

TAM GLOBAL MULTI-ASSET FUND APPLICATION FORM

This application form is to be completed for the TAM Global Balanced ICAV. Please complete all details correctly and in full or else your application may have to be returned.

CLIENT NAME/S:

INVESTMENT PROPOSAL
NUMBER:

The “fund of funds” portfolio will be opened in accordance with the details provided on the above proposal number. If fees, currency or investment product differ from this proposal then a new one must be requested from portfoliorequest@tameurope.com.

SECTION I: TO BE COMPLETED BY THE CLIENT/S FOR ALL APPLICATION TYPES

	APPLICANT 1 (UNDERLYING CLIENT)	APPLICANT 2 (JOINT APPLICATIONS ONLY)
Title:		
First Name:		
Surname:		
Address:		
Post Code:		
Country:		
Nationality:		
DOB:		
National Insurance/Identity Number:		
Long Passport Number:	(30 characters)	(30 characters)
Passport Expiry Date:		
Email Address:		
Source of funds:		
Percentage of overall wealth:		

CLIENT BANK DETAILS

Account Name:		Bank Name:	
Sort Code:		Account Number:	
IBAN:			

CLIENT DECLARATION

Your proposal in conjunction with our terms of business is the “Principal Agreement” between the Customer (you) and TAM Europe Asset Management AV, SA (TEAM). By signing below, you confirm you have read and accept the full content of the terms of business. Our terms of business may change from time to time and they along with any updates can be accessed on our web site at www.tameurope.com or in your secure log in area which is accessible 24 hours a day.

You acknowledge that:

1. The information provided in this agreement is true and complete to the best of your knowledge and that it is your responsibility to notify TEAM of any changes in your circumstances.
2. The risk profile shown in this document is to be applied to any account set up as a result of this application and that all funds transmitted to TEAM are to be managed in (an) investment portfolio(s) in accordance with that risk profile.
3. The suitability assessment has been and will continue to be conducted by your Financial Adviser. On that basis you agree that TEAM can solely rely on the risk profile instructed by you as an accurate representation of your investment objectives and that TEAM will use its discretion when managing the investments in that portfolio.
4. You confirm that you have discussed your sustainability preferences with your Financial Adviser and that you do not have any sustainability preferences.
5. In order to comply with anti-money laundering regulations from the implementation of all applicable Money Laundering Directives, TEAM may be required to carry out an electronic check of your identity and you authorise TEAM to do so.
6. You agree to all portfolio statements, valuations and contract notes being provided electronically via access to your TEAM web account and you accept responsibility for reading and where applicable printing out any information where it is required. You confirm that you will log in to your online portal to review your statements no less than once per quarter. You understand that you will receive custody statements and valuations on a quarterly basis.
7. Your financial adviser, trust or life company has your authority to instruct TEAM on your behalf in respect of maintenance and alterations to the portfolio and that TEAM may rely on these instructions as if they are directly from you.
8. Having read the schedule of costs & charges contained within your proposal you accept that the charges and deductions as outlined in **Appendix I** will be levied from your portfolio. Over time, especially in a low-return environment, regular capital withdrawals, drawdowns, the cost of independent advice and external wrapper fees from the use of Life Bonds or Trusts (if applicable), together with our own service charges, are likely to have a significant negative impact on the value of your capital and the return on your investment. All such charges can be viewed in your online account 24/7 and through your annual MiFID statement.
9. Your portfolio will be valued daily and is made up of investments that are stated as daily traded. The daily pricing of your investments is verified by use of Bloomberg pricing interface and verifications testing is regularly undertaken.

I. Existence of the Customer Service Department.

The AV has a specialized and autonomous customer service whose purpose is to protect the legitimate rights and interests of customers in their relations with the AV and to resolve both complaints and claims that they file. The customer can submit complaints and/or claims directly or through a representative by email or postal mail indicating the contact details below:

TAM EUROPE ASSET MANAGEMENT, A.V., S.A.

Responsible: Roderick Sutherland

Telephone: +34871 183840

Email: compliance@tameurope.com

Address: Unit C.2.5, Port Adriano, Urbanizacion el Toro s/n, El Toro (07180) Calvia, Spain

Complaints and claims will be addressed and resolved within a maximum period of fifteen (15) working days from their receipt by the AV. Exceptionally, if for reasons beyond the control of the AV it is not possible to respond within the aforementioned period, the AV will send the customer a provisional response indicating the reasons why the response to the complaint or claim has been delayed and specifying the response period, which in no case will exceed one month.

The procedure for the submission and resolution of complaints and claims is described in the TAM Europe Asset Management Complaints Policy, available on its website (www.tameurope.com) and on the CNMV's website (www.cnmv.es).

The customer has the right to file complaints and/or claims directly with the CNMV (i) in case of disagreement with the decision of the customer service, without time restrictions; or (ii) in case of absence of resolution by the customer service, after demonstrating that the period of fifteen working days (or one month in exceptional circumstances) has elapsed since the filing of the complaint or claim.

The procedure for filing complaints and/or claims with the CNMV is available to the customer on the website of this organization: <https://www.cnmv.es/Portal/inversor/Reclamaciones.aspx>

2. Benchmark

Portfolio performance will be compared with a benchmark approved by the client according to the risk profile of the investment portfolio, which will be included in the factsheet

3. Classification of the clients

TAM Europe hereby informs you that you have been classified as a retail investor for which you will receive from TAM the highest degree of protection.

If you have been categorised as a retail customer, you may request to be categorised as a professional customer provided that you meet the conditions stipulated in this respect by the applicable regulations. Similarly, if you have been categorised as a professional, you may request to be categorised as a retail customer by notifying TAM, and TAM will take appropriate measures under the applicable regulations to grant you enhanced protection.

4. Data Protection

In compliance with data protection regulations, we inform you that the personal data provided will be processed by TAM EUROPE ASSET MANAGEMENT A.V. S.A. for the purposes of managing your registration as a customer, issuing invoices and maintaining the business relationship. This processing is based on the maintenance of a business relationship (art. 6.1.b GDPR) and on the fulfilment of our legal obligations related to invoicing (art. 6.1.c GDPR). The data will be kept for the legal tax period. We also inform you that your data will only be communicated to the tax authorities and will not be communicated to third parties. TAM EUROPE ASSET MANAGEMENT A.V. S.A. does not use automated procedures to create profiles, nor does it carry out international transfers of your data. To exercise your rights of access, rectification, cancellation, portability, restriction or opposition to processing, please contact compliance@tameurope.com. You also have the right to lodge a complaint with the competent supervisory authority (www.aepd.es).

APPLICANT 1 (UNDERLYING CLIENT)

APPLICANT 2 (JOINT APPLICATIONS ONLY)

Full Name:		
Signature:		
Date:		

We do not disclose your information to any third parties or bodies with which we are not associated or that do not provide services to you as part of this agreement unless we have your permission to do so or are required to do so by law. Where we have your consent, you agree that we and our associated third parties may contact you with products and services which may be of interest.

☐ By ticking this box you give your consent to TEAM and its third party service providers contacting you with products and services which may be of interest, by email, phone, fax or post.

SECTION 2: TO BE COMPLETED BY THE ADVISER FOR ALL APPLICATION TYPES

ADVISER DECLARATION

By signing below you confirm that:

1. You are authorised and regulated by the appropriate authority to undertake advisory work for clients. You undertake to inform TEAM of changes that may occur to affect your regulatory permissions.
2. You acknowledge and understand that TEAM is entitled to rely upon the information about the client transmitted to TEAM by you (the firm) and any recommendations provided to the client by you in respect of the service or transaction. You acknowledge that you remain responsible for the completeness and accuracy of any information you provide to TEAM about the client and the appropriateness of any advice or recommendations provided by you to the client.
3. You confirm that you have carried out an assessment on the suitability of the TEAM Discretionary Management Service for the client in accordance with the applicable requirements. You have assessed the client's attitude to, and capacity for risk. Taking this, alongside the client's personal circumstances and investment objectives into consideration, you consider the specified risk profile to be appropriate for their circumstances.
4. You understand that TEAM will not carry out any assessment as to whether its discretionary investment management service, the merits of any particular type of portfolio it offers, or any assessment of the chosen risk profile is suitable or appropriate for the client.
5. You confirm that you have discussed with the client their sustainability preferences and the TAM Europe portfolio selected matches the client's sustainability preferences.
6. Where you are to be paid an ongoing fee from the portfolio, you will undertake a periodic review of your client's circumstances and investments to ensure that the service and portfolio remain suitable for them; and that the risk profile continues to match their circumstances. You undertake to notify TEAM of any changes that may occur which may require changes to be made to the portfolio.
7. You confirm that you will comply with MiFID in providing full clarity of all ex-ante and ex-post costs and charges that relate to the proposal quoted above. You confirm that you have outlined to the client the aggregate fees and the impact on performance return in a low-return environment.
8. You confirm that you have considered whether the client shows any characteristics of vulnerability prior to opening the account and will continue to do so on an ongoing basis.
9. You have undertaken anti money laundering (AML) and due diligence on the client(s) and the source of funds to the standards required by European Money Laundering Regulations and the Money Laundering Directives. You confirm that all documents are current and that any statements/ bills used to evidence identity were no more than three months old. Please note TEAM will not accept mobile phone bills as proof of address, or the use of the same document for both proof of identity and proof of address.
10. As required by the Money Laundering Directives, you confirm that you have enclosed certified true copies of the identification documents used to verify the client/client's identity/ies with this application form, or provide such identification documents within 24 hours of a request by TAM.

Please confirm which certified documents you have obtained:

☐

Passport

☐

Bank/credit card statement

☐

Photocard drivers license

and

☐

Home visit

☐

Other photo ID

☐

Other

NB: All documents must be current and any statements/bills must be no more than three months old

1. You have provided the above applicant(s) with all the required information and documents to allow them to make a fully informed decision.
2. You will ensure the client reviews their statements and valuations through their online portal at least once per quarter.
3. The applicant has provided you with authority in respect of any instructions given by you in relation to the operation of this portfolio and your agreement with the client.

ADVISER DETAILS

Full Name:

Company:

Signature: Date:

FINAL STEP AND PAYMENT OPTIONS

Please email your completed application form to: admin@tameurope.com.

Once your application has been approved, our admin team will be in touch with your new unique account number. You can then transfer us your funds for your new investment portfolio. Please use your new account number as your payment reference when making the transfer. Please do not transfer your funds until you have received notification that your account has been opened and you have received your account number.

BANK DETAILS FOR EUR PAYMENTS

Account Name: Citibank
 Bank Address: Citibank N.A., Citigroup Centre Canary Wharf, 33 Canada Square, London
 BIC: CITIGB2LXXX
 IBAN: GB63CITI18500808548854
 Payment Reference: **A/C PERSHING SECURITIES LTD** followed by your unique account number (i.e. **TAW0000XX D**) followed by **A/C 8548854**

BANK DETAILS FOR GBP PAYMENTS

Account Name: Pershing Securities Ltd
 Bank Address: Royal Liver Building, Pier Head, Liverpool
 Sort Code: 16-04-00
 Account Number: 31266302
 Payment Reference: Your unique account number (i.e. **TAW0000XX D**)

BANK DETAILS FOR USD PAYMENTS

Account Name: Pershing Securities Ltd
 Bank Address: Citibank N.A., 111 Wall Street, New York
 Account Number: 36163143
 BIC: CITIUS33XXX
 Payment Reference: Your unique account number (i.e. **TAW0000XX D**) followed by **A/C 36163143** followed by **ABA 21000089**