

# Application Form

DWS Deutsche Global Liquidity Series p.l.c. (the Company)

An umbrella company incorporated with limited liability as an umbrella type investment company with variable capital and segregated liability between sub-funds.

Please complete all sections of this form and return to the Administrator at:

State Street Fund Services (Ireland) Limited  
78 Sir John Rogerson's Quay  
Dublin 2, Ireland  
Facsimile Number: +353 (1) 523 3700  
Email Address: taregistration.mm@statestreet.com

## Investor Relations

DWS International GmbH  
Mainzer Landstrasse 11-17 60329 Frankfurt am Main, Germany

Telephone: + 49 (69) 910 - 13807 / 42198 / 13243

DWS Investments UK Limited  
21 Moorfields  
London EC2Y 9DB  
United Kingdom  
Telephone: + 44 207 545 6000

## Fund Administration / Dealing

State Street Fund Services (Ireland) Limited (the Administrator)  
Telephone: +353 (1) 853 8737 / +44 (0) 20 339 54410

To expedite the opening of an account, Applicants should submit the fully completed Application Form and any supporting documentation (the Application) to the Administrator (at its details above) by: (i) registered mail; or (ii) facsimile; or (iii) as an email attachment. Where requested, hard copy Applications should be sent via registered mail to the Administrator's above address.

Defined terms unless otherwise defined herein shall have the same meaning as in the prospectus of the Company (the Prospectus).

## Application for shares

Please tick your choice of share class

Settlement t+0	Monthly distributing share classes				Daily accumulating share class
Fund (Minimum Investment)	Platinum (EUR 250mn / GBP 250mn / USD 250mn)	Reserved (EUR 100mn / GBP 100mn / USD 100mn)	Advisory (EUR 10mn / GBP 10mn / USD 10mn)	Institutional (EUR 1mn / GBP 1mn / USD 1mn)	Accumulate (EUR 10mn / GBP 10mn / USD 10mn)
Managed Euro					
Managed Sterling					
Managed Dollar					
Managed Dollar Treasury					

## Settlement instructions for subscription

Please pay to the following account details once your account with the Administrator in Dublin has been opened.

### For EUR settlement

Beneficiary Account Name: **DWS Deutsche Global Liquidity Series p.l.c.**  
Beneficiary Account Number (IBAN): **GB58DEUT40508120442305**  
Beneficiary Bank Name: **Deutsche Bank AG, London (SWIFT Code DEUTGB2L)**

### For GBP settlement

Beneficiary Account Name: **DWS Deutsche Global Liquidity Series p.l.c.**  
Beneficiary Account Number (IBAN): **GB85DEUT40508120442304**  
Beneficiary Bank Name: **Deutsche Bank AG, London (SWIFT Code DEUTGB2L)**

### For USD settlement

Beneficiary Account Name: **DWS Deutsche Global Liquidity Series p.l.c.**  
Beneficiary Account Number: **6550363010**  
Beneficiary Bank Name: **Bank of America N.A. (SWIFT Code BOFAUS3N)**



## Important

Please make sure that your correspondent bank has been instructed to pay the respective cash amount of your subscription on the relevant settlement date and without deduction. The Company reserves the right to charge interest and costs arising from the failure of an investor to remit payment in full by the relevant settlement date which may be charged to and recovered directly from the investor or debited from an investor's account in which case the Company shall be entitled to repurchase such number of shares as are held by an investor as are necessary to enable the Sub-Fund to recoup the amount of such interest and costs. The Directors retain the right to delay the issue of Shares until all monies have been received. We will only pay redemption proceeds to an account in the name of the registered Shareholder. DWS, formerly known as Deutsche Asset Management (Deutsche AM), stands for the asset management activities conducted by subsidiaries of DWS Group GmbH & Co. KGaA.

Investors should further note that they may be charged negative interest (where applicable) on positive balances held overnight on their behalf in the Company's Umbrella Cash Subscriptions and Redemptions Account used to settle subscription and redemption orders. Positive balances are not typically retained in the Umbrella Cash Subscriptions and Redemptions Account overnight in the normal course of the Company's operations but may arise in certain circumstances.

## Account Opening Information

### 1. Account Details

#### Name and registered address of Applicant

Applicant Name:

Street:

Postal Code / City:

Country:

Tax number:

### 2. Applicant Bank Account details for redemption payments (and dividend distributions (if applicable))

#### EUR Account

Beneficiary Account Name:

Beneficiary Account Number (IBAN):

Beneficiary Bank Name:

SWIFT / BIC Code:

Correspondent SWIFT:

#### GBP Account

Beneficiary Account Name:

Beneficiary Account Number (IBAN):

Beneficiary Bank Name:

SWIFT / Sort Code:

Correspondent SWIFT:

#### USD Account

Beneficiary Account Name:

Beneficiary Account Number:

Beneficiary Bank Name:

SWIFT / (ABA):

Correspondent SWIFT:

Please tick whether you would like your monthly income paid in the form of additional Shares in the Sub-Fund (reinvested) or wired in the form of cash to your bank account listed above.

Monthly Income:  Reinvested  Paid out as cash (distributing share classes only)

Redemption payments to be effected by SWIFT MT:  103  202 (Please note if left blank, MT202 will be taken as the default.)

### 3. Trading instructions

- Telephone trading via the multi trading line +353 (1) 853 8737 / +44 (0) 20 339 54410
- Fax trading +353 (1) 523 3700 (please use separate fax ordering form)
- Online trading via iFast/WEB tool (iFast User Form available upon request to create user login)
- Other third party portal (please specify)

(we provide authorisation for account information to be shared with this portal)

## Reporting instructions (please tick your choice)

Please send by	Email	Fax	Post
Trade confirmation / contract note			
Monthly account statement			
Updated Prospectus, a Key Investor Information Document as required under Directive 2009/65/EC (UCITS IV) (KIID) or a Key Information Document as required under Regulation (EU) No 1286/2014 (the PRIIPs Regulation) (KID), annual report, fact sheet, shareholder information, SID/Supplement (if applicable)			

Email address: (you can add as many email addresses as required)

Fax number:

Postal address (only if not registered address):

Street:

Postal Code / City:

Country:

### 4. Irish residents

Return of Values (Investment Undertakings) Regulations 2013 (Irish Resident/Ordinarily Resident Applicants)

The Company must collect additional information in order to satisfy Return of Values (Investment Undertakings) Regulations 2013 (S.I. 245 of 2013). Therefore any individual, company or any unincorporated body of persons which are an Irish resident (other than an exempt Irish resident (i.e. not an Irish taxable person) in accordance with Section 739D(6) of the Taxes Consolidation Act 1997 (as amended) that has provided the appropriate declaration as to its exempt status or a non-Irish resident that has provided the appropriate declaration of residence outside Ireland) or ordinarily Irish resident must provide the following additional information and documentation:

Tax Identification Number (TIN)/PPS Number:

Any one of the following additional documents are required to verify the tax identification number or PPS Number (either a copy or the original is sufficient):

- P60
- P45
- P21 Balancing Statement
- Payslip (where employer is identified by name or tax number)
- Drug Payment Scheme Card
- European Health Insurance Card
- Tax Assessment
- Tax Return Form
- PAYE Notice of Tax Credits
- Child Benefit Award Letter /Book
- Pension Book
- Social Services Card
- Public Services Card

In addition, any printed documentation issued by the Revenue Commissioners or by the Department of Social Protection which contain your name, address and tax reference number will also be acceptable. In the case of joint account holders, the additional documentation is required for each Applicant.

Your personal information will be handled by the Administrator or its duly appointed delegates as Data Processor for the Company in accordance with the Irish Data Protection Acts 1988 to 2018, the General Data Protection Regulation (Regulation (EU) 2016/679), the EU

ePrivacy Directive 2002/58/EC (as amended) and any relevant transposition of, or successor or replacement to those laws. Your information provided herein will be processed for the purposes of complying with the Return of Values (Investment Undertakings) Regulations 2013 and this may include disclosure to the Irish Revenue Commissioners.

### Representations and Warranties

I/We declare that I am/we are not a US Person(s), as defined in the Prospectus and that I am/we are not acting on behalf of a US Person(s) nor do I/we intend selling or transferring any Shares which I/we may purchase to any person who is a US Person.

I/We confirm that I/we have the authority to make this investment pursuant to this Application Form whether the investment is mine/ours or is made on behalf of another person or institution.

I/We, am/are duly organised, validly existing under the laws of the jurisdiction in which I am/we are organised and I/we have the power and authority to enter into and perform my/our obligations under this Application Form.

I/We having received and considered a copy of the Prospectus and relevant KIID or KID, as applicable, hereby confirm that this Application is based solely on the Prospectus and relevant KIID or KID, as applicable, current at the date of this Application Form with the most recent annual report and accounts of the Company and (if issued after such report and accounts) its most recent unaudited semi-annual report.

I/We agree to be bound by the terms of the Prospectus under which this Application is made.

I/We hereby undertake to observe and be bound by the provisions of the memorandum and articles of association of the Company (as amended from time to time) and apply to be entered in the Register of Shareholders as the holder/holders of the Shares issued in relation to this Application.

I/We hereby acknowledge that due to anti-money laundering requirements operating within its jurisdiction, the Company, may require directly or via a distributor or the Administrator, further identification documents before the Shares can be registered in relation to this Application and the Company shall be held harmless and indemnified against any loss arising as a result of a failure to process the Application, or a delay in processing any redemption requests, if such information requested by the Administrator, the Company or a distributor has not been provided by me/us or has been provided in incomplete form.

I/We acknowledge and agree that Shares in the Company may not be issued until such time as the Administrator has received and is satisfied with all the information and documentation requested to verify the Applicant's identity including where applicable, the Declaration of Beneficial Ownership Form as set out in Appendix 2 hereto. Where, at the discretion of the Administrator, Shares are issued prior to the Administrator having received all the information and documentation required to verify the Applicant's identity, the Applicant will be prohibited from repurchasing any Shares so issued, and the Company, or the Administrator on its behalf reserves the right to refuse to make any repurchase payment or distribution to the Applicant, until such time as the Administrator has received and is satisfied with all the information and documentation required to verify the Applicant's identity.

I/we confirm to the best of my / our knowledge or belief, none of my / our beneficial owners, controllers or authorised persons ("Related Persons") (if any) is (i) named on any list of sanctioned entities or individuals maintained by the US Treasury Department's Office of Foreign Assets Control ("OFAC") or pursuant to European Union ("EU") and/or United Kingdom ("UK") Regulations (ii) operationally based or domiciled in a country or territory in relation to which sanctions imposed by the United Nations, OFAC, the EU and/or the UK apply, or (iii) otherwise subject to sanctions imposed by the United Nations, OFAC, the EU or the UK (collectively, a "Sanctions Subject").

I/We acknowledge and agree that (i) should I / we or a Related Person be, or become at any time during my / our investment in the Company a Sanctions Subject, the Directors may immediately and without notice to me / us cease any further dealings with me / us and/or the my / our Shares until I / we cease to be a Sanctions Subject or a licence is obtained under applicable law to continue such dealings (a "Sanctioned Persons Event"), and (ii) the Company, the Directors and the Administrator shall have no liability whatsoever for any liabilities, costs, expenses, damages and/or losses (including but not limited to any direct, indirect or consequential losses, loss of profit, loss of revenue, loss of reputation and all interest, penalties and legal costs and all other professional costs and expenses) incurred by me / us as a result of a Sanctioned Persons Event.

I/We acknowledge and agree that subscription monies received in respect of a Sub-Fund in advance of shares being issued on the relevant Dealing Day will be held in the umbrella cash subscriptions and redemptions account in the name of the Company and will be treated as an asset of the relevant Sub-Fund. I/We further acknowledge and agree that I/we will be an unsecured creditor of the relevant Sub-Fund with respect to the amount held by the Company until Shares are issued on the Dealing Day and, as such, I/we will not benefit from any appreciation in the Net Asset Value of the relevant Sub-Fund or any other Shareholder rights (including dividend entitlement) until such time as Shares are issued on the relevant Dealing Day. I further acknowledge and agree that such amounts will constitute a debt due to me from the relevant Sub-Fund and will not be held on trust for me, pending the issue of Shares on the relevant Dealing Day.

I/we acknowledge and agree that where Interim Dealing Cycles are offered to investors, it is done so at the discretion of the Company. The Company may, in its absolute discretion, run more or less Interim Dealing Cycles for a particular Class or Sub-Fund. Interim Dealing Cycles will be immediately suspended in the event in certain circumstances. I/we further acknowledge that Interim Dealing Cycles may be impacted by operational and settlement challenges and accordingly are subject to change. The number and/or time of Interim Dealing Cycles, as described in the relevant Supplement, on any Dealing Day may vary as a result of such challenges. Subscriptions, share transfers and redemptions may be included in a later Interim Dealing Cycle or at the Dealing Deadline for a Dealing Day if, for any reason, their application was not processed in time for the intended Interim Dealing Cycle.

I/We understand that the representations and warranties made herein are on a continuous basis and all subsequent purchases of Shares shall be governed by them, and I/we agree to notify the Company promptly of any changes to the information, representations and warranties made herein and agree immediately to take such action as the

Company may direct, including where appropriate, redemption of my/our entire holding.

I/We agree to provide these representations and warranties to the Company at such times as the Company may request, and to provide on request such certificates, documents or other evidence as the Company, the Administrator or a distributor may reasonably require to substantiate such representations.

I/We agree to notify the Company immediately if I/we become aware that any of the representations and warranties given in this Application Form are no longer accurate and complete in all respects and agree immediately to take such action as the Company may direct.

I/We hereby authorise and instruct the Administrator and the Company to accept and execute any instructions in respect of the Shares to which this Application relates, or given by me/us in written form by telephone, electronically or by facsimile. I/We hereby agree to indemnify each of the Administrator and the Company and agree to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of instructions given by me by me/us, except where such loss results from the negligence of the Administrator. The Administrator and the Company may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction or other instrument believed in good faith to be genuine or to be signed properly by the Applicant.

I/We hereby agree to indemnify and keep indemnified the Company against any loss arising to it as a result of any breach of any representation, warranty, covenant, confirmation or information set out by me/us in this Application Form or otherwise provided by me/us in connection with this Application Form, or from my/our failure to disclose any relevant information, or from my/our failure to provide the Company, the Administrator or a distributor with all the information reasonably requested. In the case of delay or failure to provide satisfactory information, each of the Company and the Administrator may take such action (including declining to accept an Application) as they think fit.

I/We understand that the tax disclosure set forth in the Prospectus is of a general nature and may not cover the jurisdiction in which I am /we are subject to taxation and that the tax consequences of my/our purchase of Shares depend on my/our individual circumstances.

I/We acknowledge the right of the Company at any time to require the mandatory redemption of Shares in the circumstances provided for in the Prospectus.

I/We acknowledge that the Company or the Administrator on its behalf intends to take such steps as may be required to satisfy any obligations imposed by (i) the Foreign Account Tax Compliance Act ("FATCA") regulations, (ii) any applicable law relating to the OECD Common Reporting Standard ("CRS") or (iii) any provisions imposed on the Company under Irish law arising from the inter-governmental agreement between the Government of the United States of America and the Government of Ireland ("IGA"), the Multilateral Competent Authority Agreement on Automatic Exchange of Financial Account Information, sections 891E, 891F or 891G of the Taxes Consolidation Act 1997 ("TCA") and any applicable regulations implementing same so as to ensure compliance or deemed compliance (as the case may be) with the FATCA regulations, the IGA, CRS and any other applicable laws relating to the automatic exchange of information.

I/We agree to provide to the Company, the Investment Manager, the Sub-Investment Manager, the Administrator and/or the Distributor (the *Relevant Entities*) the necessary FATCA/CRS self-certification declarations, confirmations and/or classifications at such times as each of them may request and further- more provide any supporting certificates or documents as each of them may reasonably require in connection with this investment by reason of the FATCA regulations, the IGA, CRS, any law arising out of sections 891E, 891F or 891G of the TCA as described above, and any other applicable laws relating to the automatic exchange of information or otherwise. Should any information furnished to any of them become inaccurate or incomplete in any way, I/we hereby agree to notify the Relevant Entities

immediately of any such change and further agree to immediately take such action as any of the Relevant Entities may direct, including where appropriate, redemption of our Shares in respect of which such confirmations have become incomplete or inaccurate where requested to do so by any of the Relevant Entities. If relevant, I/we agree to notify the Company and the Administrator of any change to my/our tax residency status. I/we hereby also agree to indemnify and keep indemnified the Relevant Entities against any loss, liability, cost or expense (including without limitation legal fees, excluding the allocated cost of in-house counsel, taxes and penalties) which may result directly or indirectly as a result of a failure to meet our obligations pursuant to this section or failure to provide such information which has been requested by any of the Relevant Entities and has not been provided by me/us, and from any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in any document delivered by me/us to any of the Relevant Entities, except to the extent such loss, liability, cost or expense is due to the negligence or willful misconduct of any Relevant Entity. I/We further acknowledge that a failure to comply with the foregoing obligations or failure to provide the necessary information required may result in the compulsory redemption of our entire holding in the Company, and that the Company and the Depositary are authorized to hold back from redemption proceeds or other distributions to me/us such amount as is sufficient after the deduction of any redemption charges to discharge any such liability and I/we shall indemnify and keep indemnified the Company and the Depositary against any loss suffered by them or other Shareholders in the Company in connection with any obligation or liability to so deduct, withhold or account.

For the purposes of the Electronic Commerce Act 2000, if I/we have provided an e-mail address or fax number to the Company or its delegate, I/we understand that the Prospectus and KIIDs/KIDs, as applicable or any notice may be provided by way of Electronic Delivery and I/we consent to any such notice or document being sent to me/us by fax or electronically to the fax number or e-mail address previously identified to the Company which I/we acknowledge constitutes effective receipt by me/us of the relevant notice or document and that a paper copy of the Prospectus and/or KIIDs/KIDs, as applicable, will be provided free of charge on request. I/we acknowledge that updated versions of the Prospectus and KIIDs/KIDs, as applicable, will be made available on the website <http://www.liquidity.dws.com>. I/We understand that Electronic Delivery includes email delivery to the email address set out herein or as otherwise agreed with the Administrator from time to time and/or electronically making available such documentation or information on <http://www.liquidity.dws.com> or such other website address as may be notified to me/us from time to time. I/We acknowledge that I/we am/are not obliged to accept electronic communication and may at any time choose to revoke my/our agreement to receive communications by fax or electronically by notifying the Company in writing at the above address, provided that my/our agreement to receive communications by fax or electronically shall remain in full force and effect pending receipt by the Company of written notice of such revocation.

I/We acknowledge that I/we have received the Data Protection notice set out in Appendix 1 hereto.

## Declaration of residence outside the Republic of Ireland

Person(s) who is (are) Resident or Ordinarily Resident in the Republic of Ireland and who are seeking to apply for shares should strike through the below declarations. If applicable, to preserve your position as an exempt Irish investor, Applicants must complete the declaration referred to in Section 739D (6) of the Taxes Consolidation Act, 1997. This form is available from the Administrator.

Applicants resident outside the Republic of 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 that this declaration, if it is then still correct, shall apply in respect of any subsequent acquisitions of shares/units. Terms used in the declaration are defined in the Prospectus.

Please tick and complete just **ONE** of these sections (a or b):

### a) Declaration on own behalf

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

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

\* Delete as appropriate

Or

### b) Declaration as Intermediary

I/we\* declare that I am/we are\* applying for shares/units on behalf of third parties:

- who are beneficially entitled to the shares/units; and
- who, to the best of my/our\* knowledge and belief, are neither resident nor ordinarily resident Ireland.

I/we\* also declare that:

- Unless I/we\* specifically notify you to the contrary at the time of the Application, all Applications for shares/units made by me/us\* from the date of the Application will be made on behalf of such persons; and
- I/we\* will inform you in writing, if I/we\* become aware that any person, on whose behalf I/we\* hold shares/units, becomes resident in Ireland.

\* Delete as appropriate

## Signature of Applicant or authorised signatories

First name & surname:

Capacity of authorised signatory (if applicable):

Function / Title:

Telephone:

Fax:

Email:

Date (dd/mm/yyyy):

Signature:

First name & surname:

Capacity of authorised signatory (if applicable):

Function / Title:

Telephone:

Fax:

Email:

Date (dd/mm/yyyy):

Signature:

## Notes

1. Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.
2. To be valid, the Application Form (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by the Applicant. Where there is more than one Applicant, each person must sign. If the Application is a company, it must be signed by the company secretary or another authorised officer.
3. If the Application Form (incorporating the declaration required by the Irish Revenue Commissioners) is signed under power of attorney, a copy of the power of attorney must be furnished in support of the declaration.

## Declaration of Beneficial Ownership Form

### **(Insert Company Letterhead)**

**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 Fourth Anti Money Laundering Directive ("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 Annex 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** below)

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

#### **Beneficial Owner 1**

Full Name	Registered Address (PO or C/O will not be accepted)	Date and Place of Birth	Nationality	Tax Residence(s)	Tax Identification Number(s)	Shareholding Type (and %)

#### **Beneficial Owner 2**

Full Name	Registered Address (PO or C/O will not be accepted)	Date and Place of Birth	Nationality	Tax Residence(s)	Tax Identification Number(s)	Shareholding Type (and %)

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

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### **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	Registered Address (PO or C/O will not be accepted)	Date and Place of Birth	Nationality	Function (Title)

**Senior Managing Official 2**

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

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

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

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

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

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

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

**Annex 1:**

**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)

## AEOI FATCA and CRS Entity Self-Certification

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 2018. 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 websites 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 \*)**

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### \*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 Code: ..... Country: .....

Mailing address (if different from above):

Number: ..... Street: .....

City, Town, State, Province or County: .....

Postal/ZIP Code: ..... Country: .....

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### \*Section 2: FATCA Declaration:

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

- A.  The Entity is a **Specified US Person** and the Entity's US Federal Taxpayer Identifying Number (US TIN) is as follows (please also complete Sections 4 and 5):

US (TIN):	
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Or

- B.  The Entity is **not a Specified US Person** and the Entity's W9 Exemption Code is as follows (please also complete Sections 4 and 5)

W9 Exemption Code:	
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Or

- C.  The Entity is a **US person but not a Specified US Person** (please also complete Sections 3, 4 and 5)

**\*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 (FIs) 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 FATCA *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 <i>GIIN</i> but is sponsored by another entity which does have a <i>GIIN</i> Please provide your sponsor's name and sponsor's <i>GIIN</i> : <b>Sponsor's Name:</b> _____ <b>Sponsor's <i>GIIN</i>:</b> _____  <b>NOTE:</b> 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 <i>GIIN</i> with the IRS unless and until U.S. reportable accounts are identified.	
II:	<b>Exempt Beneficial Owner</b> <b>Confirm the type of Exempt Beneficial Owner below;</b>	
	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.	<b>Certified Deemed Compliant Foreign Financial Institution</b> (including a deemed compliant Financial Institution under Annex II of the Agreement)  Indicate exemption: _____	
IV.	<b>Non-Participating Foreign Financial Institution (NPFPI)</b>	
V.	<b>Excepted Foreign Financial Institution</b>  Indicate exemption: _____	
VI.	<b>The Entity is a Trustee Documented Trust.</b> Please provide your Trustee's name and <i>GIIN</i> <b>Trustee's Name:</b> _____ <b>Trustee's <i>GIIN</i>:</b> _____	

**3.4 Non-Financial Foreign Entity (NFFE) under FATCA:**

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

I.	<b>Active Non-Financial Foreign Entity</b>	
II:	<b>Passive Non-Financial Foreign Entity</b> <b>(Please tick the box that applies)</b>	
	<b>I. Passive (NFFE) with no Controlling Persons that are specified U.S. Persons.</b> <b>OR</b>	
	<b>II. Passive (NFFE) with Controlling Persons that are specified U.S. Persons.</b> 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.	<b>Excepted Non-Financial Foreign Entity</b>	

IV.	<b>Direct Reporting</b>	
	GIIN: _____	

**\*Section 4: Common Reporting Standard (“CRS”) Declaration of Tax Residency (please note that you may choose more than one country)\***

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 all 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 for CRS (i.e. Ireland or the USA)

**Please list ALL Tax ID Numbers below**

Country of Tax Residency	Tax ID Number

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)
- Please tick this box to confirm you have specified all jurisdictions in which the Entity is resident for tax purposes.**

**\*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:

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 on CRS to assist with classification, 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>

**CRS Financial Institution Type**

I.	A Reporting Financial Institution resident in a participating CRS Jurisdiction ( <i>including an Investment Entity, Depository Financial Institution, Custodial Institution or Specified Insurance company</i> )	
II:	A Financial Institution resident in a Non-Participating CRS Jurisdiction (Please also tick the box that applies)	
	An Investment Entity resident in a Non-Participating CRS 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 form for each of your Controlling Persons)	
	An Investment Entity resident in a Non-Participating Jurisdiction but is not managed by another Financial Institution ( <i>including an Investment Entity, Depository Financial Institution, Custodial Institution or Specified Insurance company resident in a non-</i>	

	<i>participating jurisdiction)</i>	
	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	
	Qualified Non-Profit Entity	
	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 Entity (NFE) under CRS:**

If the Entity is a Non-Financial Institution Entity under CRS, please tick one of the below categories

I.	Active Non-Financial Entity – 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 Non-Financial Entity – 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 corporation is regularly traded: .....	
III.	Active Non-Financial Entity – a Government Entity or Central Bank	
IV.	Active Non-Financial Entity – an International Organisation	
V.	Active Non-Financial Entity – other than (I)-(IV) (for example a start-up NFE or a non-profit NFE)	
VI.	Passive Non-Financial Entity If this box is ticked please also complete Section 6.1 for each of the Controlling Person(s) of the Entity and a separate AEOI “Individual (including Controlling Persons) 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 for CRS purposes 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**, or An Investment Entity resident in a Non-Participating Jurisdiction and managed by another Financial Institution in the CRS section, 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 for CRS purposes will be the natural person who holds the position of senior managing official of the Entity.

**6.2 Arrange for each of the Controlling Persons listed in Section 6.1 to 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 confirm (where applicable) that an “Individual (including Controlling Persons) Self-Certification for FATCA and CRS” form has been completed, signed and provided for each Controlling person, as defined under the CRS and FATCA regulations.

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.

**Signature of Applicant or authorised signatories**

First name & surname: \_\_\_\_\_

Capacity of authorised signatory (if applicable): \_\_\_\_\_

Function / Title: \_\_\_\_\_

Telephone: \_\_\_\_\_

Fax: \_\_\_\_\_

Email: \_\_\_\_\_

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

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

First name & surname: \_\_\_\_\_

Capacity of authorised signatory (if applicable): \_\_\_\_\_

Function / Title: \_\_\_\_\_

Telephone: \_\_\_\_\_

Fax: \_\_\_\_\_

Email: \_\_\_\_\_

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

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

# DWS Deutsche Global Liquidity Series p.l.c.

## Attachment to application form

Account holder	
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### Signature list

#### For share register amendments and trading

I/We hereby authorise State Street Fund Services (Ireland) Limited (SSFL) as Administrator of the Sub-Funds, to accept and act upon instructions from the persons listed below for the subscription, repurchase and cancellation of units of the Sub-Funds or any register amendments or changes to the application form(s) or bank details. I further authorise SSFL to release monies for any and all repurchase and cancellation orders referenced below provided the proceeds of any sale are paid to the account(s) in my/our name.

*Individually:* authorised person acts solely

*Jointly:* orders need to be signed by two authorised persons from the below list

Please tick as appropriate

		Individually	Jointly		
1.	Full name	<input type="checkbox"/>	<input type="checkbox"/>	Signature	Telephone
2.	Full name	<input type="checkbox"/>	<input type="checkbox"/>	Signature	Telephone
3.	Full name	<input type="checkbox"/>	<input type="checkbox"/>	Signature	Telephone
4.	Full name	<input type="checkbox"/>	<input type="checkbox"/>	Signature	Telephone
5.	Full name	<input type="checkbox"/>	<input type="checkbox"/>	Signature	Telephone
6.	Full name	<input type="checkbox"/>	<input type="checkbox"/>	Signature	Telephone
7.	Full name	<input type="checkbox"/>	<input type="checkbox"/>	Signature	Telephone

Date

Legally binding signature(s) of Person(s) with power of attorney

Email address for correspondence  
(you can add as many email addresses as required):

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Company stamp or full register address

# DWS Deutsche Global Liquidity Series p.l.c.

## Attachment to application form

Account holder	
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### Signature list

#### For trading purposes only

I/We hereby authorise State Street Fund Services (Ireland) Limited (SSFL) as Administrator of the Sub-Funds, to accept and act upon instructions from the persons listed below for the subscription, repurchase and cancellation of units of the Sub-Funds by both facsimile and telephone orders as appropriate.

*Individually:* authorised person acts solely

*Jointly:* orders need to be signed by two authorised persons from the below list

Please tick as appropriate

	Individually	Jointly		
1. Full name	<input type="checkbox"/>	<input type="checkbox"/>	Signature	Telephone
2. Full name	<input type="checkbox"/>	<input type="checkbox"/>	Signature	Telephone
3. Full name	<input type="checkbox"/>	<input type="checkbox"/>	Signature	Telephone
4. Full name	<input type="checkbox"/>	<input type="checkbox"/>	Signature	Telephone
5. Full name	<input type="checkbox"/>	<input type="checkbox"/>	Signature	Telephone
6. Full name	<input type="checkbox"/>	<input type="checkbox"/>	Signature	Telephone
7. Full name	<input type="checkbox"/>	<input type="checkbox"/>	Signature	Telephone

Date
------

Legally binding signature(s) of Person(s) with power of attorney
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<p>Email address for correspondence (you can add as many email addresses as required):</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>
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<p>Company stamp or full register address</p>
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## Appendix 1

### Data protection information in accordance with the EU General Data Protection Regulation (“GDPR”)

Dear Shareholder,

The following notice gives you an overview of the way in which we and other third parties may process your personal data, and your rights under the GDPR and the Irish Data Protection Act 2018 (the “Notice”). The specific types of data processed, and how they are processed, are largely determined by the requested/agreed services in question.

#### 1. Who we are

We are DWS Deutsche Global Liquidity Series plc, with a registered address at 78 Sir John Rogerson’s Quay, Dublin 2, Ireland (the “Company”, “we”, “us” or “our”). The Company is a controller of your personal data within the meaning of the GDPR. This means that we are responsible for deciding how we hold and use personal information about you.

This Notice applies to you and to any third parties whose information you provide to us in connection with our relationship with you. Please ensure that a copy of this Notice is provided to any third parties whose personal data you provide to us. You, as an investor, remain responsible to inform any of your potential authorised representatives or beneficial owners about the existence and content of this Notice.

#### 2. How we Process your Personal Data

Due to our contractual relationship with you, or in order to fulfil our legal obligations, we must collect certain personal information from you. If you do not provide this personal data to us, we may not be able to process your investor application or otherwise maintain a business relationship with you or provide you with our services.

The categories of personal data we process, the purposes for which we process it, and the legal bases on which we perform such processing in each instance are as follows:

Categories of Personal Data Collected	Purpose(s) of Processing	Legal Basis under GDPR
Name, address/other contact details, date/place of birth, gender, nationality, language, marital status, legal capacity, professional group key/type of partnership (employed/self-employed), identification data (e.g. ID card data), authentication data (e.g. specimen signature), tax ID and information, FATCA status, current occupation or previous occupation if relevant and financial status (assets, liabilities, income from employment/self-employment/trade or business, expenses).	To process, manage and administer your holding(s) and any related accounts, on an ongoing basis. This includes the management of your investment, and the provision of associated services to you (such as account statements or other communications relevant to your application or investment).	To support the Company’s legitimate interests in managing and improving its business operations.
Name, address/other contact details, tax ID and information, FATCA status, financial status (assets, liabilities, income from employment/self-employment/trade or business, expenses), and other details provided as part of the application form.	To perform our contractual obligations to you, or to assess your application prior to entering into a contract.	The processing is necessary in order to perform our contract with you, or to take steps prior to entering into a contract with us.
Name, address, date/place of birth, gender, nationality, identification data (e.g. ID card data), authentication data (e.g. specimen signature), and tax ID and information.	To comply with applicable legal obligations, statutory requirements or supervisory requirements (e.g. responding to requests from regulators).	The processing is necessary for compliance with our legal obligations. <sup>1</sup>
Name, address/other contact details (telephone, email address).	To provide marketing updates, and to communicate with you generally.	To support the Company’s legitimate interests in managing and improving its business operations and services.
		Consent where required (which may be withdrawn at any time).
We may also need to use your personal data (including any of the categories of personal data described above) for the purposes of establishing, exercising or defending legal proceedings.		

<sup>1</sup> Please note that where legal or regulatory obligations are cited as a legal basis for processing personal data, examples of such legal obligations include, but are not limited to; our obligations under the Companies Act 2014, and the Taxes Consolidation Act 1997, and the Criminal Justice (Money Laundering and Terrorist Financing) Act 2010 (as amended).

**Please note that you have a right to object to processing of your personal data where that processing is carried on for our legitimate interest.**

We do not intend to process any special categories of personal data relating to you, however, we will notify you in writing if this position changes.

We will only use your personal data for the purposes for which we collected it, unless we reasonably consider that we need to use it for another reason and that reason is compatible with the original purpose. If we need to use your personal data for an unrelated purpose, we will notify you by updating this Notice and we will explain the legal basis which allows us to do so.

In certain circumstances, the provision of your personal data may be a contractual requirement. If you do not provide this personal data to us, we may not be able to process your application or otherwise maintain a business relationship with you or provide you with our services. We will tell you when we ask for personal data whether it is a statutory or contractual requirement or needed to comply with our legal obligations.

### 3. Disclosure of your information

Your personal data will be disclosed to, and processed by, State Street Fund Services (Ireland) Limited, which will be the administrator of your investment(s) for the purposes of this Notice and is acting as registrar and transfer agent for the Company.

To the extent necessary to perform our services and fulfil our contractual obligations to you, we will disclose your personal data to:

- DWS Investment S.A. acting in its capacity as the management company and distributor of the Company or any of its related companies, affiliates or duly authorised agents;
- State Street Custodial Services (Ireland) Limited, acting in its capacity as depositary or any of their duly authorised agents;
- DWS International GmbH, acting in its capacity as investment manager, or any of their duly authorised agents;
- DWS Investment Management Americas Inc. acting in its capacity as sub-investment manager or any of their duly authorised agents;
- Michael Whooley, Carne Global Financial Services Limited, and any appointed successor, acting in his capacity as money-laundering reporting officer;
- International Financial Data Services (Canada), in its capacity as provider of information technology applications;
- Syntel Services Privacy Limited, which will assist with operations, including account set-up;
- Victor Buck Services S.A., as issuer of contract notes, monthly statements and other update information;
- DST Financial Services International Limited, in its capacity as provider of information technology applications;
- State Street Bank and Trust, which will assist with client account opening;
- Other credit and financial services institutions, comparable institutions and order processors, to which we transfer personal data for the purpose of managing and administering the Company and managing our investment relationship with you;
- The Central Bank of Ireland, the Irish Revenue Commissioners and any other public or regulatory entities or institutions which we are required to disclose your data to pursuant to a legal requirement; and
- Other third parties including professional, legal or financial advisors, auditors and/or technology providers.

We take all reasonable steps, as required by law, to ensure the safety, privacy and integrity of such data and information and may, where appropriate, enter into contracts with such third parties to protect the privacy and integrity of such data and any information supplied.

### 4. Automated Decision Making and Profiling

Automated decision-making takes place when an electronic system uses personal information to make a decision without human intervention. As part of the Company's business and ongoing monitoring, the Company may from time to time carry out automated decision-making in relation to investors, including, for example, profiling of investors in the context of anti-money laundering reviews, and this may result in an investor being identified to the Revenue Commissioners and law enforcement authorities, and the Company terminating its relationship with the investor.

### 5. Keeping your information secure

We take all reasonable steps to ensure the safety, privacy and integrity of your personal data. We ensure that we have appropriate technical, organisational and security measures, appropriate to the sensitivity of your information to ensure it is secure.

We also limit access to your personal information (in both electronic and paper form) to those who have a legitimate and justifiable reason to process that information. We have put in place procedures to deal with any suspected personal data breaches and will notify you and any applicable regulator (as appropriate) and in accordance with our legal obligations.

### 6. Transfers outside the European Economic Area

We will transfer your personal data to countries outside the European Economic Area if this is necessary for the performance of our contractual obligations to you, or to the extent that this is required by law. Transfers to countries outside the European Economic Area will, to the extent required, be made to Australia, Canada, Japan, Hong Kong, India, Singapore, Thailand and the United States.

For any transfers of your personal data outside the European Economic Area, we will ensure that appropriate safeguards are in place in compliance with Chapter V of the GDPR. This might include one or more of the following:

- The country which we are transferring the personal data to may be approved by the European Commission as offering an adequate level of data protection; and
- The recipient of the data may have signed 'standard contractual clauses' approved by the European Commission, obliging them to protect the personal data.

In certain limited circumstances, we may also transfer your personal data to countries outside the European Economic Area where we have obtained your consent to do so. You will be entitled to withdraw such consent at any time.

You can obtain more information about data transfers, appropriate safeguards and standard contractual clauses by contacting us (see 'Questions and Concerns').

### 7. How long is my data stored for?

We will retain your data for as long as our business relationship with you is continuing and to satisfy the purpose for which the data was collected. We will also retain your personal data for as long as necessary to comply with any legal requirements (including retention requirements for anti-money laundering purposes). If you have any questions, please contact us (see 'Questions and Concerns').

## 8. What data protection rights do I have?

You have various rights under the GDPR, a summary of which are set out below:

- *Request access* to your personal information (commonly known as a “data subject access request”). This enables you to receive a copy of the personal information we hold about you and to check that we are lawfully processing it;
- *Request correction* of the personal information that we hold about you. This enables you to have any incomplete or inaccurate information we hold about you corrected;
- *Request erasure* of your personal information. This enables you to ask us to delete or remove personal information where there is no good reason for us continuing to process it. You also have the right to ask us to delete or remove your personal information where you have exercised your right to object to processing (see below);
- *Object to processing* of your personal information where we are relying on a legitimate interest (or those of a third party) and there is something about your particular situation which makes you want to object to processing on this ground. You also have the right to object where we are processing your personal information for direct marketing purposes;
- *Request the restriction of processing* of your personal information. This enables you to ask us to suspend the processing of personal information about you, for example if you want us to establish its accuracy or the reason for processing it; and
- *Request the transfer* of your personal information to another party

In the event that we request, and receive, your consent to process your personal data for a specific purpose, you have the right to withdraw your consent at any time. Your withdrawal of consent will not affect the lawfulness of our processing based on consent before its withdrawal. If you wish to exercise this right, please see ‘*Questions and Concerns*’ below.

If you want to review, verify, correct or request erasure of your personal information, object to the processing of your personal data, or request that we transfer a copy of your personal information to another party, please contact us in writing (see ‘*Questions and Concerns*’). Your request will be dealt with in accordance with applicable data protection laws.

Please note that these rights are not absolute and may be subject to statutory exemption and/or limitation.

## 9. Questions and Concerns

If you have any questions or concerns about how we handle your personal data, further information can be obtained from State Street Fund Services (Ireland) Limited (78 Sir John Rogerson’s Quay, Dublin 2, Ireland), acting in its capacity as administrator and transfer agent of the Company (by emailing [KKTInvestorservices@statestreet.com](mailto:KKTInvestorservices@statestreet.com))

If you are unhappy with how we are handling your personal data, or how we respond to a query/complaint about the processing of your personal data, you have the right to make a complaint to the Irish Data Protection Commissioner (“DPC”), at any time. Contact details for the DPC are available [here](#). You can also contact your local data protection supervisory authority.

## 10. Changes to this Notice

Please review this Notice regularly as we will update it from time to time.