before making an investment, please read the following documents:

- The Key Investor Information Document (s) (UCITS KIID) for your selected Fund(s)
- Supplementary Information Document (SID)
- Terms and Conditions

All documents are available on our website www.lazardassetmanagement.com.

Should you wish to receive a printed copy by post, please either telephone **0800 374 810** or e mail contactuk@lazard.com

FILLING IN YOUR APPLICATION FORM

Please complete the form in BLOCK CAPITALS using black ink.

- Complete the relevant sections of the Application Form
- Read and sign the Declaration
- Send your application to:

Lazard Fund Managers Limited
PO Box 364
Darlington
DL1 9RD

To make a lump sum payment

Please pay to the below details:

Name: LloydsTSB Bank
Sort Code: 30-00-02
Account No. 00026978
Account Name: Lazard Fund Managers Ltd
Reference: Your Name

N.B. We do not accept cheque payments

To make a monthly payment

- Fill in the Direct Debit form included in the application form
- Direct debits will be taken out on 1st day of the month
- It can take up to 10 working days to set up a direct debit
- Minimum monthly direct debit is £25

Please note Identification documents are required prior to investment. Attached list of ‘Forms of Identification’ can be found at the end of the application form.

If you have any questions on completing the application form, please contact your Independent Financial Adviser or our Client Services team on 0370 606 6459. Calls may be monitored and/or recorded. Call charges may vary.

Lazard Investment Funds (“the Company”)

Account Opening Application Form for Corporates/Trusts¹/Charities

PLEASE COMPLETE THIS FORM AND FATCA CERTIFICATION FORM CLEARLY USING CAPITAL LETTERS.

IT IS IMPORTANT THAT YOU READ THE DECLARATIONS BEFORE SIGNING.

PLEASE ALSO READ THE KEY INVESTOR INFORMATION DOCUMENT BEFORE INVESTING.

Please complete, sign and return to: Lazard Fund Managers Limited, PO Box 364, Darlington, DL1 9RD, Tel 0370 606 6459, Fax 0870 275 0017.

Identification documents are required prior to investment. Please see attached list “Documentation Requirements” to assist with your completion.

Please note, any forms received without identification documents will be rejected.

1. Investor Details

Name:

Permanent address:

Telephone number: Email:

Account designation (e.g. XYZ Plc a/c AS):

Tax identification number:

Charity or PSO number (if applicable):

FCA reference number (if applicable):

UK tax exempt status: Yes: No:

¹ Trusts must provide details of the individuals and/or corporate entity acting as Trustees. UK law prevents a trust being a registered holder of a regulated collective investment scheme. If individual trustees, please provide details of name, private address, date of birth and nationality of each.

2. Investment Details

Please complete the ISIN number referred to in the Key Investor Information Document.

Sub-Fund	ISIN number	Investment amount
UK Omega Fund:	<input type="text"/>	<input type="text"/>
Multi-Cap UK Income Fund:	<input type="text"/>	<input type="text"/>
UK Smaller Companies Fund:	<input type="text"/>	<input type="text"/>
European Alpha Fund:	<input type="text"/>	<input type="text"/>
European Smaller Companies Fund:	<input type="text"/>	<input type="text"/>
Global Equity Income Fund:	<input type="text"/>	<input type="text"/>
Emerging Markets Fund:	<input type="text"/>	<input type="text"/>
Developing Markets Fund:	<input type="text"/>	<input type="text"/>
Managed Balanced Fund:	<input type="text"/>	<input type="text"/>
Managed Equity Fund:	<input type="text"/>	<input type="text"/>

3. Income and Redemption Payments

Income reinvested: Income paid: (if neither box is ticked income will be automatically reinvested)

If you would like income paid please complete the details below. Income and redemption payments will be paid directly into this account.

Name of Bank/Building Society:

Branch address:

Postcode: Sort code:

Account name: Account number:

4. Declarations

1. We declare that the information we have given in this application form is correct to the best of our knowledge and belief and we will promptly notify Lazard Fund Managers Limited of any changes.

Key Investor Information Document (“KIID”)

2. We acknowledge that it is a pre-condition to acceptance of this application that we have received the latest available KIID in respect of the Share Class/Sub-Fund in which we are investing in.
3. Prior to making this application we have received free of charge and read the latest available KIID in respect of the relevant Share Class and Sub-Fund.
4. We understand that this application is made on the basis of and is subject to the Prospectus, Articles of Association, the relevant KIID and the latest annual or semi-annual report and accounts and that we are aware of the risks associated with investing in the Sub-Fund.
5. By subscribing for shares in Lazard Investment Funds, we will not be in breach of any laws or regulations of any competent jurisdiction and we hereby indemnify the Company, the Lazard Fund Managers Limited, the Depositary, the Administrator and other Shareholders for any loss suffered by them as a result of this warranty/representation not being true in every respect.
6. To comply with Anti-Money Laundering regulations, we acknowledge that you will need to request additional evidence of identify from me/us. I/we agree that you may use a credit reference agency for this purpose who will record that an inquiry has been made.
7. We declare that we are not a US person and are not purchasing shares for the account or benefit of a US person as defined in Regulation S under the 1933 Act (see “Definition of US person” in the Prospectus) and as defined in the Foreign Account Tax Compliance Act (“FATCA”). We will not knowingly sell or transfer any Shares for which we may subscribe for to any person who is a US person as defined in Regulation S under the 1933 Act and FATCA. We declare that we have completed the self-certification form to the best of our knowledge, and belief and we will promptly notify “Lazard Fund Mangers Limited” of any and all changes to the details of this subscription.
8. We declare that we are not an employee benefit plan subject to Title 1 of the Employee Retirement Income Security Act of 1974, as amended (“ERISA”), or a retirement plan covering only self-employed individuals and individual retirement accounts or otherwise defined as a “plan” in section 4975(e) of the Code, or any other employee benefit plan as defined in section 3(3) of ERISA even if not subject to Title 1 of ERISA (such as non-US benefit plans, governmental plans and church plans) and any entity the assets of which are “plan Assets”.
9. **Data Protection**
I/we acknowledge that I/we have received the Company’s Data Protection Notice as appended to Annex I - Important Information about Your Personal Data of this application and that I/we have read and fully understand, all of the information it contains.

To the extent that the information contained in this application, or any other information that I/we provide to you in connection with investment in the Company, relates to another identifiable individual on whose behalf I am/we are applying for Shares, I/we also confirm that I/we have provided the information contained in the Company’s Data Protection Notice as appended to Annex I - Important Information about Your Personal Data to this application as required pursuant to the EU General Data Protection Regulation (Regulation 2016/679) (“GDPR”).

10. We agree that you may report to the Her Majesty’s Revenue and Customs to comply with the current EU savings directive.
11. We agree that when we buy or sell shares in a fund, in accordance with an exemption to the FCA’s Client Money Rules (the delivery versus payment exemption), Lazard Fund Managers Limited (“Lazard”) is not required to treat our subscription payment or redemption proceeds as client money for the purposes of settling that transaction, provided that the money is used to subscribe for shares (in the case of a subscription payment) or paid out to us (in the case of redemption proceeds) by the end of the Business Day following the day on which Lazard received the money. In these circumstances, our subscription payment or redemption proceeds can be mixed with Lazard’s own money and for a short period will not have the same level of protection as if Lazard had treated it as client money.

Signature: Date:

Signature: Date:

Agent Declaration (if applicable)

Where the applicant investor has chosen in this application form to subscribe for shares in any share class in Lazard Investment Funds which will result in the receipt of commission by my firm and/or me, I declare, undertake and confirm, on behalf of my firm and myself that the agreement between my firm and/or me and the applicant investor legally permits such commission payments to be paid to my firm and/or me. I declare, undertake and confirm on behalf of my firm and myself that such commission payments and receipts:

- a) have been fully disclosed to the applicant investor;
- b) do comply with the FCA’s handbook of rules and guidelines (“FCA Rules”) including the FCA Conduct of Business Sourcebook (COBS), and all other legal and regulatory requirements;
- c) do comply with the agreement/terms of business in place between my firm and/or myself and Lazard Fund Managers Limited;
- d) my firm and/or I hereby indemnifies, and will keep indemnified, Lazard Fund Managers Limited, Lazard Investment Funds and the Administrator/Registrar against all losses, claims, costs, damages and expenses arising from any commissions subsequently found to have been paid to my firm and/or me in contravention of the FCA Rules including COBS;
- e) my firm and/or I will immediately notify Lazard Fund Managers Limited and the Administrator/Registrar in the event that any commission payment is not; or ceases to be, compliant with the FCA Rules, including COBS; and
- f) my firm and/or I will maintain accurate and up to date records sufficient to evidence in all material respects my firm’s and/or my compliance with the above and to retain these for as long as required by the FCA Rules.

Signed: Print name:

Name of firm: Capacity:

Date: FCA number:

INSTRUCTIONS TO YOUR BANK OR BUILDING SOCIETY TO PAY DIRECT DEBITS

Please complete the whole form and send it to:

Lazard Fund Managers Limited
 PO Box 364,
 Darlington,
 DL1 9RD.



Originators Identification No.

1. Name and full postal address of your Bank or Building Society branch

Bank/Building Society:

Address:

2. Name(s) of Account Holders

3. Branch Sort Code

4. Bank or Building Society Account Number

Banks and Building Societies may not accept direct debit instructions from some types of account.

5. Instructions to your Bank or Building Society

Please pay Lazard Fund Managers Limited direct debits from the account detailed in this instruction subject to the safeguards assured by the Direct Debit Guarantee. I/we understand that this instruction may remain with Lazard Fund Managers Limited and, if so, details will be passed electronically to my/our Bank/Building Society.

Signature Date

Signature Date

For official use only: Reference No.

The Direct Debit Guarantee

The guarantee is offered by all banks and building societies that take part in the Direct Debit Scheme.

The efficiency and security of the Direct Debit Scheme is monitored and protected by your own bank or building society. The amounts to be paid are variable but can only be changed after receiving prior notice from you.

The payment dates are variable but can only be changed after giving you prior notice.

If an error is made by us or your Bank/Building Society, you are guaranteed a full and immediate refund of the amount paid.

You can cancel a Direct Debit at any time by writing to your Bank/Building Society. Please also send a copy of your letter to us at the address at the top of this form.

ANNEX 1 - IMPORTANT INFORMATION ABOUT YOUR PERSONAL DATA DATA PROTECTION NOTICE

Lazard Investment Funds (the “Company”)

1. Purpose of Notice

This notice sets out details on how personal information relating to you, as an investor in the Company or otherwise as a director, officer, adviser, employee, beneficial owner and/or other representative of an investor in the Company (“**Personal Data**”) will be handled by the Company, as controller of the Personal Data (as specified in Section 3 of this notice below) and by The Bank of New York Mellon (International) Limited (the “**Administrator**”) as processor of the Personal Data and / or on our behalf by third party service providers as and from 25 May 2018.

2. Personal Data Processed by the Company

The Company processes your Personal Data as provided to it or its relevant service provider(s) on this investor application form, that it collects, generates or observes while administering the account and other Personal Data you provide to us or the Company’s third party service providers acting on the Company’s behalf such as AML / KYC information. This information includes:

- a. **Information provided to the Company by representatives of the applicant(s):** this includes your name and address (including proofs of name and address), contact details, place of birth, date of birth, gender, nationality, photograph, signature, national identification number, social security number, income, assets, other financial information, bank details, investment history, tax residency and tax identification information.
- b. **Information that the Company collects, generates or observes:** this might include information relating to your or an applicant’s investment in the Company, emails, call recordings and website usage data.
- c. **Information that the Company obtains from third party sources:** this might include information obtained for the purpose of the Company’s AML / KYC procedures, information from public websites and information received from your / an applicant’s advisers or from intermediaries.

3. Why the Company Processes your Personal Data

The Company collects and processes your Personal Data on various legal bases and for numerous different purposes, including those set out below.

Legal Basis	Purpose(s)
<p>Performance of a Contract</p> <p>The Company must process your Personal Data in order to enter into and perform its contract with you as an investor in the Company.</p>	<ul style="list-style-type: none"> • To assess the initial application for shares and to facilitate the opening of the account with the Company. • To facilitate the management and administration of holdings and dealing in the Company including, without limitation, the processing of redemption, conversion, transfer and additional subscription requests, the payment of distributions and the processing and verification of instructions.
<p>Legitimate Interests</p> <p>The Company may process your Personal Data in order to exercise or preserve its legitimate business interest(s).</p>	<ul style="list-style-type: none"> • To make relevant disclosures in the course of a merger, acquisition or bankruptcy of the Company or any sub-fund of the Company. • To validate and verify information for security purposes, including for the prevention of fraud. • To manage the Company, including monitoring and resolving complaints. • To send administrative information relevant to the investment in the Company. • To exercise or defend a legal claim, including in the context of litigation, arbitration and similar proceedings.

Compliance with Legal Obligation

The Company may process your Personal Data in order to comply with its relevant legal and regulatory obligations.

- To ensure compliance with the Company’s legal, tax and regulatory obligations, including its FATCA/CRS reporting obligations.
- To assist the Company’s auditors in the auditing of the Company in accordance with its legal obligations.
- To investigate, detect, prevent or prosecute crimes in relation to the prevention of fraud, money laundering and/or terrorist financing, including “know your customer” and other necessary on boarding and ongoing investor checks.

Profiling and Screening

The Company, the Administrator and/or their service providers may also conduct activities required to comply with anti-money laundering requirements (such as “know your customer” checks) and PEP, negative news, financial sanctions and other financial crime related screening programmes for the purposes of complying with applicable regulatory and legal requirements, including applicable sanctions regimes. The implementation of these activities and programmes may result in the Company or the Administrator refusing an application for shares in the Company or delaying or refusing to make any redemption payment or distribution payment to you if you or any beneficial owner of your shares appear on such screening programmes or if the documentation provided does not satisfy applicable anti-money laundering requirements. In the event that you are identified as a PEP as a result of the screening process, you may be required to provide additional information and/or documentation to the Company or the Administrator. Such processing, which may reveal your political opinions or any trade union memberships, is considered lawful on the grounds of substantial public interest permitted under GDPR.

The Company, the Administrator and their service providers may collect special categories of personal data in order to perform the activities and to conduct the screening programmes specified in the prior paragraph. Such special categories of personal data may include your political opinions or any trade union memberships. The Company and the Administrator shall only process any such special categories of personal data as permitted under applicable laws and regulations.

4. Third Party Recipients of your Personal Data

The Company may disclose your Personal Data to its relevant service providers and/or other third parties including:

- the Administrator, Registrar and Transfer Agent, currently The Bank of New York Mellon (International) Limited and its affiliates including: The Bank of New York Mellon London Branch, BNY Mellon International Operations (India) Private, Limited and The Bank of New York Mellon, Luxembourg SA/NV Luxembourg Branch;
- external sub processors, services providers and third party vendors of the Administrator which include the following: Bravura Solutions PTY Limited, Vodafone, TIBCO, Capita Business Services Limited, Apteon (CDC Respond), Experian Limited, Scottish Braille, Crown Records Management;
- the Currency Manager, The Bank of New York Mellon;
- the Depository, The Bank of New York Mellon (International) Limited;
- the Auditors, currently PricewaterhouseCoopers;
- the Legal Advisors as to matters of English law, currently Macfarlanes LLP;
- the MLRO, currently Tim Russell, Lazard Asset Management Limited
- the Manager, currently Lazard Asset Management Limited;
- Investment Managers, currently Lazard Asset Management Limited, Lazard Asset Management LLC; or Lazard Asset Management (Deutschland) GmbH;
- the Distributor, currently Lazard Asset Management Limited;
- the Solvency II data collection provider, currently Morningstar, Funds library, TPT Connect and Silverfinch;
- HM Revenue and Customs and other national revenue authorities;
- national regulators, including the FCA;
- tax advisors, currently PricewaterhouseCoopers; and
- the banking provider, currently Lloyds Bank.

The Company or its service providers may also disclose Personal Data to any other persons or entities as agreed between the Company and the relevant service provider, or as may be required or expressly permitted by applicable laws.

5. International Transfer of your Personal Data

The disclosure of your Personal Data to the third party recipients set out above may involve the transfer of data to India, the United States of America, Singapore and other jurisdictions outside the European Economic Area (“**EEA**”), which are not the subject of an adequacy decision by the EU Commission. Such countries may not be subject to equivalent data protection laws as countries within the EU. Any transfer of your Personal Data to jurisdictions outside the EEA may only occur in accordance with the requirements of the EU General Data Protection Regulation (Regulation 2016/679) (“**GDPR**”). For example, in connection with the transfer of your Personal Data to jurisdictions outside the EEA, the Company has authorised the Administrator as its delegate to enter into standard contractual clauses, as prescribed under the GDPR, with relevant parties to whom your Personal Data will be transferred. Copies of these clauses may be sought from the Company using the contact details at section 8 below.

6. Retention of your Personal Data

The Company and the Administrator will retain Personal Data for as long as necessary or permitted in light of the purpose(s) for which it was obtained. The criteria used to determine the retention periods include:

- the length of the Company’s relationship with you and other applicants (if any);
- whether there is a legal obligation to which the Company or Administrator are subject (such as retaining Personal Data obtained for the performance of AML and related checks, which will be kept for 6 years after termination of the relationship); and
- whether retention is advisable in light of the Company or Administrator’s legal position (such as with respect to statutes of limitations, litigation or regulatory investigations), in which case the Personal Data may be kept for up to 6 years.

7. Your Data Protection Rights

You have a number of rights in relation to your Personal Data, which are set out in the table below. **In particular these rights include the right to object to processing of your Personal Data where that processing is carried out for the Company’s legitimate interests.** Note that in certain circumstances these rights might not be absolute.

Right	Further Information
Right of Access	You have the right to request a copy of the Personal Data held by the Company about you and to access the information which the Company holds about you. The Company may charge you for making such an access request where it feels your request is unjustified or excessive.
Right to Object	You have a right to object at any time to the processing of your Personal Data where the Company processes your Personal Data on the legal basis of pursuing the Company’s legitimate interests.
Right to Rectification	You have the right to have any inaccurate Personal Data which the Company holds about you updated or corrected.
Right to Erasure	In certain circumstances, you may also have your personal information deleted, for example if you exercise your right to object (see above) and the Company does not have an overriding reason to process your Personal Data or if the Company no longer requires your Personal Data for the purposes as set out in this notice.
Right to Restriction of Processing	You have the right to ask the Company to restrict processing your Personal Data in certain cases, including if you believe that the Personal Data the Company holds about you is inaccurate or the Company’s use of your information is unlawful. If you validly exercise this right, the Company will store your Personal Data and will not carry out any other processing until the issue is resolved.
Right to Data Portability	You may request the Company to provide you with your Personal Data that you have given the Company in a structured, commonly used and machine-readable format and you may request the Company to transmit your Personal Data directly to another data controller where this is technically feasible. This right only arises where: (1) the Company processes your Personal Data with your consent or where it is necessary to perform the Company’s contract with you; and (2) the processing is carried out by automated means.

Where the Company or the Administrator requires your Personal Data to comply with anti-money laundering or other relevant legal requirements, failure to provide this information may prevent the application for initial subscription of shares and/or any future dealing of shares in the Company.

Should you consider that the processing of your Personal Data by the Company or its service providers infringes the provisions of the GDPR, you may lodge a complaint with a supervisory authority in the EU Member State of your habitual residence, place of work, or in the place of an alleged infringement.

8. Contact Us

If you have any questions in relation to the Company's use of your Personal Data, or would like to submit a request with respect to your rights above, please contact us at 0370 606 6459 and the Manager c/o the Administrator PO Box 364, Darlington, DL1 9RD.

Lazard Investment Funds (the “Company”)

Entity Self-Certification for FATCA and CRS

Instructions for completion

Tax regulations¹ require us to collect certain information about each investor’s tax residency and tax classifications. Please complete the sections below as directed and provide any additional information that is requested. Please note that in certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information about your account(s) with the relevant tax authorities. If you have any questions about your organisation’s classifications in the form below, please contact your tax adviser. **Please see explanatory notes for key definitions.** Should any information provided change in the future, please ensure you advise us promptly.

IN ORDER FOR THIS FORM TO BE VALID ALL SECTIONS 1 TO 4 MUST BE COMPLETED.

Section 1: Tax residency information

If your organisation has more than one country of tax residency, please complete one self-certification form for each country.

1.1 Please state the country in which your organisation is resident for tax purposes:

1.2 Please provide us with your organisation’s Tax Identification Number:

Section 2A: Organisation’s classification under FATCA²

Please tick only one box with reference to the tax residency stated in box 1.1.

If your organisation is a Financial Institution⁵, please specify which type:

2.1 UK Financial Institution⁵ or a Partner Jurisdiction Financial Institution⁶:

2.2 Participating Foreign Financial Institution (in a non-IGA jurisdiction⁷):

2.3 Non-Participating Foreign Financial Institution⁸ (in a non-IGA jurisdiction⁷):

2.4 Financial Institution resident in the USA or in a US Territory⁹:

2.5 Exempt Beneficial Owner¹⁰:

2.6 Deemed Compliant Foreign Financial Institution¹¹ (besides those listed above):

Where you have ticked 2.1 or 2.2 above, or you have ticked 2.6 and your organisation is a Registered Deemed Compliant Foreign Financial Institution, please provide your Global Intermediary Identification Number (GIIN):

Organisation’s GIIN:

If your organisation is not a Financial Institution⁵, please specify the entity’s FATCA status below:

2.7 Active Non-Financial Foreign Entity¹²:

2.8 Passive Non-Financial Foreign Entity¹³:

(If you tick this box, please complete the Controlling Persons – Tax Residency Self-Certification Form in Appendix 1 for each of your Controlling Persons⁴)

Section 2B: Complete this only if your organisation is US Tax Resident (box 1.1)

Tick this box if your organisation is any of the following and therefore **not** a Specified US Person¹⁶:

- a. A regularly traded corporation on a recognised stock exchange
- b. Any corporation that is a member of the same expanded affiliated group as a regularly traded corporation on a recognised stock exchange
- c. A government entity
- d. Any bank as defined in section 581 of the US Internal Revenue Code
- e. A retirement plan under section 7701(a)(37), or exempt organization under section 501(a) of the US Internal Revenue Code
- f. OR any other exclusion listed in Explanatory Note 16

Section 3: Organisation's classification under the Common Reporting Standard (CRS)²

Please tick only one box in this section with reference to the tax residency stated in box 1.1.

- 3.1 Financial Institution¹⁷:
(This includes Non-Reporting Financial Institutions¹⁸ such as a pension scheme, government entity, international organisation and other entities listed in Explanatory Note 18).
- 3.2 A professionally managed Investment Entity²³ **outside** of a CRS Participating Jurisdiction²⁴:
(If this box is ticked, please complete the Controlling Persons – Tax Residency Self-Certification Form in Appendix 1 for each of your Controlling Persons⁴)
- 3.3 Active Non-Financial Entity²⁰ which is regularly traded on an established securities market or affiliated thereto, a Governmental Entity or an International Organisation:
- 3.4 Active Non-Financial Entity²⁰:
(other than those listed in 3.3 above)
- 3.5 Passive Non-Financial Entity²¹:
(If you tick this box, please complete the Controlling Persons – Tax Residency Self-Certification Form in Appendix 1 for each of your Controlling Persons⁴)

Section 4: Declaration for FATCA and CRS²

I/we declare (as an authorised signatory of the Organisation) that the information provided in this form is, to the best of my/our knowledge and belief, accurate and complete.

I acknowledge that the information contained in this form and information regarding the Account Holder may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be tax resident where those countries (or tax authorities in those countries) have entered into Agreements to exchange financial account information.

I/we undertake to advise the recipient promptly and provide an updated Self-Certification where any change in circumstance (including any changes in Controlling Persons) occurs which causes any of the information contained in this form to be incorrect.

Organisation address:

Number: Street:

City, town, state, province or county:

Postcode: Country:

Country of incorporation or organisation:

First authorised signature:

Signed by (please print name):

Position (in organisation):

Signature:

Date:

Second authorised signature:

Signed by (please print name):

Position (in organisation):

Signature:

Date:

On behalf of (organisation name):

Appendix 1

Controlling Persons – Tax Residency Self-Certification Form

If you have indicated in Section 2A or Section 3 above that your organisation is a Passive Non-Financial Entity or a professionally managed Investment Entity outside of a CRS Participating Jurisdiction, you are required to provide information about each Controlling Person below. Please provide a completed Controlling Persons – Tax Residency Self-Certification Form for all Controlling Persons. Please note that all sections 1 to 8 below must be completed for this form to be valid.

1. Name of Controlling Person:
2. Current residence and/or mailing address:
3. Date of birth:
4. Place of birth (city/town):
5. Country of birth:
6. Residency/residencies for tax purposes:

Please indicate all countries in which you are resident for tax purposes and the associated Taxpayer Identification Number(s) (TIN(s)) in the table below. If you are a US citizen or resident in the US for tax purposes, please include United States in this table along with your US Tax Identification Number.

Country/countries of tax residency	Tax ID number
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

7. Type of Controlling Person:

Please confirm what type of Controlling Person applies to you by ticking the appropriate box below:

- Controlling Person of a legal person – control by ownership:
- Controlling Person of a legal person – control by other means:
- Controlling Person of a legal person – senior managing official:
- Controlling Person of a trust – settlor:
- Controlling Person of a trust – trustee:
- Controlling Person of a trust – protector:
- Controlling Person of a trust – beneficiary:
- Controlling Person of a trust – other:
- Controlling Person of a legal arrangement (non-trust) – settlor-equivalent:
- Controlling Person of a legal arrangement (non-trust) – trustee-equivalent:
- Controlling Person of a legal arrangement (non-trust) – protector-equivalent:
- Controlling Person of a legal arrangement (non-trust) – beneficiary-equivalent:
- Controlling Person of a legal arrangement (non-trust) – other-equivalent:

8. Declaration and Undertakings

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

I acknowledge that the information contained in this form and information regarding the Account Holder may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be tax resident where those countries (or tax authorities in those countries) have entered into Agreements to exchange financial account information.

I undertake to advise the recipient promptly and provide an updated Self-Certification form where any change in circumstances occurs which causes any of the information contained in this form to be incorrect.

Authorised signature:

Print name:

Date (dd/mm/yyyy):

Capacity:

Explanatory notes

The following explanatory notes are based on Tax Regulations as implemented in the UK. If you have any questions about your organisation's classification, please contact your tax adviser.

Definitions common to FATCA and CRS

¹ Tax Regulations

The term "tax regulations" refers to regulations created to enable automatic exchange of information and include Foreign Account Tax Compliance Act (FATCA), and the OECD Common Reporting Standard (CRS) for Automatic Exchange of Financial Account Information².

² FATCA and CRS

FATCA

FATCA regulations in sections 1471 to 1474 of the US Internal Revenue Code and the Treasury regulations and official guidance issued thereunder, as amended from time to time. FATCA regulations have been adopted in the UK by The International Tax Compliance Regulations 2015.

CRS

The OECD Common Reporting Standard (CRS) which has been adopted in the UK by The International Tax Compliance Regulations 2015.

³ Non-Profit Organisation

An entity that meets ALL of the following criteria:

- (i) it is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare;
- (ii) it is exempt from income tax in its country of residence;
- (iii) it has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
- (iv) the applicable laws of the entity's country of residence or the entity's formation documents do not permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or non-charitable entity other than pursuant to the conduct of the entity's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the entity has purchased; and
- (v) the applicable laws of the entity's country of residence or the entity's formation documents require that, upon the entity's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organisation, or escheat to the government of the entity's country of residence or any political subdivision thereof.

⁴ Controlling Persons

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" must be interpreted in a manner consistent with the Financial Action Task Force Recommendations.

"Control" over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest in the Entity. A "control ownership interest" depends on the ownership structure of the legal person and is usually identified on the basis of a threshold applying a risk-based approach (e.g. any person(s) owning more than a certain percentage of the legal person, such as 25%). Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person(s) is identified as exercising control of the Entity, the Controlling Person(s) of the Entity will be the natural person(s) who holds the position of senior managing official.

Classifications under FATCA

⁵ Financial Institution

The term "Financial Institution" means a Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company as defined for the purposes of FATCA². Please see the relevant Tax Regulations for the classification definitions that apply to Financial Institutions.

⁶ Partner Jurisdiction Financial Institution

A Partner Jurisdiction Financial Institution includes (a) any Financial Institution resident in the UK, but excluding any branches of such Financial Institution that are located outside the UK and (b) any UK branch of a Financial Institution not resident in the UK. For these purposes, "Partner Jurisdiction" means any jurisdiction that has in effect an agreement with the US to facilitate the implementation of FATCA.

⁷ Non-IGA jurisdiction

A non-IGA jurisdiction is one where there is no Model 1 or 2 Intergovernmental Agreement in place with the US in respect of FATCA²

⁸ Non-Participating Foreign Financial Institution (NPFPI)

The term "Non-participating Foreign Financial Institution" means a non-participating FFI, as that term is defined in relevant US Treasury Regulations, but does not include a United Kingdom Financial Institution or other Partner Jurisdiction Financial Institution other than a Financial Institution identified as a Non-participating Financial Institution pursuant to a determination by IRS or HMRC that there is significant non-compliance with FATCA obligations.

⁹ US Territory

This term means American Samoa, the Commonwealth of the Northern Mariana Islands, Guam, the Commonwealth of Puerto Rico or the US Virgin Islands.

¹⁰ Exempt Beneficial Owner

The term "Exempt Beneficial Owner" means

- (i) a UK Governmental Organisation;
- (ii) an International Organisation (examples of which include The International Monetary Fund, The World Bank, The International Bank for Reconstruction and Development and The European Community – for a full list please see the relevant guidance issued by HMRC, or the IRS);
- (iii) a Central Bank; or
- (iv) a UK registered pension scheme, or non-UK pension scheme falling within the definition of Exempt Beneficial Owner for the purpose of FATCA.

¹¹ Deemed Compliant Foreign Financial Institution

The term "Deemed Compliant Foreign Financial Institution" means

- (i) Those entities classified as such in Annex II of the UK IGA, which includes Non-profit Organisations³ and Financial Institutions⁵ with a Local Client Base, or
- (ii) Entities which otherwise qualify as such under the FATCA Regulations.

¹² Active Non-Financial Foreign Entity (NFFE)

An Active NFFE is any Non-Financial Foreign Entity¹⁴ that meets one of the following criteria:

- a) Less than 50 percent of the NFFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 percent of the assets held by the NFFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
- b) The stock of the NFFE is regularly traded on an established securities market or the NFFE is a Related Entity¹⁵ of an Entity the stock of which is traded on an established securities market;
- c) The NFFE is organized in a US Territory and all of the owners of the payee are bona fide residents of that US Territory;
- d) The NFFE is a non-US government, a government of a US Territory, an international organization, a non-US central bank of issue, or an Entity wholly owned by one or more of the foregoing;
- e) Substantially all of the activities of the NFFE consist of holding (in whole or in part) the outstanding stock of, and providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an NFFE shall not qualify for this status if the NFFE functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes. In these circumstances, the Entity will be a Passive NFFE¹³

- f) The NFFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution; provided, that the NFFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFFE;
- g) The NFFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
- h) The NFFE primarily engages in financing and hedging transactions with or for Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity¹⁵ provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;

or

- (h) The Entity is a Non-Profit organisation³
- (i) The NFFE is an "Excepted NFFE" as described in relevant US Treasury Regulations.

¹³ Passive Non-Financial Foreign Entity (PNFFE)

A Passive NFFE is any Non-Financial Foreign Entity¹⁴ that is not an Active NFFE¹².

¹⁴ Non-Financial Foreign Entity (NFFE)

The term "NFFE" means any non-US Entity that is not treated as a Financial Institution⁵.

¹⁵ Related Entity

An entity is a Related Entity of another entity if either entity controls the other entity, or the two entities are under common control. For this purpose control includes direct or indirect ownership of more than 50 per cent of the vote or value in an entity.

¹⁶ Specified US Person

The term "Specified US Person" means a US Person, other than:

- (i) a corporation the stock of which is regularly traded on one or more established securities markets;
- (ii) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the US Internal Revenue Code, as a corporation described in clause (i);
- (iii) the United States or any wholly owned agency or instrumentality thereof;
- (iv) any State of the United States, any US Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
- (v) any organization exempt from taxation under section 501(a) or an individual retirement plan as defined in section 7701(a)(37) of the US Internal Revenue Code;
- (vi) any bank as defined in section 581 of the US Internal Revenue Code;
- (vii) any real estate investment trust as defined in section 856 of the US Internal Revenue Code;
- (viii) any regulated investment company as defined in section 851 of the US Internal Revenue Code or any entity registered with the Securities Exchange Commission under the Investment Company Act of 1940 (15 USC. 80a-64);
- (ix) any common trust fund as defined in section 584(a) of the US Internal Revenue Code;
- (x) any trust that is exempt from tax under section 664(c) of the US Internal Revenue Code or that is described in section 4947(a)(1) of the US Internal Revenue Code;
- (xi) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State; or
- (xii) a broker as defined in section 6045(c) of the US Internal Revenue Code.

Classifications under CRS

¹⁷ Financial Institution

The term "Financial Institution" means a Custodial Institution, a Depository Institution, an Investment Entity²³, or a Specified Insurance Company.

¹⁸ Non-Reporting Financial Institution

The term "Non-Reporting Financial Institution" means any Financial Institution which is:

- (a) a Governmental Entity, International Organisation or Central Bank, other than with respect to a payment that is derived from an obligation held in connection with a commercial financial activity of a type engaged in by a Specified Insurance Company, Custodial Institution, or Depository Institution;
- (b) a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; a Pension Fund of a Governmental Entity, International Organisation or Central Bank; or a Qualified Credit Card Issuer;
- (c) any other Entity that presents a low risk of being used to evade tax, has substantially similar characteristics to any of the Entities described in (a) or (b) above, and is included in the list of Non-Reporting Financial Institutions provided to the European Commission by the UK;
- (d) an Exempt Collective Investment Vehicle; or
- (e) a trust to the extent that the trustee of the trust is a Reporting Financial Institution and reports all information required to be reported pursuant to Section I with respect to all Reportable Accounts of the trust.

¹⁹ Related Entity

An Entity is a "Related Entity" of another Entity if (i) either Entity controls the other Entity; (ii) the two Entities are under common control; or (iii) the two Entities are Investment Entities, are under common management, and such management fulfils the due diligence obligations of such Investment Entities. For this purpose control includes direct or indirect ownership of more than 50 % of the vote and value in an Entity.

²⁰ Active Non-Financial Entity (NFE)

The term "Active NFE" means any NFE²² that meets any of the following criteria:

- (a) less than 50 % of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 % of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
- (b) the stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity¹⁹ of an Entity the stock of which is regularly traded on an established securities market;
- (c) the NFE is a Governmental Entity, an International Organisation, a Central Bank, or an Entity wholly owned by one or more of the foregoing;
- (d) substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an Entity does not qualify for this status if the Entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes. In these circumstances, the Entity will be a Passive NFE²¹
- (e) the NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE does not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE;
- (f) the NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution;
- (g) the NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution, or
- (h) the Entity is a non-profit organisation³

²¹ Passive Non-Financial Entity (PNFE)

A Passive NFE is any Non-Financial Entity²² that is not an Active NFE, or an Investment Entity²³ that is not a Participating Jurisdiction²⁴ Financial Institution.

²² Non-Financial Entity (NFE)

The term "NFE" means any Entity that is not a Financial Institution¹⁷.

²³ Investment Entity

The term "Investment Entity" means any Entity:

- (a) which primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer:
 - (i) trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;
 - (ii) individual and collective portfolio management; or
 - (iii) otherwise investing, administering, or managing Financial Assets or money on behalf of other persons; or
 - b) the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets, if the Entity is managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or an Investment Entity described in subparagraph A(6)(a) of the EU Directive on Administrative Co-operation 2014/107/EU
- An Entity is treated as primarily conducting as a business one or more of the activities described in subparagraph A(6)(a), or an Entity's gross income is primarily attributable to investing, reinvesting, or trading in Financial Assets for the purposes of subparagraph A(6)(b), if the Entity's gross income attributable to the relevant activities equals or exceeds 50 % of the Entity's gross income during the shorter of:
- (i) the three-year period ending on 31 December of the year preceding the year in which the determination is made; or
 - (ii) the period during which the Entity has been in existence.

The term "Investment Entity" does not include an Entity that is an Active NFE because that Entity meets any of the criteria in subparagraphs D(8)(d) through (g) of the EU Directive on Administrative Co-operation 2014/107/EU. This paragraph shall be interpreted in a manner consistent with similar language set forth in the definition of "financial institution" in the Financial Action Task Force Recommendations.

²⁴ Participating Jurisdiction

The term "Participating Jurisdiction" means a jurisdiction which has an agreement in place to exchange information in accordance with the OECD Common Reporting Standard.

Lazard Investment Funds (the “Company”)

Documentation Requirements

Please identify your company structure from the list and provide the documents listed. These documents must be posted to us either as originals or, preferably, as a certified copy. See section ‘**Certified Documents**’ for details of how to arrange a certified copy. Any original documents you provide will be sent back by return of post.

Forms of Identification are required to be provided with the application form which will be checked and verified prior to investment of subscription.

Please utilise the tick boxes to indicate that all documents have been provided and return this form, along with the documents requested. We request that you provide the contact details of the person (or persons) at the Company who we may contact should we have any questions on the documentation provided.

Account number:

Account name:

Full name:

Full name:

Position:

Position:

Telephone:

Telephone:

Email:

Email:

Regulated Firms in a Non-EU or EEA Country

Please provide the below information if your organisation is a Regulated Firm in a Non-EU or EEA Country

Name of the company

Registered number

Registered address

Business address

The latest authorised signatory list

(This must include the name of the account, the full name of each signatory, specimen signature of each signatory and confirm the capacity of each individual authorised to administer the account)

Identity and address verification documents for any beneficial owner with an interest of 25% or more of the company’s shares or voting rights (please see enclosed list of acceptable documents, as set out under the heading “**Verification Documents**”)

Corporates Listed in an EEA or Equivalent Country

Please provide the below information if your organisation is a Corporate listed in an EEA or equivalent country

Name of the company

If a subsidiary owned by a parent company, please provide the name of the parent company and evidence of the ownership

Evidence of the firms regulated status

The latest authorised signatory list

(This must include the name of the account, the full name of each signatory, specimen signature of each signatory and confirm the capacity of each individual authorised to administer the account)

Private Companies or Limited Liability Companies

Please provide the below information if your organisation is a Private Company or Limited Liability Company

Full name of the company

Registered number

Business address

Certificate of Incorporation

Identity and address verification documents for each shareholder/limited partner with more than 25% interest (please see enclosed list of acceptable documents, as set out under the heading "**Verification Documents**")

Public Body Including Government Departments, UK State Owned Companies, UK Public Sector Bodies (Including Schools, Colleges, Universities and NHS/Hospital Trusts)

Please provide the below information if your organisation is a Public Body

Evidence of the government website detailing the status as a Public Body

The latest authorised signatory list

This must include the name of the account, the full name of each signatory, specimen signature of each signatory and confirm the capacity of each individual authorised to administer the account)

Non-UK Public Authorities

Please provide the below information if your organisation is a Non-UK Public Authority

Confirmation of the nature and status of the entity

Confirmation of the name and the home status authority

Names of all directors

Evidence of the website confirming the existence of the Public Authority

The latest authorised signatory list

(This must include the name of the account, the full name of each signatory, specimen signature of each signatory and confirm the capacity of each individual authorised to administer the account)

Pension Schemes - SIPP Schemes

Please provide the below information if your organisation is a SIPP Pension Scheme

Name of the FCA regulated operator

Contact details

Name of the employer or fund Sponsor (if applicable)

Confirmation of the individual trustees

Confirmation of the regulated status with the operator

Confirmation of the link between all parties involved in the scheme

The latest authorised signatory list

(This must include the name of the account, the full name of each signatory, specimen signature of each signatory and confirm the capacity of each individual authorised to administer the account)

Pension Schemes - SASS Schemes

Please provide the below information if your organisation is a SASS Pension Scheme

HMRC registered number

Contact details

Name of the employer or fund Sponsor (if applicable)

Name of the Corporate trustee (if applicable)

Evidence of registration with the HMRC or Pension Regulator

The latest authorised signatory list

(This must include the name of the account, the full name of each signatory, specimen signature of each signatory and confirm the capacity of each individual authorised to administer the account)

Trusts Including Unapproved Pension Schemes and Independent Church Bodies/ Places of Worship

Please provide the below information if your organisation is a Trust

Nature/Purpose and object of the trust

Date of establishment

Country of establishment

Name of the trustees

Name of the settlor or one who provides the funds

Name and addresses of any protector/controller

Names, addresses and dates of birth of any beneficial owners

The Trust Deed or an extract of the Will (if the trust is a Will trust)

The latest authorised signatory list

(This must include the name of the account, the full name of each signatory, specimen signature of each signatory and confirm the capacity of each individual authorised to administer the account)

Identity and address verification documents for any protectors, controllers or trustees who are signing the agreement (please see enclosed list of acceptable documents, as set out under the heading "**Verification Documents**")

Identity and address verification documents for beneficial owners with more than 25% interest (please see enclosed list of acceptable documents, as set out under the heading "**Forms of Identification**")

Unlimited Partnerships/Unincorporated

Please provide the below information if your organisation is an Unlimited Partnership or Unincorporated

Name of the partnership/business

Address

Type of entity/legal status

Nature of the partnership/business

Names of all partners/general partners or principals who exercise control over management of the partnership/business

Names of all partners/limited partners or proprietors with more than 25% interest in capital, or profit or of the voting rights

The partnership deed or equivalent document

Identity and address verification documents for any partners or owners with more than 25% interest (please see enclosed list of acceptable documents, as set out under the heading "**Forms of Identification**")

Clubs or Societies

Please provide the below information if your organisation is a Club or Society

Nature and purpose

Country of establishment

Name of all officers

The club's constitution, trust deed or legal form

The latest authorised signatory list

(This must include the name of the account, the full name of each signatory, specimen signature of each signatory and confirm the capacity of each individual authorised to administer the account)

Identity and address verification documents for all officers who are entering into the agreement (please see enclosed list of acceptable documents, as set out under the heading "**Forms of Identification**")

Private Companies or Limited Liability Companies

Please provide the below information if your organisation is a Private Company or Limited Liability Company

Full name of the company

Registered number

Business address

Certificate of Incorporation

Identity and address verification documents for each shareholder/limited partner with more than 25% interest (please see enclosed list of acceptable documents, as set out under the heading "**Forms of Identification**")

Charities

Please provide the below information if your organisation is a Charity

Evidence of the charitable status (by the UK Charity Commission or OSCR)

If the charity is not registered, evidence of the charitable status must be provided

The latest authorised signatory list

(This must include the name of the account, the full name of each signatory, specimen signature of each signatory and confirm the capacity of each individual authorised to administer the account)

Identity and address verification documents for all signatories as well as a minimum of two trustees (please see enclosed list of acceptable documents, as set out under the heading "**Forms of Identification**")

Names of any beneficiaries and confirmation of the percentage they own

Names of any settlors

Authorised Signatory List

Client name:

Address:

Postcode: Date:

Authorised Signatories

Account number(s):

Full Name	Capacity (Position)	Specimen Signature
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		

Please note: The above list should include a minimum of two signatories who are authorised to act on the behalf of the account.