

Lazard Investment Funds

Application Form for Individuals



Lazard Investment Funds (the “Company”)

Application Form for Individuals

COMPLETING YOUR APPLICATION FORM

Before filling in the application form please check you:

- Understand the Fund and its objectives you have chosen, if you are not sure which investments are right for you, please speak to your financial adviser. Lazard Fund Managers do not offer investment advice.
- 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 Individuals

PLEASE COMPLETE THIS FORM CLEARLY USING BLOCK CAPITALS AND BLACK INK.

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 "Forms of Identification" to assist with your completion.

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

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

Title (Mr/Mrs/Miss/Other):	<input type="text"/>	Surname:	<input type="text"/>
Forenames:	<input type="text"/>		
Permanent address:	<input type="text"/>		
Postcode:	<input type="text"/>	Daytime telephone:	<input type="text"/>
Home telephone:	<input type="text"/>	Email:	<input type="text"/>
Account designation (e.g. John Smith a/c AS):	<input type="text"/>		
Nationality:	<input type="text"/>	Date of birth:	<input type="text"/>
Tax identification number:	<input type="text"/>	Tax domicile:	<input type="text"/>
Tax authority:	<input type="text"/>		

Second applicant

Title (Mr/Mrs/Miss/Other):	<input type="text"/>	Surname:	<input type="text"/>
Forenames:	<input type="text"/>		
Permanent address:	<input type="text"/>		
Postcode:	<input type="text"/>	Daytime telephone:	<input type="text"/>
Home telephone:	<input type="text"/>	Email:	<input type="text"/>
Account designation (e.g. John Smith a/c AS):	<input type="text"/>		
Nationality:	<input type="text"/>	Date of birth:	<input type="text"/>
Tax identification number:	<input type="text"/>	Tax domicile:	<input type="text"/>
Tax authority:	<input type="text"/>		

2. Investment Details

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

Please note Individual investors should invest in the 'A' share class.

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"/>

Please refer to Prospectus for minimum investment per sub-fund.

3. Income and Redemption Payments

(Please see glossary of terms for explanation)

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:	<input type="text"/>		
Branch address:	<input type="text"/>		
Postcode:	<input type="text"/>	Sort code:	<input type="text"/>
Account name:	<input type="text"/>	Account number:	<input type="text"/>

4. Declarations

- I am/we are 18 years of age or over.
- I/we declare that the information I/we have given in this application form is correct to the best of my/our knowledge and belief and I/we will promptly notify Lazard Fund Managers Limited of any changes and as defined in the Foreign Account Tax Compliance Act ("FATCA").

Key Investor Information Document ("KIID")

- I/we acknowledge that it is a pre-condition to acceptance of this application that I/we have received the latest available KIID in respect of the Share Class/Sub-Fund in which I/we are investing in.
- Prior to making this application I/we have received free of charge and read the latest available KIID in respect of the relevant Share Class and Sub-Fund.
- I/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 I/we are aware of the risks associated with investing in the Sub-Fund.
- Applicable to UK retail investors only: I/we have read the Company's Supplementary Information Document and Terms & Conditions, which will govern my/our investment. These documents can be found at: www.lazardassetmanagement.com.

7. By subscribing for shares in Lazard Investment Funds, I/we will not be in breach of any laws or regulations of any competent jurisdiction and I/we hereby indemnify the Company, the Lazard Fund Managers Limited, the Depository, the Administrator and other Shareholders for any loss suffered by them as a result of these warranties/representations not being true in every respect.
8. To comply with Anti-Money Laundering regulations, I/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.
9. I/we declare that, I am/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"). I/we will not knowingly sell or transfer any Shares for which I/we may subscribe for to any person who is a US person as defined in Regulation S under the 1933 Act and FATCA. I/we declare that I/we have completed the self-certification form to the best of my/our knowledge and belief and I/we will promptly notify "Lazard Fund Managers Limited" of any and all changes to the details of this subscription.
10. I/we declare that, I am/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".

11. 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").

12. I/we agree that you may report to the Her Majesty's Revenue and Customs to comply with the current EU savings directive.
13. Applicable to joint shareholdings only: we direct that on the death of one of us the Shares for which we hereby apply will be held in the name of and to the order of the survivor(s) of us or the executors and administrators of such survivor.
14. I/We agree that when I/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 my/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 me/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, my/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:	
Signature:		Date:	
Signature:		Date:	

Please sign A or B

A. Agent declaration

(Please only complete this if agent is used)

Where the applicant investor has chosen in this application form to subscribe for shares in any share class in Lazard Investment Funds, I declare and confirm, on behalf of my firm and/or myself that no commission payments are required to be paid to my firm and/or me and I acknowledge that this is placed by me/us as agent in accordance with the current Lazard Terms of business made available to me.

Signed: Print name:

Name of firm:

Date: FCA number:

B. Agent declaration

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.

8 3 0 7 7 2

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:	<input type="text"/>	Date:	<input type="text"/>
Signature:	<input type="text"/>	Date:	<input type="text"/>

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.

5. Additional Applicants

Third applicant

Title (Mr/Mrs/Miss/Other):	<input type="text"/>	Surname:	<input type="text"/>
Forenames:	<input type="text"/>		
Permanent address:	<input type="text"/>		
Postcode:	<input type="text"/>	Daytime telephone:	<input type="text"/>
Home telephone:	<input type="text"/>	Email:	<input type="text"/>
Account designation (e.g. John Smith a/c AS):	<input type="text"/>		
Nationality:	<input type="text"/>	Date of birth:	<input type="text"/>
Tax identification number:	<input type="text"/>	Tax domicile:	<input type="text"/>
Tax authority:	<input type="text"/>		

Fourth applicant

Title (Mr/Mrs/Miss/Other):	<input type="text"/>	Surname:	<input type="text"/>
Forenames:	<input type="text"/>		
Permanent address:	<input type="text"/>		
Postcode:	<input type="text"/>	Daytime telephone:	<input type="text"/>
Home telephone:	<input type="text"/>	Email:	<input type="text"/>
Account designation (e.g. John Smith a/c AS):	<input type="text"/>		
Nationality:	<input type="text"/>	Date of birth:	<input type="text"/>
Tax identification number:	<input type="text"/>	Tax domicile:	<input type="text"/>
Tax authority:	<input type="text"/>		

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 an 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 Anti-Money Laundering (AML) and Know Your Client / (KYC) information. This information includes:

- a. **Information provided to the Company by you or (if different) an applicant:** 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 dealings 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 Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (/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 Politically Exposed Person (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 General Data Protection Regulation (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, Aptean (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.
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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”)

Individual Self-Certification for FATCA and CRS

Instructions for completion

Tax Regulations¹ require us to collect information about each investor’s tax residency. Please complete the sections below as directed and provide any additional information as 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 this form or defining your tax residency status, please refer to the OECD CRS Portal or speak to a tax adviser.

The OECD CRS Information Portal can be accessed at <http://www.oecd.org/tax/automatic-exchange/>

If any of the information provided below changes in the future, please advise of these changes promptly.

Please note that where there are joint or multiple holders each investor is required to complete a separate Self-Certification form.

All Sections 1, 2, 3 and 4 below must be completed by all investors.

(Mandatory fields are marked with an *)

Section 1: Investor Identification

Investor name*:

Current residential address*:

Number: Street:

City, town, state, province or county:

Postcode: Country:

Mailing address (if different from above):

Number: Street:

City, town, state, province or county:

Postcode: Country:

Town or city of birth*: Country of birth*:

Date of birth*:

Section 2: FATCA Declaration of US Citizenship or US Residence for Tax Purposes*:

Please tick either (a) or (b) and complete as appropriate.

(a) I confirm that [I am]/[the investor is] a US citizen and/or resident in the US for tax purposes and [my]/[its] US federal taxpayer identifying number (US TIN) is as follows:

US TIN:

OR

(b) I confirm that [I am not]/[the investor is not] a US citizen or resident in the US for tax purposes:

Section 3: CRS Declaration of Tax Residency*

Please indicate all countries in which you are/the investor is resident for tax purposes and the associated Taxpayer Identification Number(s) (TIN(s)) in the table below. Please see the CRS Portal for more information on Tax Residency.

Country of tax residency

Tax ID number

NOTE: Provision of a Tax ID number (TIN) is required unless you are tax resident in a jurisdiction that does not issue a TIN.

Section 4: Declarations 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*:

Notes:

1 The term "Tax Regulations" refers to regulations created to enable automatic exchange of information and include the Foreign Account Tax Compliance Act (FATCA)², and the OECD Common Reporting Standard³ for Automatic Exchange of Financial Account Information.

2 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.

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

Lazard Investment Funds (the “Company”)

Forms of Identification – UK Residents

Instructions for completion, please read carefully

PLEASE COMPLETE YOUR PERSONAL DETAILS BELOW

PLEASE SUPPLY ONE DOCUMENT FROM BOX 1 AND A DIFFERENT DOCUMENT FROM BOX 2

PLEASE INDICATE THE DOCUMENTS YOU ARE PROVIDING BY TICKING THE RELEVANT BOX

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

Send this form and your supporting documentation to: Lazard Fund Managers Limited, PO Box 364, Darlington, DL1 9RD.

These documents can be posted to us as photocopies, originals or as certified copies. See overleaf for details of how to arrange a certified copy. Any original documents you provide will be sent back by return of post.

Section 1: Personal Details

Full Name:

Date of birth: Telephone number:

Email address:

BOX 1: Name Verification

Please provide **one** of the following documents, which must show both your forename and surname in full.

Document Type	Document Conditions for Acceptance	Other Conditions for Acceptance	Tick
Passport	Not expired		<input type="checkbox"/>
Photocard driving licence	Not expired	Can be full or provisional	<input type="checkbox"/>
Driving licence (old style paper version)	Not expired	Can only be full version NOT provisional	<input type="checkbox"/>
State pension letter	Dated within last 12 months	State pension only, not any other pension provider	<input type="checkbox"/>
Benefit entitlement letter	Dated within last 12 months	Must be issued by relevant benefit agency	<input type="checkbox"/>
HMRC Tax notification/assessment letter	Dated within last 12 months	Must have been issued by HMRC Will NOT accept P60s and P45s	<input type="checkbox"/>

BOX 2: Address Verification

Please provide **one** of the following documents, which must show your name and home address (this must be a different document to that provided as evidence of name). Evidence of a PO Box address is not sufficient as we need information about your actual residential address.

Document Type	Document Conditions for Acceptance	Other Conditions for Acceptance	Tick
Photocard Driving Licence	Not expired	Can be full or provisional	
Driving Licence (old style paper version)	Not expired	Can only be full version NOT provisional	
State Pension Letter	Dated within last 12 months	State pension only, not any other pension provider	
Benefit Entitlement Letter	Dated within last 12 months	Must be issued by relevant benefit agency	
HMRC Tax Notification/ Assessment Letter	Dated within last 12 months	Must have been issued by HMRC Will NOT accept P60s and P45s	
Bank or Building Society Statement	Dated within last 3 months	Must NOT be printed from the internet Must be issued by a UK Financial Services Provider	
Mortgage Statement	Dated within last 12 months	Must be issued by a UK Financial Services Provider	
Council Tax Bill	For current year		
Gas, Electricity, Water or Landline Phone Bill	Dated within last 3 months	Must NOT be printed from the internet Mobile phone bills are NOT acceptable	

Lazard Investment Funds (the “Company”)

Forms of Identification – Non-UK Residents

Instructions for completion, please read carefully

PLEASE COMPLETE YOUR PERSONAL DETAILS BELOW

PLEASE SUPPLY ONE DOCUMENT FROM BOX 1 AND A DIFFERENT DOCUMENT FROM BOX 2

PLEASE INDICATE THE DOCUMENTS YOU ARE PROVIDING BY TICKING THE RELEVANT BOX

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

Send this form and your supporting documentation to: Lazard Fund Managers Limited, PO Box 364, Darlington, DL1 9RD.

These documents must be posted to us either as originals or, preferably, as a certified copy. See overleaf for details of how to arrange a certified copy. Any original documents you provide will be sent back by return of post.

Section 1: Personal Details

Full Name:	<input type="text"/>		
Date of birth:	<input type="text"/>	Telephone number:	<input type="text"/>
Email address:	<input type="text"/>		

BOX 1: Name Verification

Please provide **one** of the following documents, which must show both your forename and surname in full.

Document Type	Document conditions for acceptance	Other conditions for acceptance	Tick
Passport	Not expired		<input type="checkbox"/>
Driving Licence	Not expired		<input type="checkbox"/>
National ID Card	Not expired	Must be issued by an EEA member state or Switzerland	<input type="checkbox"/>

BOX 2: Address Verification

Please provide **one** of the following documents, which must show your name and home address (this must be a different document to that provided as evidence of name). Evidence of a PO Box address is not sufficient as we need information about your actual residential address.

Document Type	Document conditions for acceptance	Other conditions for acceptance	Tick
Driving Licence	Not expired		<input type="checkbox"/>
National ID Card	Not expired	Must be issued by an EEA member state or Switzerland	<input type="checkbox"/>
Bank or Building Society statement	Dated within last 3 months	Must NOT be printed from the internet Must be issued by a Financial Services Provider	<input type="checkbox"/>
Gas, Electricity, Water or Landline Phone Bill	Dated within last 3 months	Must NOT be printed from the internet Must be issued by a Financial Services Provider	<input type="checkbox"/>

Important - How to Get your Documents Certified

Copies of Documents

For valuable, or regularly used, documents such as passports and driving licences, you should provide copies that have been certified as true copies of the original documents.

Each certified copy should show all the personal details on the document, including your name and/or address, any references numbers and the photograph, if there is one.

Who can Certify your Documents?

UK Nationals Getting Documents Certified in the UK

If you are getting documents certified in the UK, the following people are usually able to certify documents for you:

- An Accountant
- Bank/Building Society official
- Independent Financial Adviser
- Post Office official
- Solicitor

Non-UK Nationals, and UK Nationals Getting Documents Certified Outside of the UK

The following people can certify documents for you:

- Notary public
- Lawyer or attorney
- Embassy, consulate* or high commission officials of the country which issued the document
*(*please be aware that not all consulates may be able to assist with document certification)*

How should the documents be certified?

The person certifying the documents should write the following on each copy:

- His/her **name, position, signature** and the **date**
- His/her **address** and **contact telephone number**
- The words **“I have seen the original and certify that this is a true copy”**
- And, if there is a photograph, the words **“The photograph provides a good likeness of the applicant”**

Where copies of documents are certified, you must send us the originally certified copies, not photocopies of them.

Please note that you are not permitted to certify your own identification documents.