|  |  |
| --- | --- |
| To: |  |
| The Bank of New York Mellon SA/NV, Luxembourg branch |  |
| Acting as Registrar and Transfer Agent for C WorldWide |  |
| Vertigo Building – Polaris2-4 rue Eugène Ruppert |  |
| L-2453 Luxembourg |  |
| Fax | +352 342 080 9329 |  |
| Email | LUXMB-AML@bnymellon.com |  |

**The Original of this Agreement should be sent to address above upon initial subscription.**

|  |
| --- |
| 1. INITIAL INVESTMENT DETAILS
 |
| **Fund Name** |  |  |  |  |  |
| C WorldWide  |  |  |  |  | ☐ |
| 1. DETAILS OF INVESTOR (“Applicant”)
 |
| Single holder / investor | ☐ Yes ☐ No | Joint holder information |  | ☐ Signature either/or |
| If “No” complete joint holder--> |  | ☐ Require joint signature |
| Last Name | Enter Last Name | Last Name | Enter Last Name |
| First Name(s) | Enter First Name | First Name(s) | Enter First Name |
| Date of Birth | Enter Birthdate | Date of Birth | Enter Birthdate |
| Place of birth | Enter Birthplace | Place of birth | Enter Birthplace |
| Nationality | Enter Nationality | Nationality | Enter Nationality |
| ID/Passport Number | Enter ID/Passport number | ID/Passport Number | Enter ID/Passport number |
| Country of issuance | Enter Country of issuance | Country of issuance | Enter Country of issuance |
| Professional activities(Current or past,company name, position)  | Enter professional activities |  | Professional activities(Idem) | Enter professional activities |
| Residential address | Address Line 1 |  | Residential address | Address Line 1 |
|  | Address Line 2 |  | Address Line 2 |
|  | Address Line 3 |  | Address Line 3 |
| Country | Country | Country | Country |
| Email | Email Address |  | Email | Email Address |
| Telephone | Telephone Number | Telephone | Telephone Number |
| Name of contact at C WorldWide | Contact at CWW if any |  | Contact at CWW if any |
| Mailing Address (if different from above) | Mailing Address (if different from above) |
|  |  |  |  |
| Alternative Mailing Address | Alternative Mailing Address |
|  |  |  |  |

|  |
| --- |
| 1. INVESTOR BANK ACCOUNT DETAILS (for all types of transactions)
 |
| Name of Bank | Enter Bank Name |
| BIC | Enter BIC  |
| Name of Account | Enter Account Name |
| IBAN | Enter IBAN |
| Payment Reference | Enter Payment Reference |

|  |
| --- |
| 1. REPORTING
 |
| **Confirmation of the Orders approval shall be dispatched to:** | ☐ The Applicant☐ A third Party |
| (If third party please provide details) |
| Company Name | Enter Company Name |  |  |  |
| Address | Address Line 1 |  | Contact Name | Enter Contact Name |
|  | Address Line 2 |  | Telephone | Telephone Number |
|  | Address Line 3 |  | Fax | Fax Number |
| Country | Country |  | Email (1) | Email Address |
| **Position statement dispatch method:** | ☐ None ☐ Email (1) | ☐ Normal Post |
| **Position statement dispatch frequency:** | ☐ Monthly ☐ Quarterly  | ☐ On demand |
| **Position statement dispatch currency:** | Choose Currency |  |
| **Position statements shall be dispatched to:** | ☐ The Applicant☐ A third Party |  |
| If third party please provide details |
| Company Name | Enter Company Name |  |  |  |
| Address | Address Line 1 |  | Contact Name | Enter Contact Name |
|  | Address Line 2 |  | Telephone | Telephone Number |
|  | Address Line 3 |  | Fax | Fax Number |
| Country | Country |  | Email (1) | Email Address |

(1) In case the investor request to receive his/her contract notes, statements, etc by e-mail, he/she must fill in the Indemnity Letter in Appendix 1

|  |
| --- |
| 1. DECLARATION
 |

I the signatory and Investor, confirm that I have received and am fully acquainted with the latest versions of the Prospectus, which were furnished to me, including:

1. Disclaimer Section of the Prospectus;
2. Section *Issue of Units, Redemption of Units and Market Timing Policy* of the Prospectus providing that requests to subscribe to the *units* of the Fund may be rejected when they are considered as representing a pattern of market timing activity;
3. *Risk Warning* paragraph in Section *Objective and Investment Policy of the Sub-Funds and Sub-Fund particulars* of the Prospectus;
4. Section *Net Asset Value* of the Prospectus, providing that the calculation of the Net Asset Value may be suspended, and
5. Section *Charges and Expenses* of the Prospectus.

☐ Tick box to confirm

I authorise the Registrar and Transfer Agent to accept and execute any future instructions received by fax until written notice of the contrary. The applicant will assume all risks e.g. those arising from an error in communication or comprehension as well as those arising from fraud, resulting from the use of this communication means and relieve the Registrar and Transfer Agent from any and all responsibility in this respect.

☐ Tick box to confirm

I understand that any instructions received by or on behalf of the Fund after the cut off time mentioned in the Offer Documents will be carried out at the price calculated at the next dealing day.

☐ Tick box to confirm

I have been informed that I will, directly or indirectly, pay all fees, costs, charges and expenses associated with an investment in the Fund.

☐ Tick box to confirm

I understand that the Registrar and Transfer Agent reserves the right in its sole discretion to reject any future instruction in whole or in part.

☐ Tick box to confirm

I am not a US Person within the meaning of Regulation S of the United States Securities Acts and that I am not sacting for or on behalf, whether directly or indirectly of a US Person. I represent that I will not offer or sell the Shares/Units (i) to the public in any jurisdiction and (ii) to US Persons or to persons residing in the US.

☐ Tick box to confirm

I herewith confirm that I’m investing into the above-named Fund (please tick the appropriate box):

☐ on my own behalf, investing my own assets not in favour of a third party

☐ on behalf of (a) Third Party(ies), investing the assets from my underlying client(s). I furthermore confirm that the account reflects:

☐ a pooled account (reflecting a pool of underlying clients typically with a generic designation such as “Client account” or with a designation that makes reference to a region, product or multiple specific customers

☐ a segregated/distinctive account (a specific account for a single underlying third party)

In such case, please select either one option below:

☐ the designation of the account will refer to the underlying client name

☐ the designation of the account is coded (the designation contains an internal reference, numbers or combination of letters which do not allow an external party to identify the underlying client).

Economic origin of the monies invested

1. I herewith confirm that my investments in relation with the above-named Fund
* are made on my own behalf
* are not in favour of a third party
* originate from the following source (tick-off the right box):

☐ Savings income (please describe) Details: Please enter details

☐ Inheritance (please describe) Details: Please enter details

☐ Sale of real estate/asset (please describe) Details: Please enter details

☐ Business activities Details: Please enter details

☐ Revenue from business activities Details: Please enter details

☐ Company sale Details: Please enter details

☐ Government earnings Details: Please enter details

☐ Other (please describe) Details: Please enter details

Main country of origin of the funds invested: Please enter countries

I further confirm

☐ my occupation and sector of activity Please enter details

☐ my major occupation during my active life if I am retired Please enter details

Please describe the intended nature and purpose of the investment in the fund:

Details: Please enter details here

Signature of the Account Holder[[1]](#footnote-1): ……………………………………………………………

Print Name: Please enter Name

Date: Please enter a Date.

City: Please enter City Name

Capacity: Please enter in which capacity you sign

**If joint account, the joint holder must fill in this section as well.**

1. I herewith confirm that my investments in relation with the above-named Fund
* are made on my own behalf
* are not in favour of a third party
* originate from the following source (tick-off the right box):

☐ Savings income (please describe) Details: Please enter details

☐ Inheritance (please describe) Details: Please enter details

☐ Sale of real estate/asset (please describe) Details: Please enter details

☐ Business activities Details: Please enter details

☐ Revenue from business activities Details: Please enter details

☐ Company sale Details: Please enter details

☐ Government earnings Details: Please enter details

☐ Other (please describe) Details: Please enter details

Main country of origin of the funds invested: Please enter countries

I further confirm:

☐ my occupation and sector of activity Please enter details

☐ my major occupation during my active life if I am retired Please enter details

Please describe the intended nature & purpose of the investment in the Fund: Please enter details

Signature of the Joint Account Holder[[2]](#footnote-2): ……………………………………………………………

Print Name: Please enter Name

Date: Please enter a Date.

City: Please enter City Name

Capacity: Please enter in which capacity you sign

Expected volumes and frequency of transactions or total commitment. The expected volumes and frequency provided will not form any kind of commitment from the account holder, the beneficial owner or the intermediary.

1. I declare that:
* the expected frequency of transactions is (please tick the right box):

☐ Single transaction

☐ Weekly

☐ Monthly

☐ Quarterly

☐ Yearly

☐ Sporadic

* the expected volume of transactions is:

By transactions (please tick the right box):

☐ Up to €10.000 (or equivalent)

☐ between €10.000 and €50.000 (or equivalent)

☐ over €50.000 (or equivalent)

Expected total commitment (please tick the right box):

☐ Less than €25.000 (or equivalent)

☐ between €25.000 and €100.000 (or equivalent)

☐ Over €100.000 (or equivalent)

Signature of the Account Holder[[3]](#footnote-3): ……………………………………………………………

Print Name: Please enter Name

Date: Please enter a Date.

City: Please enter City Name

Capacity: Please enter in which capacity you sign

**If joint account, the joint holder must fill in this section as well.**

1. I declare that:
2. the expected frequency of transactions is (please tick the right box):

☐ Single transaction

☐ Weekly

☐ Monthly

☐ Quarterly

☐ Yearly

☐ Sporadic

1. the expected volume of transactions is:

By transactions (please tick the right box):

☐ Up to €10.000 (or equivalent)

☐ between €10.000 and €50.000 (or equivalent)

☐ over €50.000 (or equivalent)

Expected total commitment (please tick the right box):

☐ Less than €25.000 (or equivalent)

☐ between €25.000 and €100.000 (or equivalent)

☐ Over €100.000 (or equivalent)

Signature of the Account Holder[[4]](#footnote-4): ……………………………………………………………

Print Name: Please enter Name

Date: Please enter a Date.

City: Please enter City Name

Capacity: Please enter in which capacity you sign

I confirm that I know that the intermediary is the financial company through which the investor submits his application form and who will forward the application form to The Bank of New York Mellon SA/NV, Luxembourg branch

The intermediary is also transmitting transaction orders to The Bank of New York Mellon SA/NV, Luxembourg branch on behalf of the account holder.

1. Company name: Company Name.
2. Address: Enter street and number.

Post Code: Enter Post Code

Town: Enter City Name

Country: Enter Country Name

Intermediary Signature (authorized signatory):

Intermediary Stamp:

☐ If no intermediary is used, please tick the box

I confirm that I understand that further details or documentation may be required prior to acceptance of this application.

☐ Tick box to confirm

I will promptly provide to the Fund or its designees all information, including personal data, which the fund may reasonably request in order to comply with relevant laws and regulations relating to money laundering. I hereby expressly instruct and authorise the Fund to transfer all or part of such information, including personal data, to other legal entities to the extent that such transfer is necessary to enable the fund to fulfil its legal and contractual duties, including in particular anti-money laundering provisions.

☐ Tick box to confirm

I acknowledge the following section 9 - PERSONAL DATA, PROCESSING AND DISCLOSING OF DATA EX "General Data Protection Regulation UE 2016/79 (or "GDPR”) and agree to ensure that such notice is made available and brought to the attention of any individual connected with me whose personal information is provided as a consequence of an investment in the fund managed by CWFM.

☐ Tick box to confirm

I declare in connection with this application for opening of an account in C WorldWide, incorporated/established under the laws of the Grand Duchy of Luxembourg that:

1. I will be the ultimate beneficial owner of the account through my direct holding in C WorldWide.
2. The funds to be invested in C WorldWide by myself are not proceeds from drugs trafficking or from any other activities that might constitute a breach of article 506-1 of the Luxembourg Criminal Code. The funds invested will not serve the purpose of prohibited financing of terrorism as defined by article 135-5 of the Luxembourg Criminal Code.

This declaration is made pursuant to the law of November 12, 2004, as amended, on the prevention of money-laundering and the financing of terrorism, transposing directive 2001/97/CE of the European Parliament and of the Council of December 4, 2001 and modifying directive 91/308/CEE of the Council on the prevention of the use of the financial system for the purpose of the laundering of capital and amending various laws, and the declaration can only be disclosed to third parties within the framework of the above mentioned law.

 Confirmation main holder / investor Confirmation joint holder / investor

 ☐ Yes ☐ Yes

 ☐ No ☐ No

(If the beneficial owner is different for the investor(s), a separate Declaration of Ultimate Beneficial Ownership must be completed prior to subscription – Please refer to sections 6 and 7 below)

I confirm that neither I, nor my parents, nor my spouse or any person assimilated to a spouse, nor my children and/or their spouses, am or are a “person entrusted with an important public function” within the meaning of the Luxembourg law of 17 July 2008, that is, I or they am or are presently not:

* head of State, head of Government, minister, delegate minister or secretary of state to any Government,
* member of any Parliament,
* member of any Supreme, Constitutional or other High Court whose decisions are final and not subject to any further appeal,
* member of any court of accounts, or director with any Central Bank,
* ambassador, diplomatic agent or higher rank officer of Armed Forces,
* member of any supervisory, management or administrative board of any public enterprise.

 Confirmation main holder / investor Confirmation joint holder / investor

 ☐ Yes ☐ Yes

 ☐ No ☐ No

I confirm that I am aware that if more than one investor applies, all investors must sign this application form

|  |
| --- |
| 1. ULTIMATE BENEFICIAL OWNER(S)
 |

These persons are the ultimate beneficial owners of the account opened in C WorldWide:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name** | **Date of birth** | **Place of birth** | **Nationality** | **Residence address** |
| Enter Name | Enter a date | Enter Birthplace  | Enter Nationality | Enter Address |
| Enter Name | Enter a date | Enter Name | Enter Name | Enter Name |
| Enter Name | Enter a date | Enter Name | Enter Name | Enter Name |
| Enter Name | Enter a date | Enter Name | Enter Name | Enter Name |
| Enter Name | Enter a date | Enter Name | Enter Name | Enter Name |
| Enter Name | Enter a date | Enter Name | Enter Name | Enter Name |
| Enter Name | Enter a date | Enter Name | Enter Name | Enter Name |

Each person listed above has completed a “Declaration of Ultimate Beneficial Ownership” (please refer to section 7 below), which is enclosed together with certified true copy of their passports.

1. DECLARATION OF ULTIMATE BENEFICIAL OWNERSHIP (one for each person)

I declare in connection with the account being opened in C WorldWide incorporated under the laws of the Grand Duchy of Luxembourg that:

1. I will be the ultimate beneficial owner of the account through my direct holding in C WorldWide.
2. The funds to be invested in C WorldWide by myself are not proceeds from drugs trafficking or from any other activities that might constitute a breach of article 506-1 of the Luxembourg Criminal Code. The funds invested will not serve the purpose of prohibited financing of terrorism as defined by article 135-5 of the Luxembourg Criminal Code.
3. I confirm that neither I, nor my parents, nor my spouse or any person assimilated to a spouse, nor my children and/or their spouses, am or are a “person entrusted with an important public function” within the meaning of the Luxembourg law of 17 July 2008, that is, I or they am or are presently not: - head of State, head of Government, minister, delegate minister or secretary of state to any Government, - member of any Parliament, - member of any Supreme, Constitutional or other High Court whose decisions are final and not subject to any further appeal, - member of any court of accounts, or director with any Central Bank, - ambassador, diplomatic agent or higher rank officer of Armed Forces, - member of any supervisory, management or administrative board of any public enterprise.
4. I confirm that the attached documents supplied to The Bank of New York Mellon SA/NV, Luxembourg branch, (the “Registrar and Transfer agent”), are up to date and accurate in all respects.
5. I undertake to inform promptly the Registrar and Transfer Agent with offices at, Bank of New Yor Mellon Transfer Agency Services Vertigo Building-Polaris, 2-4, rue Eugène Ruppert L-2453 Luxembourg of any change in the information and declarations given above.

This declaration is made pursuant to the law of November 12, 2004, as amended, on the prevention of money-laundering and the financing of terrorism, transposing directive 2001/97/CE of the European Parliament and of the Council of December 4, 2001 and modifying directive 91/308/CEE of the Council on the prevention of the use of the financial system for the purpose of the laundering of capital and amending various laws, and the declaration can only be disclosed to third parties within the framework of the above mentioned law.

So done in Enter Place on Enter a date.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature

Name (please print): Enter Name

1. DISCLAIMER

The Fund or its agents reserves the right to refuse or to reject any identification document supplied in accordance with the instructions and conditions set out in this application and to refuse or to reject opening any account or completing any transaction relating to the application by the undersigned where, in its reasonable opinion, the relevant identification documents have not been provided or the relevant identification procedures complied with.

The Fund or its agents may at any time (acting reasonably) request that further and/or additional documents be supplied to it in connection with the verification of the identity of applicant and the ongoing application of anti-money laundering procedures and regulations to the Fund and for the updating of its records in this regard.

Failure by the undersigned to provide promptly upon reasonable request by the Fund or its agents any document requested by it in accordance with this application may result in the entry of the undersigned to the register of Share/Unit holders of the Fund and the payment of any distribution to the undersigned being delayed until such documentation is provided in such form as the Management Company/ Fund or its agents may in its absolute discretion accept.

1. PERSONAL DATA, PROCESSING AND DISCLOSING OF DATA EX "General Data Protection Regulation UE 2016/79 (or "GDPR ")

This notice sets out how C Worldwide Fund Management S.A. (CWFM) will process personal information (as a Controller as defined in the Regulation). It outlines CWFM’s data protection obligations and your data protection rights as they relate to your investment in the fund we manage under the EU data protection regime introduced by the General Data Protection Regulation (Regulation 2016/679) (the “Regulation”).

**Investors should ensure that this notice is made available and brought to the attention of any individual connected with them whose personal information is provided as a consequence of an investment in the fund we manage.**

Where your details are provided then CWFM, acting as a Controller, may itself (or through a third party such as The Bank of New York Mellon SA/NV, Luxembourg branch, acting in its capacity as CWFM’s registrar and transfer agent) process your personal information, or that of individuals connected with you as an investor (for example directors, trustees, employees, representatives, shareholders, investors, clients, beneficial owners or agents). Personal information includes, but is not restricted to, data such as name, residential address, email address, place of birth, date of birth, bank account details and details relating to investment activity. In connection with this, please note the following:

1. **Processing Personal Data**

CWFM may collect, hold, use and disclose (‘process’) information about individuals (both individuals and third-party representatives) which may constitute personal data under the GDPR.

* 1. Source of Personal Data

CWFM collects Personal Data, subject to applicable law, from a variety of sources as follows:

* when you provide data to us (e.g., where you contact us via email or telephone, or by any other means);
* in the ordinary course of the relationship with you (e.g., in the course of managing transactions or investment in our funds);
* through the financial advisor or dealer that intermediates the operation;
* when you access our website. When you visit a Site, your device and browser may automatically disclose certain information (such as device type, operating system, browser type, browser settings, IP address, language settings, dates and times of connecting to a Site and other technical communications information), some of which may constitute Personal Data.
	1. Categories of personal data processed

Personal Data may contain, including but not limited to:

* identification data, for example: Name, identification number/social security number, details from the passport such as the passport number, and further information including photograph, date and place of birth.
* contact data (address, telephone number, email address), sample signature;
* bank account details;
* bank statements and payment instructions;
* information relating to the investor’s subscription in the Fund as well as to redemptions, including transactions data;
* proof of the investor’s eligibility to purchase units in the Fund;
* revenue;
* wealth and its source;
* telephonic or electronic recordings; and
* information used in “cookies” and similar technologies on websites, mobile applications and in emails to recognize a Data Subject, remembering the respective Data Subject’s preferences.
	1. Purpose of processing Personal Data

Personal data will be processed for the following purposes:

* managing and administrating holdings of investors in the Fund on an on-going basis;
* to ensure the ability of the Management Company to perform the obligations under the subscription agreement, the Fund’s constitutional documentation and further documents which together form the basis of the investor’s contractual relationship with the Management Company (where applicable), and certain required pre-contractual steps.
* operational purposes and statistical analysis (including behaviour analysis for anti-money laundering (“AML”) assessment);
* processing certain information about the investor or the investor’s directors, officers and employees and beneficial owners (if applicable) in order to carry out AML checks and related actions which the Management Company considers appropriate to meet any legal obligations imposed on the Management Company relating to the prevention of fraud, money laundering, terrorist financing, bribery, corruption, tax evasion and to prevent the provision of financial and other services to persons who may be subject to economic or trade sanctions, on an on-going basis, in accordance with the Management Company's AML procedures. In order to conduct due diligence, the Management Company, or the Registrar and Transfer agent acting on its behalf may also screen against publicly available government and/or law enforcement agency sanctions lists;
* to report tax related information to tax authorities in order to comply with a legal obligation;
* to update the shareholder/unitholder register of the Fund;
* to update and maintain records regarding subscriptions and / or redemptions in the Fund;
* to provide the investor with information about products and services which may be of interest to the, and which processing is necessary to perform a relevant contract with the investor;
* to retain AML records of individuals to assist with subsequent screening of them, including in relation to investment in other funds;
* to disclose information to a governmental, tax or regulatory body, financial market, broker or other intermediaries, counterparties, court, auditors or other third parties and to conduct compliance activities, where the Management Company considers this to be in the Fund’s best interest, or the interest of another person, but where such disclosure is not required by the laws of the European Union member states;
* where this is in the legitimate interests of the Management Company to manage and administer the Fund’s business and to provide information to its service providers to allow them to comply with their legal and regulatory obligations, especially where these derive from the laws of countries outside the European Economic Area (“EEA”);
* to establish, exercise or defend legal claims and in order to protect and enforce the Management Company’s rights, property, or safety, or to assist the investors in the Fund or others to so the same, and to investigate and respond to any complaints and disputes; and
* to comply with any applicable law and regulatory requirements, including for instance any regulatory or legal tax reporting requirements, auditing or financial reporting requirements, or disclosure requirements from regulatory, tax or other governmental or public authorities.
1. **Disclosure of Personal Data to third parties and International Transfer of Data**

By providing us personal data, you accept that your personal data be processed by us for the purposes described in this Privacy Notice.

The Personal and Confidential Data may be shared by the Management Company in compliance with and within the limits of the Data Protection Laws with the following categories of third parties for the following reasons. The Management Company requires that such third parties agree to process such Personal and Confidential Data based on given instructions and requirements consistent with this prospectus and with the relevant service provider agreements.

* the Registrar and Transfer Agent, Distributor/sub-distributor, and Information Technology providers, and such of their affiliates and other sub-processors as may be necessary for the aforementioned categories of service providers to provide their services;
* Regulatory or tax authorities, governmental or law enforcement agencies, and other governmental or public agencies or authorities, in order to comply with legal or regulatory obligations or at their request;
* advisors (e.g. auditors, legal counsel and tax advisors) to the Management Company in relation or in connection with the investors’ investment in the Fund;
* banking institutions and other financial service providers to the Fund.

The above third parties may use the services of their affiliates or service providers to process the investors’ Personal Data where necessary or appropriate. The Management Company requires that third parties processing Personal Data on behalf of the Management Company agree by contract to process the Personal Data appropriately and based on given instructions and requirements consistent with this prospectus and the relevant service provider agreement.

The transfer of Personal Data to third parties set out above may involve the transfer of data to third countries outside of the EEA. Such countries may not have a comparable level of data protection as the investor’s jurisdiction. When Personal Data is transferred to countries which are not deemed as equivalent in terms of Data Protection Laws, it is legally required that the Management Company, the Registrar and Transfer Agent or any other agent provides for appropriate safeguards in order to ensure the appropriate protection of the investors’ Personal Data and Confidential information.

1. The investor is informed that the Registrar and Transfer agent will, in the scope of the delegation of data processing activities, as part of its Transfer and Registrar Agent duties, enter into outsourcing arrangements with third party service providers in- or outside the The Bank of New York Mellon SA/NV, Luxembourg branch group (the Sub-contractors). As part of those outsourcing arrangement, THE BANK OF NEW YORK MELLON SA/NV, LUXEMBOURG BRANCH may be required to disclose and transfer personal and confidential information and documents about the investor and individuals related to the investor (the Related Individuals) (the Data transfer) (such as identification data – including the investor and/or the Related Individual’s name, address, national identifiers, date and country of birth, etc. – account information, contractual and other documentation and transaction information) (the Confidential Information) to the Sub-contractors. In accordance with Luxembourg law, THE BANK OF NEW YORK MELLON SA/NV, LUXEMBOURG BRANCH is due to provide a certain level of information about those outsourcing arrangements to C WorldWide which, in turn, must be provided by C WorldWide to the investors.

Confidential Information may be transferred to Sub-contractors established in countries where professional secrecy or confidentiality obligations are not equivalent to the Luxembourg professional secrecy obligations applicable to THE BANK OF NEW YORK MELLON SA/NV, LUXEMBOURG BRANCH. In any event, THE BANK OF NEW YORK MELLON SA/NV, LUXEMBOURG BRANCH is legally bound to, and has committed to C WorldWide that it will enter into outsourcing arrangements with Sub-contractors which are either subject to professional secrecy obligations by application of law or which will be contractually bound to comply with the Data Protection Luxembourg Laws. Investors may obtain a copy of the mentioned agreements by contacting the following email address: Funds\_GDPR@cww.lu.

1. THE BANK OF NEW YORK MELLON SA/NV, LUXEMBOURG BRANCH further committed to C WorldWide that it will take reasonable technical and organisational measures to ensure the confidentiality of the Confidential Information subject to the Data Transfer and to protect Confidential Information against unauthorised processing. Confidential Information will therefore only be accessible to a limited number of persons within the relevant Sub-contractor, on “a need to know” basis and following the principle of the “least privilege”. Unless otherwise authorised/required by law, or in order to comply with requests from national or foreign regulatory authorities or law enforcement authorities, the relevant Confidential Information will not be transferred to entities other than the Sub-contractors.

When sharing Personal Data with third parties located in third countries, as laid out above, the Management Company and the Registrar and Transfer Agent will always do this in a way permissible under GDPR rules.

By subscribing in C Worldwide, the investor has consented and agreed to the communication of the Confidential Information by THE BANK OF NEW YORK MELLON SA/NV, LUXEMBOURG BRANCH to the Sub-contractors.

A description of the purposes of the said outsourcing arrangements, the Confidential Information that may be transferred to Sub-contractors thereunder, as well as the name of the service provider and the country where those Sub-contractors are located is therefore set out in the Privacy and Confidentiality policy available on the website of C WorldWide Fund Management S.A., [privacy-and-confidentiality-policy-v3-1-2020.pdf (cww.lu)](https://cww.lu/media/ifshqkvn/privacy-and-confidentiality-policy-v3-1-2020.pdf).

1. **Retention period**

The Management Company takes every reasonable step to ensure that the investors’ (and related Data Subjects’) Personal Data are only processed for the minimum period necessary for the purposes set out in this prospectus.

The Personal Data of investors and their related parties, where applicable, will be retained for a maximum duration of up to five (5) years following the end of the business relationship between the respective investor and the Management Company.

Personal Data may be retained for a longer duration if this is required under applicable law, or by a regulatory or tax authority, a law enforcement agency or other governmental or public body, or considered necessary in order to allow the Management Company and the Fund’s key service providers or their affiliates to comply with their legal obligations.

Once the period referred to above has expired, to the extent that this is applicable, the following actions will be carried out, at the respective Data Subject’s choice:

* permanent deletion or destruction of the relevant Personal Data; or
* return of the Personal Data to the respective Data Subject.
1. **Data Subject Rights**

Under certain conditions set out by the Data Protection Laws and/or by applicable guidelines, regulations, recommendations, circulars and requirements issued by any local or European competent authority, such as the Luxembourg data protection authority (the Commission Nationale pour la Protection des Données – CNPD) or the European Data Protection Board, each Data Subject has the following rights:

* Right to access his/her Personal Data and to know, as the case may be, the source from which his/her Personal Data originates and whether it originates from publicly accessible sources.;
* Right to have the Personal Data rectified or corrected if he / she deems the Personal Data incomplete or incorrect;
* Right to restrict the use of his/her Personal Data;
* Right to request that his/her Personal Data be erased, unless there is a legitimate reason to justify storing it;
* Right to object to processing of his/her Personal Data, unless a legitimate reason prevails over his/her interests and rights;
* Right to data portability (in certain specific circumstances), i.e. the right to receive the Personal Data in a structured format.

Further details regarding the above rights are provided for in Chapter III of the GDPR and in particular Articles 15 to 21 thereof.

Where the Management Company requires investors’ personal information in order to comply with AML or other legal or regulatory requirements, failure to provide this information will result in the Management not being able to accept the investor’s investment in the Fund.

1. **Complaints**

You have the right to lodge a complaint with a supervisory authority.

[Complaint form - Individuals - National Data Protection Commission - Luxembourg (public.lu)](https://cnpd.public.lu/en/particuliers/faire-valoir/formulaire-plainte.html)

Commission nationale pour la protection des données

Service des plaintes

1, avenue du Rock’n’Roll

L-4361 Esch-sur-Alzette

1. **How to contact us**

If you have any questions about our use of your personal data, please contact us at Funds\_GDPR@cww.lu

1. Disclosure of Conflict of Interests

In compliance with art. 36.2 of the COMMISSION DELEGATED REGULATION (EU) No 231/2013 of 19 December 2012, C WorldWide Fund Management S.A. (CWFM) informs you that you can find the Conflict of Interests framework describing how CWFM deals with conflicts of interest and what organizational and administrative arrangements it has made to manage conflicts of interest, under the following web address:

[iii-conflicts-of-interest-policy-cww-2023.pdf](https://cww.lu/media/fiyk4vau/iii-conflicts-of-interest-policy-cww-2023.pdf)

I acknowledge and agree that CWFM provides me with the required information by means of its website.

☐ Tick box to confirm

1. CRS and FATCA SELF CERTIFICATION

Regulations based on the OECD Common Reporting Standard (“CRS”) *and* U.S. Foreign Account Tax Compliance Act (FATCA)require The Bank of New York Mellon SA/NV, Luxembourg branch to collect and report certain information about an account holder’s tax residence *.*If your tax residence (or the account holder, if you are completing the form on their behalf) is located outside of the country where the FI maintaining the account is located, we may be legally obliged to pass on the information in this form and other financial information with respect to your financial accounts to the tax authorities in the country where the FI is located.

If you have any questions about your tax residence, please contact your tax advisor. Alternatively, please consult OECD website to help determine your tax residence: <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency>

**For FATCA related questions please consult your tax advisor or IRS website**: [**www.irs.gov/Businesses/Corporations/Foreign-Account-Tax-Compliance-Act-FATCA**](http://www.irs.gov/Businesses/Corporations/Foreign-Account-Tax-Compliance-Act-FATCA)

**Individual account holder identification**

1. Name (\*)

|  |
| --- |
| Last name, Surname or Family nameEnter Last Name. |
| First name(s) or Given name(s) Enter First Name(s) |

1. Permanent residence address (\*)

|  |  |
| --- | --- |
| Number Enter Street Number | Street  Enter Street |
| Postal Code  Enter Postcode | City  Enter City |

|  |
| --- |
| Country  Enter Country |

1. Mailing address (if different from above)

|  |  |
| --- | --- |
| Number Enter Street Number | Street  Enter Street |
| Postal Code  Enter Postcode | City  Enter City |
| Country  Enter Country |

1. Birth details

|  |
| --- |
| Date (DD/MM/YYYY) (\*)Enter Birthdate |
| Country Enter Country |
| City Enter City |

1. Email address

|  |
| --- |
| Enter email address |

(\*) Mandatory fields

**Declaration of US Citizenship or US residence for Tax Purposes (FATCA)**

Please tick and complete as appropriate.

 I confirm that:

☐ I am a U.S. citizen and/or resident in the U.S. for tax purposes and my U.S. federal taxpayer identification number (U.S. TIN) is as follows:

**U.S. TIN :** Enter TIN

Please provide us with the applicable W-9 Form (available on the IRS website) <https://www.irs.gov/pub/irs-pdf/fw9.pdf>

☐ I am not a U.S. citizen and/or resident in the U.S. for tax purposes.

Please proceed with the following sub-section.

Note: you are considered a US resident for tax purposes if you meet certain tests including the substantial presence test

Substantial Presence Test:

To meet this test, you must be physically present in the United States for at least:

1. 31 days during the current year, and
2. 183 days during the 3-year period that includes the current year and the 2 years immediately before that, counting:

- All the days you were present in the current year, and

- 1/3 of the days you were present in the first year before the current year, and

- 1/6 of the days you were present in the second year before the current year.

Some exceptions regarding individual’s specific situations are provided on the Internal Revenue Services (IRS) website. For more details, refer to:

<https://www.irs.gov/Individuals/International-Taxpayers/Substantial-Presence-Test>

**Declaration of Tax Residence (CRS)**

Note: Declaration of Tax residence is requested in the context of the OECD Common Reporting Standard (“CRS”), an initiative to implement automatic exchange of financial account information on a global basis.

Please indicate your place of tax residence. If resident in more than one country please detail all countries of tax residence and associated Tax ID numbers

|  |  |  |  |
| --- | --- | --- | --- |
| **Country of Tax residence** | **Tax ID Number (TIN) or equivalent** | **TIN or equivalent not available** | **Reason if TIN or equivalent not available:** |
| Enter Country | Enter TIN | ☐ | Enter reason if no TIN |
| Enter Country | Enter TIN | ☐ | Enter reason if no TIN |
| Enter Country | Enter TIN | ☐ | Enter reason if no TIN |
| Enter Country | Enter TIN | ☐ | Enter reason if no TIN |
| Enter Country | Enter TIN | ☐ | Enter reason if no TIN |
| Enter Country | Enter TIN | ☐ | Enter reason if no TIN |

**Declaration and Signature**

I declare by signing this certification form that the above information is true, complete and accurate. I undertake to advise the recipient (Fund, Company and Registrar) promptly and provide an updated Self- Certification form within 30 days of any change in circumstance occurring, which causes any of the information contained in this form to be inaccurate or incomplete.

I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder’s relationship with The Bank of New York Mellon SA/NV, Luxembourg branch setting out how The Bank of New York Mellon SA/NV, Luxembourg branch may use and share the information supplied by me.

Further, I acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be provided 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 pursuant to intergovernmental agreements regarding the exchange of financial account information, or otherwise where required by law.

In jurisdictions where the disclosure of the above-mentioned information is not required by law, I may refuse to consent. However, I recognize that the Bank may require this information in the future to comply with applicable law and will contact me to obtain such information.

I certify that I am the Account Holder (or am authorised to sign for the Account Holder) of all the account(s) to which this form relates.

Signature of the Account Holder[[5]](#footnote-5): ……………………………………………………………

Print Name: Please enter Name

Date: Please enter a Date.

City: Please enter City Name

Capacity: Please enter in which capacity you sign

1. MANDATORY ENCLOSURES
* Certified true copy of passport or identity card of investor(s)
* Certified true copy of utility invoice (or certificate of residence) with name and address on

Certification may be made either by notary, public authority or a financial institution subject to equivalent regulation concerning the fight against money laundering and terrorist financing.

I confirm that the attached documents supplied to The Bank of New York Mellon SA/NV, Luxembourg branch (the “Registrar and Transfer Agent”), are up to date and accurate in all respects.

I undertake to inform promptly the Registrar and Transfer Agent with offices at Bank of New Yor Mellon Transfer Agency Services Vertigo Building-Polaris, 2-4, rue Eugène Ruppert L-2453 Luxembourg of any change in the information and declarations given above.

Signed in Enter Place on Enter Date

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature

Title: Enter Title

Name: Enter Name

The Bank of New York Mellon SA/NV, Luxembourg branch is authorised by the Minister in charge of the Supervisory Authority of the Financial Sector in Luxembourg, the Commission de Surveillance du Secteur Financier (CSSF) located at 283, route d’Arlon, L-1150 Luxembourg (mailing address: L-2991 Luxembourg), and is registered on its official list of companies.

Prior to having recourse to any legal proceedings against The Bank of New York Mellon SA/NV, Luxembourg branch, the Investor can address its claims in writing to the Compliance Officer at the mailing address here above. The Investor is also entitled to address its claims to the CSSF which is empowered to intervene with the entities it supervises in order to resolve amicably. This procedure is published on the download area of [www.cww.lu](http://www.cww.lu)

**Appendix 1 – Indemnity Letter**

**E-mail Instructions**

From: Enter First and Last Name

To: **The Bank of New York Mellon SA/NV, Luxembourg branch**

**Vertigo Building – Polaris**

**2-4 rue Eugène Ruppert**

**L-2453 Luxembourg**

Date: Enter date.

**INDIVIDUAL INVESTOR**

We/I, Enter First and Last Name,

residing at Enter Address,

and with ☐ passport/☐ ID card number Enter ID or Passport Number

and holder of the account(s) Enter Account Number

or as listed in Annex 1 to this letter (if more than one account) with The Bank of New York Mellon SA/NV, Luxembourg branch

are writing to THE BANK OF NEW YORK MELLON SA/NV, LUXEMBOURG BRANCH in its capacity as transfer agent/registrar for C Worldwide (the “Fund”).

We hereby request and authorize THE BANK OF NEW YORK MELLON SA/NV, LUXEMBOURG BRANCH to send the following documents to us by e-mail, for all:

☐ Statements

☐ Contract Notes

☐ Dividend Confirmation

(together, the “**Documents**”).

We hereby confirm that the Documents shall be sent by THE BANK OF NEW YORK MELLON SA/NV, LUXEMBOURG BRANCH to the following e-mail address:

Enter Email Address

Should this e-mail address become invalid or unused, we hereby undertake to inform THE BANK OF NEW YORK MELLON SA/NV, LUXEMBOURG BRANCH by registered letter with two weeks’ prior written notice and to promptly provide THE BANK OF NEW YORK MELLON SA/NV, LUXEMBOURG BRANCH with a new e-mail address to be used for the purpose of sending the Documents. In addition, we hereby expressly authorize and instruct THE BANK OF NEW YORK MELLON SA/NV, LUXEMBOURG BRANCH to discontinue the sending of the Documents by fax.

We:

1. acknowledge that e-mail is not a secure, confidential or prompt means of communication and recognize and accept the associated risks pertaining to the sending of the Documents despite their confidential nature by e-mail including, without limitation, the risks of non-receipt or delay, the interruption of e-mail communication, the interference with the integrity of the e-mail communication, the risk of interception of e-mails and the loss of confidentiality;
2. agree that THE BANK OF NEW YORK MELLON SA/NV, LUXEMBOURG BRANCH shall not be responsible or liable for any errors and omissions or losses, liabilities or damages which may be suffered or incurred by us solely as a result of THE BANK OF NEW YORK MELLON SA/NV, LUXEMBOURG BRANCH sending us the Documents by e-mail (except in the event of THE BANK OF NEW YORK MELLON SA/NV, LUXEMBOURG BRANCH’s gross negligence, fraud or wilful misconduct), including, but not limited to, losses or damages arising from viruses or worms, or from the interception, tampering or breach of confidentiality of data or information transmitted; for the avoidance of doubt, THE BANK OF NEW YORK MELLON SA/NV, LUXEMBOURG BRANCH shall not be liable for indirect, incidental, special, or consequential damages and damages for loss of profits, revenue or savings (actual or anticipated), economic loss, loss of data or loss of goodwill or other similar measure (whether or not either party knew of the possibility of such damage or such damage was otherwise foreseeable); and
3. agree and undertake that we shall not make any claims or demands or take any action or start any legal proceedings against THE BANK OF NEW YORK MELLON SA/NV, LUXEMBOURG BRANCH for any losses or damages whatsoever that we may suffer by reason of us receiving, or not receiving, accepting and/or acting on such Documents received by e-mail or otherwise suffered or incurred by us solely as a result of or in connection with the sending of the Documents by e-mail.

Furthermore, we acknowledge that THE BANK OF NEW YORK MELLON SA/NV, LUXEMBOURG BRANCH has no obligation to verify that any e-mails sent to us are sent to a person or entity duly authorized to receive the Documents.

This letter will enter into force as of the date and year first written above.

This letter is governed by and shall be construed in accordance with Luxembourg law. The courts of the City of Luxembourg shall have exclusive jurisdiction in respect of any dispute arising out of or in connection with this letter.

***Signature Page***

By:

Name: Enter Name

By:

Name: Enter Name

***Annex 1 to Indemnity Letter***

Account

Account Holder: Enter Account Holder Name

Accounts:

|  |
| --- |
| Enter Account Number |
| Enter Account Number |
| Enter Account Number |
| Enter Account Number |
| Enter Account Number |
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| Enter Account Number |
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Any changes to this Appendix shall be notified in writing to THE BANK OF NEW YORK MELLON SA/NV, LUXEMBOURG BRANCH and signed by the investor.

1. If you are not the Account Holder please indicate the capacity in which you are signing the present form [↑](#footnote-ref-1)
2. If you are not the Account Holder please indicate the capacity in which you are signing the present form [↑](#footnote-ref-2)
3. If you are not the Account Holder please indicate the capacity in which you are signing the present form [↑](#footnote-ref-3)
4. If you are not the Account Holder please indicate the capacity in which you are signing the present form [↑](#footnote-ref-4)
5. If you are not the Account Holder please indicate the capacity in which you are signing the present form [↑](#footnote-ref-5)