

Lazard Global Active Funds plc (the "Company")

Application Form for Corporates/Trusts/Charities

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

IT IS IMPORTANT YOU READ THE WARRANTIES AND REPRESENTATIONS BEFORE SIGNING.

PLEASE READ THE KEY INVESTOR INFORMATION DOCUMENT BEFORE INVESTING.

PLEASE COMPLETE SEPARATE SUBSCRIPTION/ REDEMPTION OR SWITCH TRANSACTION FORM. SUCH FORMS ARE AVAILABLE ON THE WEBSITE.

Please return the completed form to the Manager. Should you need any assistance in completing this form, please contact the Manager c/o the Administrator State Street Fund Services (Ireland) Limited, Transfer Agency Department, 78 Sir John Rogerson's Quay, Dublin 2, DO2 HD32, Ireland. Telephone: +353 1 242 5421, Facsimile: +353 1 523 3720, e-mail: lazardta@statestreet.com.

1. Investor Details

(If there are more than two holders please use a separate sheet at the back of this form giving the information in this Section 1 with this application form. There can be up to a maximum of four applicants.)

First applicant

Registered name:
(e.g. XYZ plc)

Account designation:
(e.g. A/C 123)

Registered address:
(P/O or C/O will not be accepted)

Postcode:

Mailing address:
(If different from registered address)

Postcode:

Telephone number: Fax number:

Tax identification number:

Details of regulatory body (if applicable):

Pension/Charity register number (if applicable):

Contact name: Email:

Contract note email addresses:

Statement email addresses:

BIC Code for Investor STP Dealing/SWIFT Messages:

Distinguished Name (DN) for STP Dealing using SWIFT ISO 20022 Messages:

Source of funds for initial investment (please tick multiple boxes if appropriate)

Inheritance Salary Gift Sale of Business

Pension Investment Income Lottery

Sale of asset (please specify):

Other (please specify):

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

Source of wealth, ie. aggregation of accumulated wealth (please tick multiple boxes if appropriate)

- Inheritance Salary Gift Sale of Business
 Pension Investment Income Lottery

Sale of asset (please specify):

Other (please specify):

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

Discretionary Confirmation for Intermediaries

(Please tick the relevant box if applicable to your business if an Intermediary)

The nature of the company named as the investor on this application form is:

- Acting in a discretionary capacity
 Acting in a non-discretionary capacity
 Not applicable

Remitting bank details

- As per bank account details for income and redemption payments stated below

OR please complete details below*

Remitting bank name:

Remitting bank address:

Account holder name:

*If you have more than one remitting bank, please provide details on a separate sheet.

2. Details of Expected Investment (please complete this section)

Please tick **one** of the following boxes to confirm whether you invest for your own account or on behalf of another person

Level of expected total investment

- Ranging between a currency equivalent to EUR 0 to EUR 15k
 Ranging between a currency equivalent to EUR 15k to EUR 100k
 Ranging between a currency equivalent to EUR 100k to EUR 1m
 Ranging between a currency equivalent to EUR 1m to EUR 100m
 Superior to a currency equivalent to EUR 100M

Declaration of investment

- Investing on my/our own behalf (please tick the box if applicable)
 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. 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.

Correspondent Bank name:

Correspondent Bank address:

Correspondent Bank Sort Code/SWIFT (BIC)/ABA/Fedwire:

Beneficiary Bank name:

Beneficiary Bank address:

Beneficiary Bank Sort Code/SWIFT (BIC)/ABA/Fedwire:

Beneficiary Account name:

Beneficiary Account number:

Payment type: MT103 MT202

Reference:

Please indicate Bank Account currency: Euro US Dollar GBP AUD HKD

NB If more than one currency bank details, please submit on a separate sheet. Please ensure that these details are those of the registered shareholder.

Please list the details of the account to which redemption proceeds, and/or dividend distributions should be paid. Payments will only be made to a bank account held in the name of the registered shareholder. No Third Party Payments will be made. Redemptions will not be processed on non cleared/verified accounts. Both IBANS & SWIFT (BIC) Codes should be quoted for all banks within the EU/EEA. Amendments to investors' payment instructions will only be effected upon receipt of an original instruction which has been duly authorised. The Administrator does not accept any responsibility for the bank account details quoted and any payments made using these details will be at your risk.

4. Dealing

Deals will only be accepted in writing, facsimile or telephone.

The Manager offers a telephone dealing facility for subsequent investment in any share class in any Sub-Fund within the Company. Should you wish to use this facility please tick the box below:

I/we hereby authorise that the Manager be allowed to accept and execute instructions by telephone:

(Note: Transactions entered into using telephone dealing may be recorded for the protection of the investor, Manager and Administrator).

5. Delegation of Authority

Please tick the box below if you wish to delegate to your Adviser responsibility for your overall investment in the Sub-Fund, and for us to facilitate switches by accepting fax or written instructions.

We authorise the Administrator to accept and act upon instructions from our Adviser, Administrator or other delegate:

Adviser, Administrator or other delegate details

Name:

Address:

Contact name:

Telephone number: Fax number:

Email:

An original or certified copy of Authorised Signatory List with specimen signatures must accompany the application form for any Financial Advisory Firm authorised to act on your behalf.

Note regarding certification of documents: Documents must be certified by a suitable person/entity, such as: the Companies Registration Office (or the equivalent in the investors jurisdiction) with regard to incorporation documentation, a notary public, a police officer, an embassy/consular official, a chartered or certified accountant, a practising solicitor, any designated body. Documents should be stamped with the official stamp of the person, dated and signed by that person.

6. Warranties and Representations

1. We warrant that we are duly authorised to sign this application form and to subscribe for shares in the Company and that, by virtue of our subscribing for shares in the Company, we will not be in breach of any laws or regulations of any competent jurisdiction and we hereby indemnify the Company, the Manager, the Investment Manager, 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.
2. We declare that:
 - a) this application does not violate any law or regulation in the country/territory in which we are, domiciled or resident;
 - b) this application is not made by or for any US Person (as defined in the Prospectus). We will not knowingly sell or transfer any Shares for which we may subscribe for to any US Person. Should any information provided in a subscription form change in the future, we will promptly notify "Lazard Fund Managers (Ireland) Limited" of any and all changes to the details of this subscription.
3. We agree to provide the declaration and warranties contained herein to the Company and at such time as the Company may request and to provide on request such certificates, documents or other evidences as the Company may reasonably require to substantiate such representations. We agree to notify the Company immediately if we become aware that any of the declarations and warranties contained herein is/are no longer accurate and complete in all respects.
4. We hereby confirm that the Company, the Manager and the Administrator are each hereby authorised and instructed to accept and execute any instructions (including but not limited to any instructions regarding subscriptions, switches, transfers or redemptions of shares or any payment in relation to same or otherwise) in respect of the Shares to which this application relates given by us in written form, by facsimile, or by electronic means, or where applicable, by our adviser under delegated authority detailed in section 5 above. We hereby indemnify the Company, the Manager and the Administrator and agree to keep each of them indemnified against loss of any nature whatsoever arising to each of them as a result of any of them acting in good faith upon instructions given in written form by us i.e. faxed instructions or instructions confirmed by us in writing. The Company, the Manager and the Administrator may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction or other instrument they believe in good faith to be genuine or to be signed by properly authorised persons.

UCITS Key Investor Information Document ('KIID') or PRIIPS Key Investor Information Document ('KID')

5. We acknowledge that it is a pre-condition to acceptance of this application that we have received the latest available KIID/KID in respect of the Share Class/Sub-Fund in which we are investing in.
6. Prior to making this application we have received free of charge and read the latest available KIID/KID in respect of the relevant Share Class and Sub-Fund.
7. We acknowledge that this application is made on the terms of the Prospectus (including the relevant sub-fund Supplement), and material contracts referred to therein the relevant KIID/KID together (where applicable) with the most recent annual report and accounts of the Company and (if issued after such report and accounts) its most recent unaudited half yearly report and subject to the provisions of the Company's Constitution from time to time in force.
8. We hereby undertake to observe and be bound by the provisions of the Constitution (as amended from time to time) of the Company and apply to be entered in the Register of Shareholders as the holder/holders of the shares issued in relation to this application.
9. We hereby undertake that if the Management Agreement between the Company and the Manager shall be terminated, we will vote in favour of a resolution at any meeting of shareholders to have the name of the Company changed to a name which will not include the word "Lazard".
10. We acknowledge that, owing to anti-money laundering requirements operating within their respective jurisdictions, the Company, the Manager, the Administrator and any distributor which may be appointed (as the case may be) may require further identification of the applicant(s) before this application can be processed. The Company, the Manager, the Administrator and any appointed distributor reserve the right to seek evidence of identity to comply with any such applicable money laundering requirements. In such case of delay or failure to provide satisfactory information, the Company, the Manager or the Administrator may take such action as they see fit. We acknowledge that the Company,

the Manager, the Administrator and any appointed distributor shall be held harmless and indemnified against any losses arising as a result of a delay or failure to process the application if there has been a delay or failure by me/us to provide any such information as has been requested by the parties referred to and we acknowledge that such applicable money laundering regulations and requirements may prevent funds being paid or redeemed to us.

11. (a) We agree that if the Manager reasonably considers that it is in our best interests to deal in advance of receiving cleared funds from us, the Manager may do so and we shall ensure that the cleared funds are received by the Manager on or before the relevant settlement date as notified to us by the Manager. We shall accept full responsibility for and shall fully indemnify the Manager and the Company on demand in respect of any costs, charges, losses, liabilities or expenses incurred (including without limitation: (i) those associated with the unwinding of transactions; and (ii) overdraft or bank charges) if either (a) the cleared funds are not received by the Manager on or before the relevant settlement date; and/or (b) the cleared funds received by the Manager on or before the relevant settlement date are less than the cleared funds that the Manager was expecting in accordance with our or our agent's instructions.
11. (b) We agree that in foregoing circumstances 11(a)(a) or 11(a)(b) above the Manager is entitled to (i) cancel our subscription request of (ii) sell to another party the relevant shares after the settlement date.
11. (c) If the Company has to sell securities as a result of the circumstances set out in 11(a)(a) or 11(a)(b) above, we shall accept full responsibility for and shall fully indemnify the Company on demand in respect of any loss or expense arising due to differences in market value between the purchase and sales prices of the securities or transaction costs arising (including but not restricted to the costs of unwinding derivative positions).
11. (d) We acknowledge and agree that we will only acquire an irrevocable right to shares in the Company once we have paid in full for such shares with cleared funds.
12. We consent to any notice or other document to be sent by the Company, the Manager or the Administrator to us as a Shareholder, by electronic means including but not limited to e-mail, by swift or by posting such notice or other document on a website notified to us by post or by e-mail.
13. We understand that the representations and warranties made herein are continuous and all subsequent subscriptions of Shares in the Sub-Fund by us shall be governed by them, and we agree to notify the Company or the Administrator immediately, if any representation or warranty is no longer accurate and to abide by any directions from the Company or the Administrator arising as a result.
14. We hereby certify that we are aware of the risks involved in the proposed investment as set out in the Prospectus.
15. We declare that the information contained in the declarations completed above is true and correct.

7. 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**").

8. Declaration of Residence Outside Ireland

Applicants who are resident or ordinarily resident in the Republic of Ireland should contact the Administrator immediately.

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 (see heading "Irish Taxation").

IMPORTANT (Delete (a) or (b) below as appropriate and put a line through non-related a or b items).

(a) Declaration on own behalf

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

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

or

(b) Declaration as Intermediary

I/we declare that I am/we are applying for Shares on behalf of persons:-

- (i) who will be beneficially entitled to the Shares; and
- (ii) who, to the best of our knowledge and belief, are neither Irish Resident nor Irish Ordinary Resident

We also declare that:-

- (i) unless we specifically notify you to the contrary at the time of application, all applications for Shares made by us from the date of this application will be made on behalf of such persons; and
- (ii) We will inform you in writing if we become aware that any person on whose behalf we hold Shares become Irish resident.

9. Ultimate Economic Beneficiary Owner Declaration

To be completed where the investor(s) is/are not a natural person. Please refer to and complete the Declaration of Beneficial Ownership Form as set out in Appendix 1 of this Application form.

10. Signatures

We agree to be bound by the declarations, warranties, representations, consents, indemnities and conditions as set out in this application form.

Signature of applicant, Intermediary or authorised signatory: Date:

Capacity of authorised signatory (if applicable):

Signature of applicant, Intermediary or authorised signatory: Date:

Capacity of authorised signatory (if applicable):

Signature of applicant, Intermediary or authorised signatory: Date:

Capacity of authorised signatory (if applicable):

Signature of applicant, Intermediary or authorised signatory: Date:

Capacity of authorised signatory (if applicable):

An authorised signatory list must be provided at the time of account opening for the investing entity in whose name the account is being opened.

Notes:

- a) Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.
- b) To be valid, Application Forms (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by each applicant. In the case of a corporation, Application Forms should be signed by a duly authorised signatory provided that a certified copy of the authority authorising the signatory and an authenticated list of signatories accompanies this form.
- c) If the Application Form (incorporating the declaration required by the Irish Revenue Commissioners) is signed under power of attorney, such power of attorney or a duly certified copy thereof must accompany it.

Note regarding certification of documents: Documents must be certified by a suitable person/entity, such as: the Companies Registration Office (or the equivalent in the investors jurisdiction) with regard to incorporation documentation, a notary public, a police officer, an embassy/consular official, a chartered or certified accountant, a practising solicitor, any designated body. Documents should be stamped with the official stamp of the person, dated and signed by that person.

11. Subscription Information

Please pay subscription monies to the following account(s):

	USD		Euro
SWIFT Code	BOFAUS3N		BOFAGB22
Beneficiary Bank	Bank of America N.A. 100, 33rd Street West 10001 New York USA		Bank of America N.A. 2 King Edward Street London EC1A 1HQ UK
Sort Code/ABA	026009593		N/A
Account Number	6550363171		86 6650 18
Beneficiary Name	Lazard Global Active Funds PLC		Lazard Global Active Funds PLC
IBAN	N/A		GB32 BOFA 1650 5086 6650 18
Reference	Name of Fund – Applicant		Name of Fund – Applicant
	GBP		JPY
SWIFT Code	BOFAGB22		BOFAJPJX
Beneficiary Bank	Bank of America N.A. 2 King Edward Street London EC1A 1HQ UK		Bank of America N.A. 15th Floor Sanno Park Tower 2-11-1 Nagata-cho, chiyoda-ku Tokyo 100-6115, Japan N/A
Sort Code/ABA	165050		N/A
Account Number	86664010		25066013
Beneficiary Name	Lazard Global Active Funds PLC		Lazard Global Active Funds PLC
IBAN	GB88 BOFA 1650 5086 6640 10		N/A
Reference	Name of Fund – Applicant		Name of Fund – Applicant
	AUD		CHF
SWIFT Code	BOFAAUSX		BOFACH2X
Beneficiary Bank	Bank of America Sydney, Australia		Bank of America N.A. 5 Canada Square London E14 5AQ, UK N/A
Sort Code/ABA	N/A		N/A
Account Number	19244018		50909014
Beneficiary Name	Lazard Global Active Funds PLC		Lazard Global Active Funds PLC
IBAN	N/A		CH73 0872 6000 0509 0901 4
Reference	Name of Fund – Applicant		Name of Fund – Applicant
	DKK		SEK
Correspondent Bank	DABADKKK		HANDSESS
SWIFT Code	BOFAGB22		BOFAGB22
Beneficiary Bank	Bank of America N.A., London Branch		Bank of America N.A., London Branch
Sort Code/ABA	165050		165050
Account Number	86667014		86666016
Beneficiary Name	Lazard Global Active Funds PLC		Lazard Global Active Funds PLC
IBAN	GB72 BOFA 1650 5086 6670 14		GB52 BOFA 1650 5086 6660 16
Reference	Name of Fund – Applicant		Name of Fund – Applicant
	HKD		SGD
SWIFT Code	BOFAHKHX		BOFASG2XXXX
Beneficiary Bank	Bank of America, N.A., Hong Kong Branch		Bank of America, N.A., Singapore
Sort Code/ABA	055757		N/A
Account Number	73181012		72782018
Beneficiary Name	Lazard Global Active Funds PLC		Lazard Global Active Funds PLC
IBAN	N/A		N/A
Reference	Name of Fund – Applicant		Name of Fund – Applicant
	NZD		
Correspondent Bank	BKNZNZ22		
SWIFT Code	BOFAAUSX		
Beneficiary Bank	Bank of America Sydney, Australia		
Sort Code/ABA	N/A		
Account Number	19244026		
Beneficiary Name	Lazard Global Active Funds PLC		
IBAN	N/A		
Reference	Name of Fund – Applicant		

Under Irish legislation covering anti-money laundering and the taxation of savings the Company and the Administrator are required to obtain documentation in order to verify the identity, permanent address and tax residency status of all new clients.

Should documents be provided in a language other than English, an English translation will be required.

Please note that the application may not be accepted and redemption proceeds will not be processed until the Administrator is in receipt of the required anti-money laundering documentation and the original Application Form together with the original banking details for the settlement of the redemption proceeds. Additional confirmation of identity, authority of the applicant and/or further information on the source of funds may be required in certain circumstances. Until further notice, please contact the Transfer Agent for complete details of the documentation requirements for each applicant.

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

Lazard Global Active Funds plc (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 State Street Company Services (Ireland) 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 in relation to your account.
<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 State Street Fund Services (Ireland) Limited;
- the Administrative Support Provider, currently State Street Bank Luxembourg SCA;
- the Currency Manager, currently State Street Bank International GmbH, Frankfurt Branch;
- the Depository, currently State Street Custodial Services (Ireland) Limited;
- the Auditors, currently PricewaterhouseCoopers;
- the Legal Advisors as to matters of Irish law, currently William Fry;
- the Legal Advisors as to matters of English law, currently CMS Cameron McKenna Nabarro Olswang LLP;
- the Secretary, currently Wilton Secretarial Limited;
- the MLRO, currently Carne Global Financial Services Limited;
- the Manager, currently Lazard Fund Managers (Ireland) Limited;
- the Promoter, currently Lazard Asset Management Limited;
- Investment Managers, currently Lazard Asset Management LLC; or Lazard Asset Management (Deutschland) GmbH;
- the Distributors, currently Lazard Asset Management Limited; Lazard Asset Management (Deutschland) GmbH; Lazard Asset Management Schweiz AG; Lazard Frères Gestion SAS; Lazard Asset Management (Singapore) pte. Ltd.; Lazard Asset Management (Hong Kong) Limited; Lazard Fund Managers (Ireland) Limited, Spanish Branch; Lazard Fund Managers (Ireland) Limited, Belgian Branch; or Lazard Fund Managers (Ireland) Limited, Dutch Branch;
- the Paying and Information Agent in Austria, currently UniCredit Bank Austria AG;
- the Financial Services Agent in Belgium, currently ABN Amro Bank NV;
- the Centralising Correspondent in France, currently Caceis Bank France;
- the Paying and Information Agent in Germany, currently Landesbank Baden-Württemberg, Mainz;
- the Paying Agent in Italy, currently AllFunds Bank SAU;
- the Local Representative Agent in Luxembourg, currently Societe Generale Luxembourg;

- the Representative in Spain, currently Allfunds Bank SAU;
- the Paying Agent in Sweden, currently Skandinaviska Enskilda Banken AB ;
- the Legal Representative in Switzerland, currently Acolin Fund Services AG;
- the Paying Agent in Switzerland, currently Banque Cantonale de Geneve;
- the Solvency II data collection provider, currently State Street Bank & Trust Company;
- the Irish Revenue Commissioners and other national revenue authorities;
- national regulators, including the Central Bank of Ireland;
- An Garda Síochána;
- Foreign legal counsel;
- Tax advisers; and
- the banking provider, currently Bank of America Corporation.

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 Kingdom, United States of America, Hong Kong, Thailand, Canada, Australia, Japan 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 Administrator at lazardta@statestreet.com.

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 **5 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 **7 years**.

7. Your Data Protection Rights

You have a number of rights in relation to 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 IFDS_PrivacyOffice@StateStreet.com and the Manager c/o the Administrator State Street Fund Services (Ireland) Limited, Transfer Agency Department, 78 Sir John Rogerson's Quay, Dublin 2, D02 HD32, Ireland. Telephone: +353 242 5421, facsimile: +353 523 3720.

Lazard Global Active Funds plc (the “Company”)

Entity Self-Certification for FATCA and CRS

Instructions for completion and Data Protection Notice.

We are obliged under Section 891E, Section 891F, and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each account holder’s tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that by completing this application form you are providing personal information, which may constitute personal data within the meaning of the General Data Protection Regulation (697/2016/EU) (the “GDPR”) and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2003). Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an account holder’s interests in the Fund, with the Irish tax authorities, the Revenue Commissioners. They in turn may exchange this information, and other financial information with foreign tax authorities, including tax authorities located outside the EU.

If you have any questions about this form or defining the account holder’s tax residency status, please speak to a tax adviser or local tax authority.

For further information and guidance on FATCA or CRS please refer to the Irish Revenue or the OECD website at:

<http://www.revenue.ie/en/business/aeoi/index.html>

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/> in the case of CRS only.

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

Account holders that are Individuals or Controlling Persons should not complete this form and should complete the form entitled “Individual (including Controlling Persons) Self-Certification for FATCA and CRS”.

(Mandatory fields are marked with an *)

*Section 1: Account Holder Identification

*Account holder Name: (the “Entity”)

*Country of Incorporation or Organisation:

*Current (Resident or Registered) Address:

Number: Street:

City, town, state, province or county:

Postal/ZIP Code: Country:

Mailing address (if different from above):

Number: Street:

City, town, state, province or county:

Postal/ZIP Code: Country:

***Section 2: FATCA Declaration:**

Please tick either (a), (b) or (c) below and complete as appropriate:

a) The Entity is a **Specified U.S. Person** and the Entity’s U.S. Federal Taxpayer Identifying number (U.S. TIN) is as follows:

U.S. TIN:

Or

b) The Entity is **not a Specified U.S. Person** (Please also complete Sections 3, 4 and 5)

Or

c) The Entity is a **US person but not a Specified U.S. Person** (Please also complete Sections 4 and 5)

Indicate exemption:

***Section 3: Entity’s FATCA Classification**

(the information provided in this section is for FATCA, please note your FATCA classification may differ from your CRS classification in Section 5):

3.1 Financial Institutions under FATCA:

If the Entity is a *Financial Institution*, please tick one of the below categories and provide the Entity’s GIIN at 3.2 or indicate at 3.3 the reason why you are unable to provide a GIIN.

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 the Entity’s Global Intermediary Identification number (GIIN)

3.3 If the Entity is a Financial Institution but unable to provide a GIIN, please tick one of the below reasons:

I. The Entity has not yet obtained a GIIN but is sponsored by another entity which does have a GIIN

Please provide the sponsor’s name and sponsor’s GIIN:

Sponsor’s Name:

Sponsor’s GIIN:

NOTE: *this option is only available to Sponsored Investment Entities in Model 1 IGA jurisdictions.* Sponsored Investment Entities that do not have U.S. reportable accounts are not required to register and obtain a GIIN with the IRS unless and until U.S. reportable accounts are identified.

II. **The Entity is an Exempt Beneficial Owner,**

Please tick and confirm the category of Exempt Beneficial Owner;

- I. Government Entity
- II. International Organisation
- III. Foreign Central Bank
- IV. Exempt Retirement Fund
- V. Collective Investment Vehicle Wholly Owned by Exempt Beneficial Owners

III. **The Entity is a Certified Deemed Compliant Foreign Financial Institution**

(including a deemed compliant Financial Institution under Annex II of the IGA Agreement)

Indicate exemption:

IV. **The Entity is a Non-Participating Foreign Financial Institution**

V. **The Entity is an Excepted Foreign Financial Institution**

Indicate exemption:

VI. **The Entity is a Trustee Documented Trust**

Please provide your Trustee's name and GIIN

Trustee's Name:

Trustee's GIIN:

3.4. Non-Financial Institutions ("NFFE") under FATCA:

If the Entity is not a Financial Institution, please confirm the Entity's FATCA classification below by ticking one of the below categories;

I. **Active (NFFE)**

II. **Passive (NFFE)**

(Please tick the box that applies)

I. Passive (NFFE) with no Controlling Persons that are specified U.S Persons.

II. Passive (NFFE) with Controlling Persons that are specified U.S Persons. *(If this box is ticked, please also complete section 6.1 for each of the Controlling Person(s) of the Entity and complete an "Individual (Including Controlling Person(s) Self-certification for FATCA and CRS" form for each Controlling Person(s) as outlined in section 6.2.*

III. **Excepted (NFFE)**

IV. **Direct Reporting (NFFE)**

Please provide your GIIN

***Section 4: Common Reporting Standard ("CRS") Declaration of Tax Residency (Note that Entities may have more than one country of Tax Residence)**

Please indicate the Entity's country of tax residence for CRS purposes. (if resident in more than one country please detail all countries of tax residence and associated tax identification numbers ("TIN")). Please refer to the OECD CRS Web Portal for AEOI for more information on Tax Residence and TIN's. <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759>

If the Entity is not tax resident in any jurisdiction (e.g., because it is fiscally transparent), please indicate that below and provide its place of effective management or country in which its principal office is located.

NOTE: Under the Irish legislation implementing the CRS, provision of a Tax ID number (TIN) is required to be provided unless:

a) You are tax resident in a Jurisdiction that does not issue a TIN

Or

b) You are tax resident only in a non-reportable Jurisdiction (i.e. Ireland or the USA)

Country of Tax Residency	Tax ID number	If TIN unavailable Select (A, B or C) and check box below
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

If a TIN is unavailable, please tick the appropriate box as follows;

- Reason A** - The country/jurisdiction where the Account Holder is resident does not issue TINs or TIN equivalents to its residents
- Reason B** - The Account Holder is otherwise unable to obtain a TIN (Please explain why you are unable to obtain a TIN)
-
- Reason C** - No TIN is required. (Note: This should only be selected if the domestic law of the relevant country/ jurisdiction does not require the collection of the TIN issued by such country/jurisdiction)

*Section 5: Entity's CRS Classification

(The information provided in this section is for CRS. Please note an Entity's CRS classification may differ from its FATCA classification in Section 3 above).

In addition please note that the information that the Entity has to provide may differ depending on whether they are resident in a participating or non-participating CRS Jurisdiction.

For more information please see the OECD CRS Standard and associated commentary.

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>

5.1 Financial Institutions under CRS:

If the Entity is a *Financial Institution*, **Resident in either a Participating or Non-Participating CRS Jurisdiction** please review and tick one of the below categories that applies **and** specify the type of Financial Institution below.

Note: Please check the Irish Revenue AEOI portal at the time of completion of this form to confirm whether your country of Tax Jurisdiction is considered Participating or Non-Participating for the purposes of CRS Due-Diligence in Ireland.

<https://www.revenue.ie/en/companies-and-charities/documents/aeoi/participating-jurisdictions.pdf>

- I. **A Reporting Financial Institution resident in a participating CRS jurisdiction**
- II. **A Financial Institution Resident in a Non-Participating Jurisdiction**
 (Please tick the box that applies)
- An Investment Entity resident in a Non-Participating Jurisdiction and managed by another Financial Institution** (If this box is ticked, please indicate the name of any Controlling Person(s) of the Entity **in section 6 below** and complete a separate individual self-certification forms for each of your Controlling Persons)
- An Investment Entity resident in a Non-Participating Jurisdiction that is not managed by another Financial Institution**
- Other Financial Institution**, including a Depository Financial Institution, Custodial Institution or Specified Insurance Company

—

III. **Non-Reporting Financial Institution under CRS.**

Specify the type of Non-Reporting Financial Institution below:

- Governmental Entity
- International Organization
- Central Bank
- Broad Participation Retirement Fund
- Narrow Participation Retirement Fund
- Pension Fund of a Governmental Entity, International Organization, or Central Bank
- Exempt Collective Investment Vehicle
- Trust whose trustee reports all required information with respect to all CRS Reportable Accounts
- Qualified Credit Card Issuer
- Other Entity defined under the domestic law as low risk of being used to evade tax

Specify the type provided in the domestic law:

5.2 Non Financial Institution (“NFE”) under CRS:

If the Entity is a *not defined as a Financial Institution under CRS* then please tick one of the below categories confirming if you are an Active NFE or Passive NFE.

- I. **Active 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:

- II. **Active 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 on which the Entity is regularly traded:

- III. **Active NFE** – a Government Entity or Central Bank

- IV. **Active NFE** – an International Organisation

- V. **Active NFE – other** than those listed in I, II, III or IV above.

(for example a start-up NFE or a non-profit NFE)

- VI. **Passive NFE** - If this box is ticked please also complete Section 6.1 for each of the Controlling Person(s) of

the Entity and a separate “Individual (including Controlling Person’s Self-Certification for FATCA and CRS form” as indicated in section 6.2 for each Controlling Person(s)

Section 6: Controlling Persons

NB: Please note that each Controlling Person must complete a separate “Individual (including Controlling Persons) FATCA and CRS Self-Certification” form.

If there are no natural person(s) who exercise control of the Entity then the Controlling Person will be the natural person(s) who hold the position of senior managing official of the Entity.

For further information on Identification requirements under CRS for Controlling Persons, see the Commentary to Section VIII of the CRS Standard.

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>

6.1 Controlling Person(s) of the Account Holder:

If you have ticked a Passive NFE with Controlling Persons in **either the FATCA or CRS Classification sections above**, then please also complete this section for each of the Controlling Person(s) of the account holder and provide a separate “Individual (including Controlling Persons) FATCA and CRS Self-Certification” form for each Controlling person as per 6.2 below:

Indicate the name of all Controlling Person(s) of the Account Holder:

I.	
II.	
III.	

Note: In case of a trust, Controlling Persons means the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiary(ies), **AND** any other natural person(s) exercising ultimate effective control over the trust. With respect to an Entity that is a legal person, if there are no natural person(s) who exercise control over the Entity, then the Controlling Person will be the natural person who holds the position of senior managing official of the Entity.

6.2 Complete a separate “Individual (including Controlling Persons) Self-Certification for FATCA and CRS” form for each Controlling Person listed in Section 6.1.

*Section 7: Declarations and Undertakings

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

I/We acknowledge and consent to the fact 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 on behalf of the Entity undertake to advise the recipient promptly and provide an updated Self-Certification form within 30 days where any change in circumstance (for guidance refer to Irish Revenue or OECD website) occurs which causes any of the information contained in this form to be incorrect.

***Authorised Signature(s):**

***Print Name(s):**

***Capacity in which declaration is made:**

***Date (dd/mm/yyyy):**

Declaration of Beneficial Ownership Form

Addressee Name:

Addressee Address:

Date:

In accordance with the requirements of the Criminal Justice (Money Laundering and Terrorist Financing) Act 2010, as amended in 2013, 2018 and 2021 (collectively known as the "Acts") and Article 3 of the 4AMLD, investors must declare the identity of their ultimate beneficial owner(s) ("UBO").

Please tick only one of the options below and complete the relevant section. Please refer to the UBO definition in Appendix 1 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** overleaf)

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

Beneficial Owner 1

Full Name:

Registered Address:
(PO of C/O will not be accepted)

Date and Place of Birth:

Nationality: Tax Residences:

Tax Identification Number(s): Shareholding Type (and %):

Beneficial Owner 2

Full Name:

Registered Address:
(PO of C/O will not be accepted)

Date and Place of Birth:

Nationality: Tax Residences:

Tax Identification Number(s): Shareholding Type (and %):

If needed, please add additional person(s) who are beneficial owners on a separate sheet

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.

In completing the below, we confirm we have read and understood the above definition and we have provided below details of a senior managing officials who should be recorded as the Beneficial Owner(s).

Senior Managing Official 1

Full Name:	<input type="text"/>		
Registered Address: (PO of C/O will not be accepted)	<input type="text"/>		
Date and Place of Birth:	<input type="text"/>		
Nationality:	<input type="text"/>	Function (Title):	<input type="text"/>

Senior Managing Official 2

Full Name:	<input type="text"/>		
Registered Address: (PO of C/O will not be accepted)	<input type="text"/>		
Date and Place of Birth:	<input type="text"/>		
Nationality:	<input type="text"/>	Function (Title):	<input type="text"/>

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 SSFSIL reserves the right to request further documentation if needed to comply with applicable anti-money laundering laws and regulations.

Signature:	<input type="text"/>	Date:	<input type="text"/>
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Appropriate Representative (e.g. VP or above, Director, Compliance, MLRO or delegate)

(State Name and Position of Appropriate Representative)

Definition of a Beneficial Owner:

Article 3 of AMLD4 defines a beneficial owner 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);