

**SUBSCRIPTION APPLICATION****TRIGON**

Notes:

Registration number:

**Please send the completed application to:**

IPConcept (Luxemburg) S.A.  
**c/o DZ PRIVATBANK S.A.**  
**(Registration and Transfer Agent)**  
 4, rue Thomas Edison  
 L-1445 Strassen, Luxembourg

**1. Subject matter of the application**

I/We, the applicant, buy, at the issue price and subject to the conditions described in the relevant applicable sales prospectus of TRIGON ("Fund") (in addition to Annex and Management Regulations) ("Sales prospectus") under the section "Issuance of units",

		<b>WKN/ISIN</b>	<b>Amount</b>
<input type="checkbox"/> Units of the subfund	TRIGON - New Europe Fund - A EUR	A2DYMA/ LU1687402393	EUR _____
<input type="checkbox"/> Units of the subfund	TRIGON - New Europe Fund - A USD	A2DYMB/ LU1687402476	USD _____
<input type="checkbox"/> Units of the subfund	TRIGON - New Europe Fund - A GBP	A2DYMC/ LU1687402559	GBP _____
<input type="checkbox"/> Units of the subfund	TRIGON - New Europe Fund - B EUR	A2DYMD/ LU1687402633	EUR _____
<input type="checkbox"/> Units of the subfund	TRIGON - New Europe Fund - B USD	A2DYME/ LU1687402716	USD _____
<input type="checkbox"/> Units of the subfund	TRIGON - New Europe Fund - C EUR	A2DYMF/ LU1687402807	EUR _____
<input type="checkbox"/> Units of the subfund	TRIGON - New Europe Fund - C GBP	A2DYMG/ LU1687402989	GBP _____
<input type="checkbox"/> Units of the subfund	TRIGON - New Europe Fund - D EUR	A2DYMH/ LU1687403102	EUR _____
<input type="checkbox"/> Units of the subfund	TRIGON - New Europe Fund - E EUR	A2DYMJ/ LU1687403367	EUR _____

It is sensible to include references to the fund, to be understood as references to the subfund, in this application to the extent that such as practical.

**SUBSCRIPTION APPLICATION****TRIGON****2. Applicant**

		1. Applicant	
Surname, first name:			
Street address:			
Postal code, city, country:			
Phone/fax:			
Date of birth, Place and country of birth:			
Occupation: (earlier occupation if applicable)			
Nationality:			
Identification verified by:		<input type="checkbox"/> Personal identification card <input type="checkbox"/> Passport	
Issued on:			
Valid until:			
Identification card no:			
Issuing authority:			
Country of tax residence:		Tax identification number (TIN) of the applicant:	If no TIN is available, please provide corresponding justification (A or B*):
1			
2			
3			
* A: The country, where the applicant is subject to taxes, does not provide a TIN to its residents. B: The applicant is incapable, for other reasons, of obtaining a TIN or comparable number (for the exceptional case that Answer B is chosen, please give an explanation in the table below as to why a TIN cannot be obtained). Explanation for B:			
1			
2			
3			

**SUBSCRIPTION APPLICATION****TRIGON**

Review for a politically exposed person (PEP)

In accordance with the requirements of the Luxembourg money laundering act, the following special due diligence obligations apply for all business relationships with "politically exposed persons". "Politically exposed persons" (PEP) are those natural persons who hold or have held (within the past year) important public offices, as well as their immediate family members or known close associates.

Please confirm to us, by checking the appropriate boxes below, whether you hold or held one of the specified important public offices and thus should be classified as a "politically exposed person":

- | (1) The definition of PEP includes the following "natural persons who hold or have held important public offices":   | Ye<br>s                  | No                       |
|--|--------------------------|--------------------------|
| a) Heads of state, government leaders, ministers, deputy ministers and secretaries of state;   | <input type="checkbox"/> | <input type="checkbox"/> |
| b) Members of parliament or members of similar legislative bodies;   | <input type="checkbox"/> | <input type="checkbox"/> |
| c) Functionaries and members of the governing bodies of political parties;   | <input type="checkbox"/> | <input type="checkbox"/> |
| d) Members of supreme courts, constitutional tribunals, or other high courts, against whose decisions, except in extraordinary circumstances, no further appeals can be brought; | <input type="checkbox"/> | <input type="checkbox"/> |
| e) Members of audit committees, or of the management bodies of central banks;  | <input type="checkbox"/> | <input type="checkbox"/> |
| f) Ambassadors, representatives and high-ranking officers of the armed forces;   | <input type="checkbox"/> | <input type="checkbox"/> |
| g) Members of the administrative, management or supervisory bodies of state-owned companies;   | <input type="checkbox"/> | <input type="checkbox"/> |
| h) Directors, deputy directors and members of the management body or other leaders with a comparable role in an intergovernmental international or European organisation.        | <input type="checkbox"/> | <input type="checkbox"/> |

Subparagraph (1) letters a) to h) do not apply to officials of a middle or lower rank.

Please confirm to us as well, by checking the appropriate boxes below, whether your family member (2) or a closely related person (3) to you hold(s) or held one of the specified important public offices specified in section (1) and thus should be classified as (a) "politically exposed person(s)":

- | (2) The definition of PEP includes the following "family members" who hold or have held important public offices": | Ye<br>s                  | No                       |
|--|--------------------------|--------------------------|
| a) a spouse;   | <input type="checkbox"/> | <input type="checkbox"/> |
| b) a partner that has the same rights as a spouse in accordance with applicable law;                               | <input type="checkbox"/> | <input type="checkbox"/> |
| c) children and their spouses or partners;   | <input type="checkbox"/> | <input type="checkbox"/> |
| d) parents;  | <input type="checkbox"/> | <input type="checkbox"/> |
| e) siblings.   | <input type="checkbox"/> | <input type="checkbox"/> |

**SUBSCRIPTION APPLICATION****TRIGON**

	<p>(3) The definition of PEP includes the following “closely related persons” who hold or have held important public offices: <span style="float: right;">Ye No s</span></p> <p>a) any natural person, who, together with a person that falls under (1), is known to be the sole beneficial owner of legal entities or legal arrangements, or who maintain other close business relationships with this person; <span style="float: right;"><input type="checkbox"/> <input type="checkbox"/></span></p> <p>b) any natural person, who is the sole beneficial owner of a legal entity or legal arrangement, which is known to actually have been established for the benefit of a person specified in (1). <span style="float: right;"><input type="checkbox"/> <input type="checkbox"/></span></p> <p>If you fall under <b>one of these criteria and if at least one question had to be answered with Yes</b> or if one of these conditions will be fulfilled in the future, please <b>inform us of the exact capacity and</b> provide us with further information on this without a request</p> <p>Title of the office/additional information:</p> <p>_____</p>
Review of the origin of the funds	<p>In accordance with the requirements of the Luxembourg money laundering act, the origin of the financial funds must be determined.</p> <p>The funds that are used for the acquisition of the units requested above originate from:</p> <p><input type="checkbox"/> Ongoing income/ongoing profits  <input type="checkbox"/> Annuity/Pension, previous profession: _____  <input type="checkbox"/> Savings  <input type="checkbox"/> Dispositions (e.g. house or company): _____  <input type="checkbox"/> Pay-out of a life insurance or retirement insurance policy  <input type="checkbox"/> Inheritance  <input type="checkbox"/> Other origin (please specify): _____</p> <p>The current annual income (gross) amount to</p> <p><input type="checkbox"/> up to EUR 50,000 per year  <input type="checkbox"/> between EUR 50,000 and EUR 100,000 per year  <input type="checkbox"/> between EUR 100,000 and EUR 250,000 per year  <input type="checkbox"/> More than EUR 250,000 per year</p> <p>The sales agent or the management company reserves the right to request corresponding evidence of the origin of the funds if needed. We note that tax offences can be considered predicate offences to money laundering.</p>

<b>2. Applicant</b>	
Surname, first name:	
Street address:	
Postal code, city, country:	
Phone/fax:	

**SUBSCRIPTION APPLICATION****TRIGON**

Date of birth, Place and country of birth:			
Occupation: (earlier occupation if applicable)			
Nationality:			
Identification verified by:		<input type="checkbox"/> Personal identification card <input type="checkbox"/> Passport	
Issued on:			
Valid until:			
Identification card no:			
Issuing authority:			
Country of tax residence:		Tax identification number (TIN) of the applicant:	If no TIN available, please indicate the corresponding reason (A or B*):
1			
2			
3			
* A: The country, where the applicant is subject to taxes, does not provide a TIN to its residents. B: The applicant is incapable, for other reasons, of obtaining a TIN or comparable number (for the exceptional case that Answer B is chosen, please give an explanation in the table below as to why a TIN cannot be obtained). Explanation for B:			
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Review for a politically exposed person (PEP)	<p>In accordance with the requirements of the Luxembourg money laundering act, the following special due diligence obligations apply for all business relationships with "politically exposed persons". "Politically exposed persons" (PEP) are those natural persons who hold or have held (within the past year) important public offices, as well as their immediate family members or known close associates.</p> <p>Please confirm to us, by checking the appropriate boxes below, whether you hold or held one of the specified important public offices and thus should be classified as a "politically exposed person":</p> <p>(1) The definition of PEP includes the following "natural persons who hold or have held important public offices":</p> <p style="text-align: right;">Yes    No</p>		

## SUBSCRIPTION APPLICATION

### TRIGON

	<p>a) Heads of state, government leaders, ministers, deputy ministers and secretaries of state; <span style="float: right;"><input type="checkbox"/> <input type="checkbox"/></span></p> <p>b) Members of parliament or members of similar legislative bodies; <span style="float: right;"><input type="checkbox"/> <input type="checkbox"/></span></p> <p>c) Functionaries and members of the governing bodies of political parties; <span style="float: right;"><input type="checkbox"/> <input type="checkbox"/></span></p> <p>d) Members of supreme courts, constitutional tribunals, or other high courts, against whose decisions, except in extraordinary circumstances, no further appeals can be brought; <span style="float: right;"><input type="checkbox"/> <input type="checkbox"/></span></p> <p>e) Members of audit committees, or of the management bodies of central banks; <span style="float: right;"><input type="checkbox"/> <input type="checkbox"/></span></p> <p>f) Ambassadors, representatives and high-ranking officers of the armed forces; <span style="float: right;"><input type="checkbox"/> <input type="checkbox"/></span></p> <p>g) Members of the administrative, management or supervisory bodies of state-owned companies; <span style="float: right;"><input type="checkbox"/> <input type="checkbox"/></span></p> <p>h) Directors, deputy directors and members of the management body or other leaders with a comparable role in an intergovernmental international or European organisation. <span style="float: right;"><input type="checkbox"/> <input type="checkbox"/></span></p> <p>Subparagraph (1) letters a) to h) do not apply to officials of a middle or lower rank.</p> <p>Please confirm to us as well, by checking the appropriate boxes below, whether your family member (2) or a closely related person (3) to you hold(s) or held one of the specified important public offices specified in section (1) and thus should be classified as (a) "politically exposed person(s)":</p> <p>(2) The definition of PEP includes the following "family members" who hold or have held important public offices": <span style="float: right;">Yes    No</span></p> <p>a) a spouse; <span style="float: right;"><input type="checkbox"/> <input type="checkbox"/></span></p> <p>b) a partner that has the same rights as a spouse in accordance with applicable law; <span style="float: right;"><input type="checkbox"/> <input type="checkbox"/></span></p> <p>c) children and their spouses or partners; <span style="float: right;"><input type="checkbox"/> <input type="checkbox"/></span></p> <p>d) parents; <span style="float: right;"><input type="checkbox"/> <input type="checkbox"/></span></p> <p>e) siblings. <span style="float: right;"><input type="checkbox"/> <input type="checkbox"/></span></p>
	<p>(3) The definition of PEP includes the following "closely related persons" who hold or have held important public offices: <span style="float: right;">Yes    No</span></p> <p>a) any natural person, who, together with a person that falls under (1), is known to be the sole beneficial owner of legal entities or legal arrangements, or who maintain other close business relationships with this person; <span style="float: right;"><input type="checkbox"/> <input type="checkbox"/></span></p> <p>b) any natural person, who is the sole beneficial owner of a legal entity or legal arrangement, which is known to actually have been established for the benefit of a person specified in (1). <span style="float: right;"><input type="checkbox"/> <input type="checkbox"/></span></p> <p>If you fall under at least <b>one of these criteria</b> and if at least one question had to be answered with <b>Yes</b>, or if in the future one of these conditions will be fulfilled, please <b>inform us of the exact capacity and</b> provide us with further information on this without a request.</p> <p>Title of the office/additional information:</p> <hr style="border: 0; border-top: 1px solid black; margin-top: 10px;"/>

**SUBSCRIPTION APPLICATION****TRIGON**

Review of the origin of the funds	<p>In accordance with the requirements of the Luxembourg money laundering act, the origin of the financial funds must be determined.</p> <p>The funds that are used for the acquisition of the units requested above originate from:</p> <p><input type="checkbox"/> Ongoing income/ongoing profits</p> <p><input type="checkbox"/> Annuity/Pension, previous profession: _____</p> <p><input type="checkbox"/> Savings</p> <p><input type="checkbox"/> Dispositions (e.g. house or company): _____</p> <p><input type="checkbox"/> Pay-out of a life insurance or retirement insurance policy</p> <p><input type="checkbox"/> Inheritance</p> <p><input type="checkbox"/> Other origin (please specify): _____</p> <p>The current annual income (gross) amount to</p> <p><input type="checkbox"/> up to EUR 50,000 per year</p> <p><input type="checkbox"/> between EUR 50,000 and EUR 100,000 per year</p> <p><input type="checkbox"/> between EUR 100,000 and EUR 250,000 per year</p> <p><input type="checkbox"/> More than EUR 250,000 per year</p> <p>The sales agent or the management company reserves the right to request corresponding evidence of the origin of the funds if needed. We note that tax offences can be considered predicate offences to money laundering.</p>
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**3. Information for investors regarding the United States of America****3.1 DETERMINATION OF STATUS AS "US PERSON" OR "NON-US PERSON"**

Fund units may not be offered, sold or otherwise transferred in the USA nor for the account of a US Person. For these purposes, a US Person has the meaning defined in regulation S of the Securities Act, in the Commodity Exchange Act and in the Internal Revenue Code of 1986 in its currently applicable version, in the interpretation in accordance with the US Foreign Account Tax Compliance Act of 2010 ("FATCA") and the corresponding international agreement with the USA (IGA) in conjunction with the FATCA Act dated 24 July 2015. The restrictions for an applicant considered to be a "US person" and/or "Person from the United States of America" described in the sales prospectus shall apply. Detailed information on classification as "US PERSON" and/or "NON-US PERSON" can be found on the website of the management company [www.ipconcept.com](http://www.ipconcept.com) as well as upon request from the management company or the Registration and Transfer Agent.

Please confirm, by answering the following questions, whether you are classified as a "US PERSON" within the meaning of the US legal regulations.

1. Are you a US citizen (also including dual citizenship)?	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Do you possess a green card?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>3. Is your permanent residence located in the USA or do you fulfil the criteria of the "substantial presence test"? For this purpose, you must have spent at least 31 days of the current year and at least 183 days of the last 3 years in the USA (if you add the days of the current year to one third of the days of the prior year and one sixth of the days of the year before last)?*</p> <p style="margin-left: 20px;">Example: current year: 100 days = 100</p> <p style="margin-left: 20px;">Prior year: 66 days = 22</p> <p style="margin-left: 20px;">Year before last: 24 days = 4</p> <p style="margin-left: 20px;">Total: = 126 &lt; 183 days</p> <p>*Periods of residence while holding a F, J, M or Q visa (e.g. for students, trainees) are not taken into account.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No

**SUBSCRIPTION APPLICATION****TRIGON**

4. Were you born in the USA or in territories of the USA, such as Puerto Rico or the US Virgin Islands?	<input type="checkbox"/> Yes <input type="checkbox"/> No
5. Do you currently have a US residential address or a US postal address (including a US post office box)?	<input type="checkbox"/> Yes <input type="checkbox"/> No
6. Do you currently have a US telephone number?	<input type="checkbox"/> Yes <input type="checkbox"/> No
7. To your present knowledge, will you give standing orders for transfer of financial resources to an account that is kept in the USA?	<input type="checkbox"/> Yes <input type="checkbox"/> No
8. Based on your current knowledge, will you issue a power of attorney or signatory authority to a person with a US address?	<input type="checkbox"/> Yes <input type="checkbox"/> No

**3.2 NOTIFICATION OBLIGATION**

If, after the signing of this subscription order, circumstances arise or facts become known that indicate a change of the status of an applicant which is determined under Point 3.1 (e.g. as a consequence of moving to the USA, acquisition of a green card etc.), the applicant must inform the management company of this immediately. In this case, the Investment Company or the Registry and Transfer Agent can request documents from the respective applicant (e.g. W-9, W-8BEN).

The management company can decide upon a compulsory redemption of all units of a subfund that are still in circulation, that are subscribed by a US person, within 90 days after notification of the change in status, without permission from the relevant investors being necessary for this.

**4. Information for investors with respect to the automatic exchange of information****4.1 AUTOMATIC INFORMATION EXCHANGE**

The automatic exchange of information shall be implemented in accordance with Directive 2014/107/EU from the Council regarding the obligation for the automatic exchange of information in the area of taxation and the common reporting standard ("CRS"), one of the reporting and due diligence standards developed by the OECD for the international automatic exchange of information regarding financial accounts pursuant to the international agreements and the Luxembourg legal regulations. For this purpose, information about the applicant and the register with a reporting obligation is reported annually by the financial institution with a reporting obligation to the Luxembourg tax authority (Administration des Contributions Directes in Luxembourg [Direct Tax Administration]), which the latter then forwards to the relevant competent tax authorities of the relevant countries with a reporting obligation, in which the applicant(s) has/have tax residency.

**4.2 NOTIFICATION OBLIGATION**

Each undersigned party confirms, with their signature at the bottom of this subscription application, that the information regarding tax residence and the tax identification number in section 2 of this subscription application are complete and accurate to the best of their knowledge and belief.

If, after this subscription order is signed, conditions occur or facts become known that indicate a change of the ascertained tax residency under Point 2 of this subscription order, the applicant must inform the management company of this immediately and make available to the latter an adequate self-disclosure and declaration and, if necessary, additional documents, within 30 days after the change of these circumstances.

The applicant is aware that therefore detailed information on units subscription and on his/her person(s) is to be reported annually to the Luxembourg tax authority. If the required documents are not provided in a timely manner, the information shall be reported to all tax authorities in the countries subject to reporting requirements, where the applicant(s) could have a tax residence.



## SUBSCRIPTION APPLICATION

### TRIGON

#### 5. Method of payment

##### Share Class A EUR

- One-off payment to the equivalent of EUR \_\_\_\_\_ (at least EUR 10.000.000,-)**
- Payment is effected by remittance to the account of IPConcept (Luxemburg) S.A. (IBAN DE93 5006 0400 0000 1556 00) at DZ BANK AG, Deutsche Zentral-Genossenschaftsbank, Frankfurt am Main (BIC: GENO DE FF), quoting the subfund name and the WKN or ISIN.
- The one-off payment is made by direct debit.

##### Share Class A USD

- One-off payment to the equivalent of USD \_\_\_\_\_ (at least USD 10.000.000,-)**
- Payment will be made by transfer to account no. 8900433892 in the name of DZ PRIVATBANK S.A. with The Bank of New York (BIC: IRVTUS3N), specifying the name of the subfund and the WKN or ISIN.
- The one-off payment is made by direct debit.

##### Share Class A GBP

- One-off payment to the equivalent of GBP \_\_\_\_\_ (at least GBP 10.000.000,-)**
- Payment will be made by transfer to account no. 8883831 (IBAN: GB61 CITI 1850 0808 8838 31) with Citibank N.A., London (BIC: CITIGB2L), specifying the name of the subfund and the WKN or ISIN.
- The one-off payment is made by direct debit.

##### Share Class B EUR

- One-off payment to the equivalent of EUR \_\_\_\_\_ (at least EUR 5.000.000,-)**
- Payment is effected by remittance to the account of IPConcept (Luxemburg) S.A. (IBAN DE93 5006 0400 0000 1556 00) at DZ BANK AG, Deutsche Zentral-Genossenschaftsbank, Frankfurt am Main (BIC: GENO DE FF), quoting the subfund name and the WKN or ISIN.
- The one-off payment is made by direct debit.

##### Share Class B USD

- One-off payment to the equivalent of USD \_\_\_\_\_ (at least USD 5.000.000,-)**
- Payment will be made by transfer to account no. 8900433892 in the name of DZ PRIVATBANK S.A. with The Bank of New York (BIC: IRVTUS3N), specifying the name of the subfund and the WKN or ISIN.
- The one-off payment is made by direct debit.

##### Share Class C EUR

- One-off payment to the equivalent of EUR \_\_\_\_\_ (at least EUR 3.000.000,-)**
- Payment is effected by remittance to the account of IPConcept (Luxemburg) S.A. (IBAN DE93 5006 0400 0000 1556 00) at DZ BANK AG, Deutsche Zentral-Genossenschaftsbank, Frankfurt am Main (BIC: GENO DE FF), quoting the subfund name and the WKN or ISIN.
- The one-off payment is made by direct debit.

##### Share Class C GBP

- One-off payment to the equivalent of GBP \_\_\_\_\_ (at least GBP 3.000.000,-)**
- Payment will be made by transfer to account no. 8883831 (IBAN: GB61 CITI 1850 0808 8838 31) with Citibank N.A., London (BIC: CITIGB2L), specifying the name of the subfund and the WKN or ISIN.
- The one-off payment is made by direct debit.

**SUBSCRIPTION APPLICATION****TRIGON****Share Class D EUR**

- One-off payment to the equivalent of EUR \_\_\_\_\_ (at least EUR 3.000.000,-)**
- Payment is effected by remittance to the account of IPConcept (Luxemburg) S.A. (IBAN DE93 5006 0400 0000 1556 00) at DZ BANK AG, Deutsche Zentral-Genossenschaftsbank, Frankfurt am Main (BIC: GENO DE FF), quoting the subfund name and the WKN or ISIN.
- The one-off payment is made by direct debit.

**Share Class E EUR**

- One-off payment to the equivalent of EUR \_\_\_\_\_**
- Payment is effected by remittance to the account of IPConcept (Luxemburg) S.A. (IBAN DE93 5006 0400 0000 1556 00) at DZ BANK AG, Deutsche Zentral-Genossenschaftsbank, Frankfurt am Main (BIC: GENO DE FF), quoting the subfund name and the WKN or ISIN.
- The one-off payment is made by direct debit.

Applications for subscription to units in the relevant subfund are accepted by the Registration and Transfer Agent on behalf of the management company. If the equivalent value is not received from the fund assets, in particular due to a cancellation, non-payment of a direct debit or for other reasons, the Management Company shall take back the respective units in the interests of the Fund. Any differences resulting from taking back the units that have a negative effect on the fund assets shall be borne by the applicant. Cases of cancellation in the sense of § 305 of the German Investment Code (see Point 12 below), as well as other regulations for consumer protection, are not included under this regulation.

**6. Direct debit authorisation****6.1 Direct debit authorisation**

I/we hereby revocably authorise the Management Company to collect the above desired payments by means of direct debit, for the one-off payment to be borne by the following accounts. The Management Company is permitted to order the Registration and Transfer Agent to charge the payments to be paid by me/us.

**6.2 SEPA Direct debit mandate**

I/we hereby authorise the Management Company to charge my/our account for payments by means of the SEPA direct debit procedure. At the same time, I/we instruct my/our financial institution to honour the direct debits charged to my/our account by the Management Company.

**Note:** I/we can demand a reimbursement of the amount charged for a period of eight weeks starting with the charge date. The conditions agreed with my/our financial institution apply.

The Management Company is permitted to order the Registration and Transfer Agent to charge the payments to be paid by me/us.

Name of the account holder		IBAN
BIC	Financial institution	
Date/Signature of the account holder(s)		

Prior to the first direct debit by means of the SEPA direct debit procedure, the Investment Company or the Registration and Transfer Agent shall inform me about the upcoming charge.

If the amounts specified in section 1 – subject matter of the application are paid by means of the SEPA direct debit procedure, the payor(s) shall receive information in advance regarding the direct debit charge one day prior to the due date at the latest.

**SUBSCRIPTION APPLICATION****TRIGON**

The one-time payment amount that is due (see section 1 – subject matter of the application) shall be charged to your account indicated above within 2 Luxembourg bank working days after receipt of the subscription application by the Registration and Transfer Agent by means of SEPA direct debit with the creditor identification number of LU57ZZZ00000000000000000372. We ask that you ensure there are adequate funds in the account.

The client number corresponds to your registration number, which you can find on the first purchase statement.

**7. Use of proceeds**

In the case of a dividend, the disbursed amount should

- be reinvested.  
 be transferred to the following account:

Name of the account holder		IBAN
BIC	Financial institution	
Date/Signature of the applicant(s)		

**8. Right of disposal**

In the case of two applicants, each of them hereby grants an individual power of disposal. Both applicants must sign the subscription order and thereby declare their respective consent to the applicability of the following regulations:

Each applicant only has the right:

- » to have the units entered in the register at his/her disposal;
- » to receive, review and acknowledge excerpts, lists of securities, other statements and information for the applicant and to bindingly sign all correspondence regarding the register for the applicant;
- » in the case of the demise of one applicant, to dispose of the units, even without the cooperation of the heirs. Any disposal will, however, only be allowed by the management company, if the applicant sufficiently demonstrates the succession and ensures in writing that he has informed the heirs (names and addresses must be disclosed) of the existence of the authorisation.

**9. INFORMATION OBLIGATION/DATA PROTECTION AND CONSENT TO THE TRANSMISSION OF CUSTOMER DATA**

The management company and the Registration and Transfer Agent of the fund are responsible for data processing in the sense of Art. 4 No. 7 of REGULATION (EU) 2016/679 OF THE EUROPEAN PARLIAMENT AND COUNCIL (DSGVO (European Data Protection Basic Regulation)). In connection with general information exchange and the US tax laws (Foreign Account Tax Compliance Act - FATCA) as well as the intergovernmental agreement between the USA and Luxembourg, the management company is obligated, based on Luxembourgian legislation, to transmit the required data to registers relevant to reporting at the responsible tax authority (*Administration des Contributions Directes* in Luxembourg). This authority shall transmit the data to the competent tax authorities of the respective affected countries that are subject to reporting requirements.

The following data regarding the applicant(s) shall be collected and reported accordingly if there is a reporting obligation, (a) for the general exchange of information: (i) name, (ii) address, (iii) place of birth, (iv) date of birth, (v) registration number, (v) tax number/TIN, (v) registered balance or value, (vi) total gross amount of proceeds such as dividends, and (vii) total gross proceeds from the sale or the redemption of units of the Investment Company; (b) for FATCA: (i) name, (ii) address, (iii) registration number, (iv) tax number/TIN, (v) registered balance or value, (vi) total gross amount of proceeds such as dividends, and (vii) total gross proceeds from the sale or the redemption of units of the Fund (starting in 2017).

## SUBSCRIPTION APPLICATION

### TRIGON

The applicant is obligated to provide all relevant information in the sense of these provisions to the management company as financial institution with a reporting obligation, and/or to the Registration and Transfer Office. Non-compliance with this obligation may lead to it being required to report the personal data of the respective applicant to the competent tax authority or to all tax authorities, for which there are relevant indicators with respect to an applicant.

For the purpose of executing this order, the Registration Agent of the Investment Company collects, processes and uses factual and personal data. I/We consent, by signing this subscription order, to the transmission of this data to the brokers and sub-brokers that are part of the distribution structure of name of the fund and that, in this context, distribute the units of the relevant subfund on a continuous basis, and if necessary to the account manager, in order to facilitate running customer service and comprehensive advice. In this context, the sales agent shall also be provided with the following data: data regarding the person, the unit inventory and sales amounts and other transaction related information pursuant to executing the order and the required database management.

Within the scope of proper execution of the business transaction, personal data of the applicant shall be processed in accordance with the data protection laws applicable in Luxembourg and the GDPR.

Data protection provisions can be found in Annex 1 (data protection information).

#### 10. Confirmations

1. The binding basis for the purchase of the units is the Sales Prospectus, the "Key Investor Information Document", the last published and audited annual report and the last unaudited semi-annual report. These documents can be obtained at any time, free of charge, at the headquarters of the Investment Company, the payment office, the sales agent and the respective information office. The Sales Prospectus, the "Key Investor Information Document" and the annual and semi-annual reports, as well as the most recent net portfolio value can also be obtained free of charge on the website of the Investment Company at [www.ipconcept.com](http://www.ipconcept.com).

The above named documents have been handed out to me/us.

The "Key Investor Information Document" were given to me/us. I/We waive the handing out of other above named documents. They were offered to me/us without requesting them, and free of charge.

I/We have taken into account and recognised all conditions and information.

2. I/we hereby declare that I/we have provided all information and statements in this document to the best of my/our knowledge and belief, and such information is complete and accurate.

3. In accordance with the applicable money laundering regulations, I/we confirm that the invested funds do not originate from unlawful acts.

4. Further I/we hereby expressly confirm that I/we are economic beneficiary/ies. This also applies for future unit purchases.

5. I/we are aware that there shall only be an entry into the unit registry once the identification procedure has been completed in full for all applicants.

6. I/we are aware that the Investment Company may pay compensation to the sales agent specified in the Sales Prospectus. My/our agent showed me/us whether and in what amount compensation shall be paid by the Investment Company to the sales agent. My/our agent has also informed me/us about compensation that my/our agent may receive from the sales agent or from third parties.

## SUBSCRIPTION APPLICATION

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7. By signing this subscription application, I/we hereby declare that I/we have read and understood all individual sections of this subscription application and I/we declare that I am/we are in agreement with the content of the individual sections, and I/we confirm these to the extent required.

\_\_\_\_\_

Place, date

\_\_\_\_\_

Signature 1. Applicant

\_\_\_\_\_

Signature 2. Applicant

Please note: If you should not be the applicant, please indicate the capacity in which you are signing this subscription application. If you should be signing by virtue of a power of attorney from the applicant(s), please attach the current, notarised power of attorney or a comparable document to the application. General powers of attorney must be submitted in original copies.

\_\_\_\_\_

Role

#### 11. Applicable law, Court of jurisdiction and Contractual language

1. The Investment Company is subject to the laws of the Grand Duchy of Luxembourg. This shall also apply to the legal relationships between the applicant, the Investment Company and the custodian, to the extent that such contractual relationships are not subject to a different legal system on the basis of separate provisions, notwithstanding the above.
2. Any legal dispute between investors, the Investment Company and the custodian shall be subject to the jurisdiction of the competent court in the district of Luxembourg City in the Grand Duchy of Luxembourg to the extent that nothing is otherwise provided in the respectively applicable Sales Prospectus or an exclusive court has priority jurisdiction in the country where the Fund is sold.
3. In the case of a legal dispute, the German wording of the fund's documents listed under Point 10.1 is authoritative.

#### 12. Right of revocation for subscription applications brokered within the Federal Republic of Germany

##### Information about the right of revocation pursuant to Sec. 305 of the Capital Investment Act:

If the purchaser of units of an open investment fund has been requested, outside of the permanent business premises of the person selling or brokering the sale of the units, to provide a declaration of intent regarding the purchase by means of verbal negotiations, then such purchaser is only bound to such declaration if it is not revoked within a time period of two weeks by providing notification to the management company or a representative within the meaning of Sec. 319 of the German Investment Code ("KAGB") in text form (an email is sufficient in this context); this also applies if the person who is selling or brokering the sale of the units has no permanent business premises. In the case of remote sales transactions, Sec. 312g, para. 2, sentence 1 no. 8 of the German Civil Code applies accordingly: The right of revocation does not exist, to the extent that the parties have not agreed otherwise, in the case of contracts for the delivery of goods or the provision of services, including financial services for which the price is dependent on fluctuations on the financial markets and the company has no influence on such fluctuations and such fluctuations could occur within the revocation period, especially financial services in connection with shares of stock, units in open investment funds within the meaning of Sec. 1, para. 4 of the Capital Investment Act and with other tradable securities, foreign currency, derivatives or money market instruments.

## SUBSCRIPTION APPLICATION

### TRIGON

Timely sending of the declaration of revocation is sufficient for adhering to the deadline. The revocation should be made to the company,

**IPConcept (Luxemburg) S.A.**  
4, rue Thomas Edison  
L-1445 Strassen, Luxembourg  
info.lu@ipconcept.com  
Fax: 00352 26 02 48 3602

in text form while indicating the personal data of the declaring party, and a justification is not required.

The cancellation period does not begin to run until the purchaser hands out the copy of the contract when the contract is concluded or an invoice relating to the purchase has been sent and the copy or the invoice contains an instruction on the right of cancellation such as the present one. If the start of the revocation period is disputed pursuant to Sec. 305, para. 2, sentence 2 KABG, then the seller shall bear the burden of proof.

There is no right of revocation if the seller provides evidence that

1. the purchaser is not a consumer within the meaning of Sec. 13 of the Civil Code or
2. the seller sought out the purchaser for the negotiations that led to the sale of the units on the basis of a prior order in accordance with Sec. 55, para. 1 of the German Trade Act.

If revocation has been given and the purchaser has already made payments, then the Investment Company is obligated to return the paid costs and an amount corresponding to the value of the purchased units on the day after receipt of the declaration of revocation in return for a retransfer of the acquired units, if applicable.

The right of revocation may not be waived.

The preceding conditions regarding the right of revocation concerning the purchase of units from the Investment Company apply accordingly for the sale of units by the investor.

**I/we hereby confirm that I/we have taken note of the declarations and conditions printed above, especially of the applicable law and the agreement on the court of jurisdiction.**

**I/we have also been explicitly notified about the right of revocation, which is also printed above.**

\_\_\_\_\_  
Place, date

\_\_\_\_\_  
Signature 1. Applicant

\_\_\_\_\_  
Signature 2. Applicant

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4, rue Thomas Edison  
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R.C.S. Luxembourg B82 183

# SUBSCRIPTION APPLICATION

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### 13. Identification for the purpose of preventing money laundering and combatting the financing of terrorism

The identity of the previously designated person(s) have been determined through submission of the above named identity papers. The signature(s) of those making declarations on document have been reviewed, that is they come(s) from the owner of the official identity papers submitted. A copy of this identity paper, certified by me in my capacity as agent of the distributor, is attached to this declaration.

Place/date

Signature of the Agent

Agent number

Stamp/Signature  
Sales Agent

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Stamp/Signature Sales Agent
--------------------------------

# SUBSCRIPTION APPLICATION

## TRIGON

### ANNEX 1

## Information regarding data protection

*How we work with your data and your rights*

*- Information pursuant to Art. 13, 14 and 21 of the European General Data Protection Regulation (GDPR) -*

Dear Client,

Below, we are informing you about the processing of your personal data by us and the rights granted to you by the data protection regulations.

Which data are processed specifically and in what manner they are used is primarily based on the services agreed or requested.

#### 1. Who is responsible for the data processing and whom can I contact?

Jointly responsible parties are:

DZ PRIVATBANK S.A.  
4, rue Thomas Edison  
L-1445 Strassen, Luxembourg

Postal address  
DZ PRIVATBANK S.A.  
PO Box 661  
L - 2016 Luxembourg

Tel. +352 44 903 1  
Fax: +352 44 903 2001  
Email: info@dz-privatbank.com

IPConcept (Luxembourg) S.A.  
4, rue Thomas Edison  
L-1445 Strassen, Luxembourg

Postal address  
IPConcept (Luxembourg) S.A.  
4, rue Thomas Edison  
L-1445 Strassen, Luxembourg

Tel. +352 260 248-1  
Fax: +352 260 248-4955  
Email: info@ipconcept.com



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## TRIGON

You can reach out Data Protection Officer at:

DZ PRIVATBANK S.A.  
Data Protection Officer  
4, rue Thomas Edison  
L-1445 Strassen, Luxembourg

Postal address  
DZ PRIVATBANK S.A.  
Data Protection Officer  
PO Box 661  
L - 2016 Luxembourg

Tel. +352 44 903 1  
Fax: +352 44 903 2001  
Email: [datenschutz@dz-privatbank.com](mailto:datenschutz@dz-privatbank.com)

### 2. What sources and data do we use?

We process personal data, which we received from you pursuant to our business contact or our business relationship. In addition, we process personal data, which we have lawfully received from other companies of the Cooperative Financial Group, credit unions, Raiffeisen banks or other third parties to the extent that such is necessary for providing our services (e.g. in order to execute orders, fulfil contracts or on the basis of consent that you provided). We also process personal data, which we have lawfully obtained from publicly accessible sources and are allowed to process (e.g. debtor registries, land ownership registries, commercial registries, the press, media).

Relevant personal data are *personal information* (name, address and other contact information, date of birth and place of birth and nationality), *data establishing capacity* (e.g. data from the identification document) and authentication data (e.g. a signature sample). Furthermore, these can also be *order data* (e.g. payment order, securities order), *data from fulfilling our contractual obligations* (e.g. sales data for payment transactions, credit limit, product data [e.g. deposit, credit and securities transactions]), *information about your financial situation* (e.g. data regarding creditworthiness, scoring/ratings data, origin of assets), *promotional and marketing data* (including advertising scores), *documentation data* (e.g. advisement log), *registry data*, *data about the use of our offered telemedia services* (e.g. the data of accessing our websites, apps or newsletter, pages clicked on that are owned by us or entries) as well as other data that are comparable with the abovementioned categories.

### 3. For what purpose do we process your data (purpose of processing) and on what legal basis?

We process personal data in accordance with the provisions of the European General Data Protection Regulation (GDPR) and the respectively applicable national law.

#### 3.1 For fulfilment of contractual obligations (Art. 6, para. 1b GDPR)

## SUBSCRIPTION APPLICATION

### TRIGON

The processing of personal data (Art. 4, no. 2 GDPR) occurs for the purpose of providing and brokering bank transactions, financial services and insurance and real estate transactions, especially for executing our agreements or carrying out pre-contractual measures with you and for executing your orders, as well as for all required activities related to the operation and administration of a banking and financial services institution.

The purposes of data processing are mainly based on the specific product (e.g. account, credit line, securities, deposits, brokerage, online banking, fund services) and can include needs analyses, advisement, asset management and support as well as the execution of transactions.

You can find additional details regarding the purpose of data processing in the respective contractual documents and business terms and conditions.

#### **3.2 As part of weighing interests (Art. 6, para. 1f GDPR)**

To the extent necessary, our processing of your data goes beyond actually fulfilling the agreement for the preservation of legitimate interests on our part or the part of third parties, for example in the following cases:

- consultation and data exchange with informational agencies for the determination of creditworthiness and default risks and the need for an account that is protected from garnishments or a base account;
- review and optimisation of procedures for needs analysis and direct client contact;
- advertising or market and opinion research, to the extent that you have not objected to the use of your data;
- assertion of legal claims and defence in the case of legal disputes;
- guarantee of IT security and the IT operation of the bank;
- prevention and investigation of criminal acts;
- video surveillance serves to collect evidence in the case of criminal acts or proof of obtainment of funds and deposits at deposit and withdrawal locations. They thus serve to protect clientele and employees as well as to ensure compliance with company regulations;
- measures for ensuring the safety of buildings and facilities (e.g. access controls);
- measures of ensuring compliance with company regulations;
- measures for business management and further development of products and services.

#### **3.3 On the basis of your consent (Art. 6, para. 1a GDPR)**

To the extent that you have provided us with consent for the processing of personal data for certain purposes (e.g. dissemination of data within the Group, analysis of payment transaction data for marketing purposes), the legality of such processing is based on your consent. Consent may be revoked at any time. This also applies to the revocation of declarations of consent, which were provided to us prior to the effective date of the GDPR, i.e. prior to 25 May 2018.

Please note that the revocation is only effective in the future. Processing activities, which occurred prior to the revocation, are not affected.

## SUBSCRIPTION APPLICATION

### TRIGON

#### 3.4 On the basis of legal regulations (Art. 6, para. 1c GDPR) or in the public interest (Art. 6, para. 1e GDPR)

In addition, as a bank we are subject to numerous legal obligations, i.e. legal requirements as well as regulations from the banking oversight authorities (e.g. the European Central Bank, the European Bank Oversight Authority, the Commission de Surveillance du Secteur Financier, the Central Bank of Luxembourg, the German Central Bank and the German Agency for Financial Services Oversight). Among other things, review of creditworthiness, verification of identity and age, fraud and money laundering prevention, the fulfilment of control and reporting obligations pursuant to tax law and the evaluation and management of risks are purposes for data processing.

#### 4. Who shall receive my data?

Within the bank, your data shall be accessed by the offices that have a need for such in order to fulfil our contractual and legal obligations. Contract data processors employed by us (Art. 28 GDPR) may also obtain data for the specified purposes. These are companies in the categories of loan and financial services, IT services, logistics, print services, telecommunications, collections, advisement and consulting as well as sales and marketing.

With respect to the dissemination of data to recipients outside of the bank, it should first be noted that we are bound to the applicable legal provisions and the General Business Terms and Conditions agreed between you and us regarding secrecy of all client-related facts and evaluations, of which we obtain knowledge (banking secrecy). We may only disseminate information about you if such is required pursuant to legal regulations, you have provided consent for such or we are authorised to provide banking information. Subject to these requirements, recipients of personal data can be, for example:

- public agencies and institutions (e.g. German Central Bank, German Agency for Financial Services Oversight, Commission de Surveillance du Secteur Financier, Central Bank of Luxembourg, European Banking Oversight Authority, European Central Bank) if there is a legal obligation or an order from the authority.
- Other banking or financial services institutions or comparable facilities, to which we transmit your personal data for the purpose of executing the business relationship (depending on the agreement: e.g. companies of the Cooperative Banking Group, credit unions, Raiffeisen banks, correspondent banks, securities deposit banks, stock exchanges, informational agencies).

Additional data recipients can be those agencies, for which you have provided us your consent for data transmission or for which you have released us from the obligation of banking secrecy on the basis of the agreement or consent.

#### 5. How long will my data be stored?

To the extent necessary, we shall process and store your personal data for the duration of our business relationship, which also includes, for example, the initiation and winding up of an agreement. It should be noted that our business relationship may last for several years.

In addition, we are subject to statutory and regulatory retention and documentation obligations. The time periods specified there for retention or documentation amount to up to ten years after the creation of or five years after the termination of the business relationship.

Finally, the storage duration is also determined by the statutory limitation periods, which may be up to thirty years in individual cases.

## SUBSCRIPTION APPLICATION

### TRIGON

#### 6. Will data be transmitted to a third party country or to an international organisation?

Data transmission to third party countries (countries outside of the European Economic Area – EEA) shall only take place to the extent that such is required for the execution of your orders (e.g. payment or securities transaction orders), is legally prescribed or you have provided consent to us for such. To the extent that such is prescribed by law, we shall provide you with details separately.

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

Each data subject has a right to:

- **Information** pursuant to Art. 15 GDPR,
- **Correction** pursuant to Art. 16 GDPR,
- **Erasure** pursuant to Art. 17 GDPR,
- **Limitation of processing** pursuant to Art. 18 GDPR,
- **Data portability** pursuant to Art. 20 GDPR,
- a **right of objection** to a data protection oversight authority pursuant to Art. 77 GDPR.

#### 8. Is there an obligation to provide data?

Within the scope of our business relationship, you must only provide the personal data that are necessary for the establishment, execution and termination of a business relationship, or for which collection we are legally obligated. Without these data, we will normally have to decline the conclusion of an agreement or the execution of the order or we will no longer be able to execute an existing agreement and may have to terminate it.

We are especially obligated, in accordance with the money laundering regulations, to identify you prior to establishing a business relationship, for example on the basis of your personal identification document, and must at least collect your name, your place of birth, your date of birth, your nationality and your residential address. In order for us to be able to comply with this legal obligation, you must provide us with the necessary information and documents in accordance with the applicable regulations for the prevention of money laundering and the financing of terrorism and immediately notify us of any changes occurring during the course of the business relationship. If you should not provide us with the necessary information and documents, we will not establish the business relationship that you requested.

#### 9. To what extent is there automated decision-making in individual cases?

For the establishment and execution of the business relationship, we primarily do not utilise fully automated decision-making within the meaning of Art. 22 GDPR. If we should employ these procedures in individual cases, we shall inform you of this separately to the extent that such is prescribed by law.

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### TRIGON

#### 10. To what extent will my data be used for profiling (scoring)?

We occasionally process your data automatically with the goal of evaluating certain personal aspects (profiling). For example, we use profiling in the following cases:

- Due to legal and regulatory specifications, we are obligated to combat money laundering, the financing of terrorism and criminal acts that compromise assets. In doing so, data evaluations (including payment transactions) are also performed. These measures also serve for your protection.
- In order to be able to inform you and advise you about products in a targeted manner, we utilise analysis tools. These allow communication and advertising including market and opinion research as needed.

## SUBSCRIPTION APPLICATION

### TRIGON

#### **Information about your right of objection pursuant to Art. 21 of the General Data Protection Regulation (GDPR)**

1. You have the right to submit an objection at any time against the processing of personal data concerning you, which occurs on the basis of Art. 6, para. 1e GDPR (data processing in the public interest) and Art. 6, para. 1f GDPR (data processing based on a weighing of interests), for reasons that are specific to your particular situation; this also applies to profiling within the meaning of Art. 4, no. 4 GDPR based on this provision, which we employ for the purpose of determining creditworthiness or for advertising.

If you file an objection, we will no longer process your personal data unless we can prove that there are compelling legitimate grounds for the processing, which outweigh your interests, rights and freedoms, or that the processing serves the assertion, exercising or defence of legal claims.

2. In individual cases, we process your personal data in order to carry out direct advertising. You have the right to file an objection against the processing of personal data concerning you for the purpose of this type of advertising at any time; this also applies for profiling to the extent that such is in connection with direct advertising.

If you object to the processing for purposes of direct advertising, then we shall no longer process your personal data for these purposes.

The objection can be made to one of the responsible parties, in any form, and, if possible, should be directed to:

DZ PRIVATBANK S.A.  
4, rue Thomas Edison  
L-1445 Strassen, Luxembourg

Postal address  
DZ PRIVATBANK S.A.  
PO Box 661  
L - 2016 Luxembourg

Tel. +352 44 903 1  
Fax: +352 44 903 2001  
Email: info@dz-privatbank.com

IPConcept (Luxemburg) S.A.  
4, rue Thomas Edison  
L-1445 Strassen, Luxembourg

Postal address  
IPConcept (Luxemburg) S.A.  
4, rue Thomas Edison  
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Fax: +352 260 248-4955  
Email: info@dz-privatbank.com

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