

# Allianz Global Investors Application Form

for funds domiciled in Luxembourg

Fax Application form to: +352 24 52 9597

## All Original Account Opening Documents to be sent to:

State Street Bank International GmbH, Luxembourg Branch

IFDS Registration team

Address: 49 av. J.-F. Kennedy, L-1855 Luxembourg

Fax number: +352 24 52 9597

Email: [InvestorServicesAllianzGI@statestreet.com](mailto:InvestorServicesAllianzGI@statestreet.com)

Phone: +352 46 40 10 7004

For initial subscriptions for units you must complete the Application Form and post it to the address above. Completed Application Forms may also be sent by fax with the original Forms and the supporting documentation required for Anti-Money Laundering purposes to follow by postal mail immediately thereafter.

Failure to provide the original Application Form along with the documentation required for Anti-Money Laundering purposes may result in the delay in the opening of the account and/or a delay in the acceptance and/or payment of a transfer/redemption request.

# Applicant Information (All fields mandatory)

<input type="checkbox"/> Financial Institution	<input type="checkbox"/> Insurance Company	<input type="checkbox"/> Corporate	<input type="checkbox"/> Pension Fund	<input type="checkbox"/> Investment/Mutual Fund
<input type="checkbox"/> Fiduciary	<input type="checkbox"/> Government Entity	<input type="checkbox"/> Partnership	<input type="checkbox"/> Foundation	<input type="checkbox"/> Nominee
<input type="checkbox"/> Trust	<input type="checkbox"/> Other (Please specify) <input type="text"/>			

Stock exchange listing: Yes <input type="checkbox"/> No <input type="checkbox"/>	Regulated Entity: Yes <input type="checkbox"/> No <input type="checkbox"/>	License number: <input type="text"/>	Regulator web-address: <input type="text"/>
---	---	---	--

Company Name

Please indicate the name(s) in which you would like the holding registered, including account designation details (if applicable)

**Should this account opening form be valid for this application as well as for all additional applications requested in the future, please quote "all designations" and submit a separate instruction for the designations you would like to open.**

Contact Name

Date of Incorporation  Country of Incorporation

Country of Taxation

Activity/Occupation (nature of business)

**Registered Address** (PO Box or c/o address will not be accepted)

Number

Post Code  Town

Country

Fax Number

Telephone Number

Email Address

## Address for Correspondence if different from the above

Correspondence Address  Number

Post Code  Town

Country

Fax Number

Telephone Number

Email Address

## Intended Investment Amount - Level of expected total investment:

- ☐ Ranging between a currency equivalent to EUR 0 to EUR 15,000
- ☐ Ranging between a currency equivalent to EUR 15,000 to EUR 100,000
- ☐ Ranging between a currency equivalent to EUR 100,000 to EUR 1m
- ☐ Ranging between a currency equivalent to EUR 1m to EUR 100m
- ☐ Exceeding a currency equivalent to EUR 100m

Note: Intended Investment Amount does not constitute an instruction to subscribe into a fund; please complete a separate Subscription instruction in order to instruct an investment.

Source of wealth, ie aggregation of accumulated wealth (please tick multiple boxes if appropriate)	<input type="checkbox"/> Inheritance	<input type="checkbox"/> Gift	<input type="checkbox"/> Sale of Business
	<input type="checkbox"/> Salary	<input type="checkbox"/> Pension	<input type="checkbox"/> Investment income
	<input type="checkbox"/> Sale of assets (please specify)	<input type="checkbox"/> Lottery	
	<input type="checkbox"/> Other (please specify)		
Further supporting documentation may be requested if deemed necessary to verify the above information.			

In case the account shall be linked to a certain broker, please state broker name and location: \_\_\_\_\_

If available, please state broker code with IFDS: \_\_\_\_\_

## Well-Informed Investor Declaration

In respect to the shares reserved to Well-Informed Investor as defined in the Luxembourg Law of 13 February 2007 regarding specialized investment funds, I/we declare that I/we qualify under one of the following categories of investors (please tick the appropriate box).

- ☐ Institutional Investors
- ☐ Professional Investors;
- ☐ Other Well-Informed Investors and (please tick the appropriate box)
  - ☐ invest a minimum of EUR 125,000.- into the relevant sub-fund and declare that I/we have the requisite expertise and knowledge expected from a professional investor; or
  - ☐ declare that I/we have the requisite expertise and knowledge expected from a professional investor and provide a certificate from a financial sector professional (such as credit institutions, investment companies as defined in Directive 2004/39/EC and management companies within the meaning of Directive 2001/107/EC) which confirms that I/we have the requisite experience and knowledge to appreciate the risks inherent in the target investments of the relevant sub-fund.

## Order Submission Method:

Please select below the method by which you intend to submit your transaction orders:

- ☐ Manually (via facsimile)
- ☐ Electronically (via SWIFT)

If orders will be placed using SWIFT (or an intermediary that connects to State Street via SWIFT), please provide the SWIFT identifier from which orders will be sent for the relevant account.

Business Identifier Code (BIC): \_\_\_\_\_

Distinguished Name (DN) for ISO 20022 messages: \_\_\_\_\_

## Contract Notes to be sent by:

<input type="checkbox"/> Swift (Swift Code) _____	<input type="checkbox"/> Fax (Fax Number) _____	<input type="checkbox"/> Email (Email Address) _____
--	--	---

Investors are required to check contract notes immediately. In case a trade has been placed incorrectly or has been missed by the Transfer Agent, investors have to object to incorrect or missing contract notes within five (5) days after Trade Date. If an incorrect or missing trade is discovered after such timeframe, the Transfer Agent and the Fund Management Company are not liable.

## Monthly Holdings Report to be sent by:

<input type="checkbox"/> Swift (Swift Code) _____	<input type="checkbox"/> Fax (Fax Number) _____	<input type="checkbox"/> Email (Email Address) _____
--	--	---

If none of the above is ticked, Contract Notes and Holdings Reports will be provided by postal mailing.

Please indicate your preferred reporting currency for statements by ticking one option:

- ☐ EUR
- ☐ USD
- ☐ GBP
- ☐ CHF
- ☐ JPY

If none of the above is ticked, reporting currency will be EUR.

## Settlement information

Please refer to the document "Payment instructions Bank of America Merrill Lynch N.A." which can be found by using this link:

<https://lu.allianzgi.com/en-gb/pro/our-funds/funds/order-methods>

For SWIFT payments you will find the instructions for MT 103 and MT 202. Please note that not respecting Cut-off times may result in late payments and therefore in additional costs.

# Bank Account Details\*

All accounts must be in the name(s) of the account holder(s). For any additional currency, please provide your standard settlement instruction in a separate sheet.

Please select Swift Format      MT103 ☐ or MT202 ☐

## Bank account details of Subscription payments \*\*

Bank Name \_\_\_\_\_

Bank SWIFT/BIC/Sort Code \_\_\_\_\_

Account owner/Name of the account \_\_\_\_\_

Account or IBAN Number \_\_\_\_\_

Country of Bank \_\_\_\_\_

## Bank account details for Redemption payments

Account currency \_\_\_\_\_

Bank Name \_\_\_\_\_

Bank SWIFT/BIC/Sort Code \_\_\_\_\_

Account owner/Name of the account \_\_\_\_\_

Account or IBAN Number \_\_\_\_\_

Country of Bank \_\_\_\_\_

For further credit to \_\_\_\_\_

## In case Redemption payments must be made through a correspondent bank, please provide the following information:

Bank Name \_\_\_\_\_

Bank SWIFT/BIC/Sort Code \_\_\_\_\_

Account owner/Name of the account \_\_\_\_\_

Account or IBAN Number \_\_\_\_\_

Country of Bank \_\_\_\_\_

For further credit to \_\_\_\_\_

## Bank account details for Dividend payments (if deviating from the above bank account details for redemption payments)

Account currency \_\_\_\_\_

Bank Name \_\_\_\_\_

Bank SWIFT/BIC/Sort Code \_\_\_\_\_

Account owner/Name of the account \_\_\_\_\_

Account or IBAN Number \_\_\_\_\_

Country of Bank \_\_\_\_\_

For further credit to \_\_\_\_\_

## In case Dividend payments must be made through a correspondent bank, please provide the following information:

Bank Name \_\_\_\_\_

Bank SWIFT/BIC/Sort Code \_\_\_\_\_

Account owner/Name of the account \_\_\_\_\_

Account or IBAN Number \_\_\_\_\_

Country of Bank \_\_\_\_\_

For further credit to \_\_\_\_\_

## Power of Attorney (PoA)

Is there a PoA on dealing on your account?

- ☐ yes  
☐ no

If yes, please specify the name(s) of the empowered person(s)/entity: \_\_\_\_\_

## Dividend Instruction

In the case of distribution shares being held, please tick the corresponding box of your choice:

☐ Dividends will be paid directly to the bank details specified above for redemptions

☐ Dividends will be automatically reinvested in the purchase of further shares

Should this section not be completed, dividends will be automatically reinvested in additional shares (in case the fund you invest in provides for such automatic reinvestment mechanism).

Please provide us with your standard settlement instruction (SSI) for the various currencies to allow quick transactions in case of redemption or dividends.

\* Please note that payments to or for the accounts of third parties are not accepted. In case you have changed your Bank Account Details, please send a duly signed written instruction to State Street. State Street will pay redemption or dividend proceeds to your new Bank Account only if it has received the original of this written instruction beforehand.

\*\* In order to identify source of funds in line with Luxembourg KYC Guidelines.

# Tax information

As per the international and local tax laws and regulations applicable to the Fund, Allianz Global Investors GmbH Luxembourg Branch and their investments, the Fund and AllianzGI GmbH Luxembourg Branch have a mandatory duty to collect tax related information about the Account Holder and as the case may be the final beneficiary owner(s). In certain circumstances (including if a valid self-certification is provided), the Fund and AllianzGI GmbH Luxembourg Branch may be obliged to share this information with relevant tax authorities according to applicable tax laws and regulations.

**If you have any questions about your tax residency, please contact your tax advisor.**

## 1 FATCA

### 1.1 U.S. Person

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

- (a) ☐ The Applicant is a specified U.S. Person and the Applicant's U.S. Federal Taxpayer Identifying number (U.S. TIN) is as follows:

U.S. TIN \_\_\_\_\_

- (b) ☐ The Applicant is a U.S. Person but not specified and the Applicant's U.S. Federal Taxpayer Identifying number (U.S. TIN) is as follows:

U.S. TIN \_\_\_\_\_

### 1.2 Declaration of tax residency

Please indicate the Applicant's place of tax residency (if residency is more than one country please detail all countries of tax residency and associated Tax ID numbers).

Country of Tax residency	Tax ID number	U.S. TIN

### 1.3 Financial Institutions

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

- (a) ☐ If you are not incorporated in a U.S. county/territory for tax purposes, please provide your Global Intermediary Identification number:

GIIN: \_\_\_\_\_

- (b) ☐ The applicant is an IGA Partner Jurisdiction Financial Institution and has not yet obtained a GIIN.

- (c) ☐ The applicant has not yet obtained a GIIN but is sponsored by another entity which does have a GIIN. Please provide your sponsor's name and sponsor's GIIN:

Sponsor's Name: \_\_\_\_\_

Sponsor's GIIN: \_\_\_\_\_

- (d) ☐ If you are a Financial Institution, please provide a GIIN, and please tick one of the below FATCA statuses:

<input type="checkbox"/>	Participating Foreign Financial Institution (PFFI)
<input type="checkbox"/>	Reporting Foreign Financial Institution under IGA Model 1
<input type="checkbox"/>	Reporting Foreign Financial Institution under IGA Model 2
<input type="checkbox"/>	Registered deemed-compliant Foreign Financial Institution
<input type="checkbox"/>	Direct Reporting Non-Financial Foreign Entity
<input type="checkbox"/>	Sponsored Direct Reporting Non-Financial Foreign Entity
<input type="checkbox"/>	Certified Deemed Compliant Foreign Financial Institution (including a Foreign Financial deemed compliant under Annex II of an IGA)
<input type="checkbox"/>	Restricted distributor
<input type="checkbox"/>	Exempt beneficial owner
<input type="checkbox"/>	Non-participating Foreign Financial Institution
<input type="checkbox"/>	Territory Financial Institution
<input type="checkbox"/>	Other, please specify: _____

### 1.4 Non-Financial Institutions – FATCA Classification

If the Applicant is not a Foreign Financial Institution, please confirm the Applicant's FATCA status below:

- ☐ The Applicant is an Active Non-Financial Foreign Entity.

OR

- ☐ The Applicant is a Passive Non-Financial Foreign Entity (if the Applicant is a Passive Non-Financial Foreign Entity, please provide details of any Controlling Persons (whose percentage of ownership is 25% or greater) which are U.S. citizens or residents in the U.S. for tax purposes. The term Controlling Persons is to be interpreted in a manner consistent with the recommendations of the Financial Action Task Force.

OR

- ☐ I am an Excepted Non-Financial Foreign Entity

Full name	Date of birth and Place of birth	Full residence address	% of ownership	US Tax ID number	Tax residency country

The Applicant declares by its signature of this application form that the above information is correct and that it will as soon as practical inform the Fund, the Fund Management Company and Registrar if the information changes.

## 2 CRS Classification

### 2.1 Declaration of Tax Residency - CRS

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

Please indicate the Entity's place of tax residence (if resident in more than one country please detail all countries of tax residence and associated Tax ID numbers).

Country of Tax Residence	Tax ID Number (TIN) or equivalent	TIN or equivalent not available	Reason if TIN or equivalent not available:

### 2.2 Entity type identification

- ☐ CRS101- Passive Non-Financial Entity with one or more controlling person(s) that is a reportable person
- ☐ CRS102- CRS Reportable Person (no controlling person)
- ☐ CRS103- Passive Non-Financial Entity that is a CRS reportable Person
- ☐ CRS104-Financial Institution - Investment Entity Located in a Non-Participating Jurisdiction and managed by another
- ☐ CRS105-Financial Institution - Participating FFI (Non-IGA)
- ☐ CRS106-Financial Institution - Investment Entity - Other Investment Entity
- ☐ CRS107-Financial Institution - Depository Institution, Custodial Institution, or Specified Insurance Company
- ☐ CRS108-Financial Institution - Non-Reporting - Government Entity
- ☐ CRS109-Financial Institution - Non-Reporting - International Organization
- ☐ CRS110-Financial Institution - Non-Reporting - Central Bank
- ☐ CRS111-Financial Institution - Non-Reporting -Broad Participation Retirement Fund
- ☐ CRS112-Financial Institution - Non-Reporting - Narrow Participation Retirement Fund
- ☐ CRS113-Financial Institution - Non-Reporting - Pension Fund of Government Entity, International organization or Central Bank
- ☐ CRS114-Financial Institution - Non-Reporting - Exempt Collective Investment Vehicle
- ☐ CRS115-Financial Institution - Non-Reporting - Trustee Documented Trust
- ☐ CRS116-Financial Institution - Non-Reporting - Qualified Credit Card Issuer
- ☐ CRS117-Financial Institution - Non-Reporting - Other
- ☐ CRS118- Active NFFE - A Corporation the stock of which is regularly traded on an established securities market or a related entity of such corporation
- ☐ CRS119 - Active NFFE - A Government Entity
- ☐ CRS120 - Active NFFE - An International Organization
- ☐ CRS121 - Active NFFE - Other
- ☐ CRS122 - Financial Institution, including Non-Reporting Financial Institutions
- ☐ CRS123 - A professionally managed Investment Entity outside a CRS Participating Jurisdiction
- ☐ CRS124 - Active NFFE which is regularly traded on an established securities market or affiliate hereto a Government Entity or an International Organization



### 3 Controlling Persons Identification

This section is mandatory if Entity Type under section “Tax information” is indicated:

- as **Passive Non-Financial Foreign Entity (FATCA)**
- as **Passive Non-Financial Entity (CRS)**

Full name	Date of birth	Place of birth	Full residence address

  

Tax residence country	Tax ID Number (TIN) or equivalent	Comments if no TIN or equivalent	Role number (please see below table for reference)

Controlling Persons Type - allowed Role number entries:

<input type="checkbox"/> CP of legal person – ownership	801
<input type="checkbox"/> CP of legal person – other means	802
<input type="checkbox"/> CP of legal person – senior managing official	803
<input type="checkbox"/> CP of legal arrangement – trust – settlor	804
<input type="checkbox"/> CP of legal arrangement – trust – trustee	805
<input type="checkbox"/> CP of legal arrangement – trust – protector	806
<input type="checkbox"/> CP of legal arrangement – trust – beneficiary	807
<input type="checkbox"/> CP of legal arrangement – trust – other	808
<input type="checkbox"/> CP of legal arrangement – other – settlor-equivalent	809
<input type="checkbox"/> CP of legal arrangement – other – trustee-equivalent	810
<input type="checkbox"/> CP of legal arrangement – other – protector-equivalent	811
<input type="checkbox"/> CP of legal arrangement – other – beneficiary-equivalent	812
<input type="checkbox"/> CP of legal arrangement – other – other-equivalent	813
<input type="checkbox"/> Unknown	UN

We declare (as an authorized signatory of the Entity) that the information provided in this form is, to the best of our knowledge and belief, accurate and complete. We acknowledge that the information contained in this form and information regarding the Account Holder may be reported to the tax authorities of the country in which this account is maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be a tax resident where those countries (or tax authorities in those countries) have entered into agreements to exchange financial account information. We undertake to advise the Registrar and Transfer Agent promptly and provide updated information where any change in circumstance occurs which causes any of the information in this form to be incorrect.

### 4 Politically Exposed Persons

Please indicate whether you, or any immediate member or close associate, is a Politically Exposed Person (PEP). PEP is defined in Directive 2015/849 as “natural persons who are or have been entrusted with prominent public functions and immediate family members, or persons known to be close associates of such persons”:

- ☐ Yes
- ☐ No

If “Yes”, please complete the following:

Name of person entrusted with public function: \_\_\_\_\_

Title/Position: \_\_\_\_\_

Date of Appointment: \_\_\_\_\_

End date of the PEP function: \_\_\_\_\_

## 5 Ultimate Beneficial Ownership Declaration

The applicant(s) declare(s) that the investment is made

☐ On own account

☐ On behalf of another ultimate economic beneficiary (person or institution)

(If investing on behalf of another ultimate economic beneficiary, please complete the section hereafter with the appropriate details)

An ultimate economic beneficiary is the final beneficiary of the investment who owns and controls directly or indirectly more than 25% of the value of the shares/units or voting rights of the company.

In case of entity structures with several ownership layers, a duly dated and signed structure chart is required to ensure assessment of final beneficial owner through the ownership chain. (The structure chart needs to indicate full legal names of the entities and the percentage of ownership.)

If you invest on behalf of another ultimate economic beneficiary, please indicate his/her/their full details below.

I/we declare that the final beneficiary of my/our investment is:

Last name/ Family name								
First name(s)/ Given name(s)								
Date of birth	d	d	m	m	y	y	y	y
Nationality								
Dual Nationality								
Address of residence (PO box not allowed)								
Percentage of ownership								

Please enclose a certified true copy of the ID of the above-referenced individual.

Last name/ Family name								
First name(s)/ Given name(s)								
Date of birth	d	d	m	m	y	y	y	y
Nationality								
Dual Nationality								
Address of residence (PO box not allowed)								
Percentage of ownership								

Please enclose a certified true copy of the ID of the above-referenced individual.

Last name/ Family name															
First name(s)/ Given name(s)															
Date of birth	d		d		m		m		y		y		y		y
Nationality															
Dual Nationality															
Address of residence (PO box not allowed)															
Percentage of ownership															

Please enclose a certified true copy of the ID of the above-referenced individual.

MIFID regulation

Please indicate your categorization under the MIFID regulation:

☐

Professional Client

☐

Eligible Counterparty

## 6 Acknowledgements

### UCITS IV regulation

- ☐ The applicant has taken note of the applicable KIID (*key investor identification documentation*) at the time of the signature of this application form related to the share/unit classes of the (sub-)funds.

The applicant also declares that he/she/they will read further potential issuances of such KIID before any subsequent investment that he/she/they wish to make in the relevant share/unit classes of the (sub-)funds. Whenever the applicant acts as an intermediary, he/she/they hereby undertake that he/she/they will provide the KIID for the respective share/unit classes to their Clients in good time before any subscription in the (sub-)funds.

All investors will hold harmless and indemnify the Fund, Fund Management Company, Custodian, Sub-Distributors and Transfer Agent of the Fund in relation to any actions, proceedings, claims, losses, damages, costs and expenses which may be brought against, suffered or incurred either directly or indirectly out of or in connection with any actions of the investor in the context of the services provided by the Transfer Agent, unless due to fraud, the willful misconduct or gross negligence of the Transfer Agent, the Fund, the Fund Management Company or the Sub-Distributors, as applicable. This indemnity shall be governed by and be interpreted in accordance with Luxembourg law. The courts of the Grand-Duchy of Luxembourg shall have exclusive jurisdiction over all disputes arising from this indemnity.

### Use of fax and email

State Street and its service providers are authorized to accept and execute any future instructions received by fax. In this context, I/we accept full responsibility of any all risks, e.g. those arising from an error in communication or comprehension as well as those arising from fraud, resulting from the use of this communication means considering that it may prove difficult or impossible to detect forgery, and I/we relieve State Street and its services providers from any and all responsibilities in this respect.

I/we hereby agree to receive electronic documents (e.g. contract notes) from the State Street and its service providers to the same extent and with the same legal validity as paper based. I/we accept full responsibility for opening, reading and checking electronic mail just as carefully as if I/we had received the mail in paper format.

### Acknowledgement of General Terms and Conditions (separate document)

- ☐ The applicant hereby acknowledges that the General Terms & Conditions have been made available and form part of this agreement and agrees that the General Terms & Conditions shall apply. (The General Terms & Conditions can be found on our website by using this link: <https://lu.allianzgi.com/en-gb/pro/our-funds/funds/order-methods>)

**All applicants are required to sign this Application Form in the below signature section and in addition to sign the Consent to Transfer and Delegation of Data at the end of this document.**

Authorized signatures:

1 <sup>st</sup> name	1 <sup>st</sup> signature	Place/Date
Title/Position _____		

2 <sup>nd</sup> name	2 <sup>nd</sup> signature	Place/Date
Title/Position _____		

## PRIVACY NOTICE

The applicant notes that “Fund” or “Funds” can refer to both: funds in corporate structure (e.g. SICAV, plc) and non-corporate structure (e.g. FCP, unit trust); and that for funds in corporate structure such corporate structure itself is the Data Controller in accordance with the provisions of the Regulation (EU) 2016/679 of 27 April 2016 (the “General Data Protection Regulation - GDPR”) whereas for funds in non-corporate structure, the respective Fund Management Company is the Data Controller (hereafter: “Controller”).

This Privacy Notice contains the information which we are required to provide you with on how the Controller, its service providers and delegates will collect, process and store any personal data that you provide to us in connection with your application and any resulting investment in the Fund. This privacy notice explains how that personal data is used and your rights.

For the purposes of this privacy notice, the Controller’s service providers include as applicable any administrator, depository, custodian and manager of the Fund, any local paying agents and, in each case, their affiliates, delegates and third party outsourced service providers (together the “**Service Providers**”). In case the Fund as such is the Data Controller, the management company is also defined as a “Service Provider” for the purposes of this privacy notice. The Service Providers may act, in certain circumstances and as assigned according to their roles, also as Data Controller, in particular for compliance with their legal obligations in accordance with applicable laws and regulations (such as anti-money laundering identification) and/or order of competent jurisdiction.

### Whose Personal Data Is Processed?

The Controller and its Service Providers may collect and use your personal data or, if you are not an individual, that of your directors, officers, employees, intermediaries and/or beneficial owners. Unless explicitly stated otherwise, references in this privacy notice to “you” or “your” in the context of processing personal data include, where applicable, the personal data of your directors, employees, intermediaries and/or beneficial owners as the context requires.

If you are providing other peoples’ personal data to the Controller or its Service Providers, you need to provide these individuals with the information required under Data Protection Law on their data protection rights and you should seek their authorization to provide us with their personal data as appropriate.

### How Your Personal Data Is Used

The Controller and its Service Providers collect and use your personal data to enable them to manage their relationship with you effectively, lawfully and appropriately and to comply with applicable laws and regulations. This includes using your personal data to:

- perform services in connection with (i) your application for shares in the Fund and (ii) any ongoing investment you make into the Fund. These activities include account opening and managing and administering your holdings in the Fund and any related accounts. They also may include making disclosures to third parties such as auditors, regulatory, data protection and tax authorities, outsourced service providers and their delegates and technology providers as appropriate in order to manage and administer your holdings in the Fund and any related accounts;
- comply with any legal, regulatory or tax requirements applicable to the Controller or its Service Providers;
- pursue the legitimate business interests of the Controller or its Service Providers. This may include recording, maintaining and using recordings of telephone calls and electronic communications that you make and receive from the Controller and its Service Providers for matters relating to your investment in the Fund, dispute resolution, record keeping, security and/or training purposes. This may also include disclosing your personal data to third parties, for example technology providers and other vendors; and
- protect the Controller and its Service Providers’ legal position in the event of any legal proceedings.

Your consent is not required to process your personal data for the purposes referenced above.

## Profiling and Screening

The Controller and its Service Providers may conduct activities required to comply with anti-money laundering requirements (such as “know your customer” checks and PEP, negative news, financial sanctions and other financial crime related screening programmes for the purposes of complying with applicable regulatory and legal requirements, including applicable sanctions regimes. The implementation of these activities and programmes may result in the Controller or its Service Providers refusing an application for shares in the Fund or delaying or refusing to make any redemption payment or distribution payment to you if you, your directors or any beneficial owner of your shares appear on such screening programmes or if the documentation provided does not satisfy applicable anti-money laundering requirements. In the event that you are identified as a PEP as a result of the screening process, you may be required to provide additional information and/or documentation to the Fund or its Service Providers. Such processing, which may reveal your political opinions or any trade union memberships, is considered lawful on the grounds of substantial public interest permitted under GDPR.

## Types of Personal Data Used

The types of personal data collected by the Controller and its Service Providers include: name, date of birth, civil status, nationality, contact details (including postal or email address), banking details, passport or other identification document, invested amount and holdings in the Fund. The Controller and its Service Providers may also collect special categories of personal data in order to perform the activities and to conduct the screening programmes specified in the prior paragraph. Such special categories of personal data may include your political opinions or any trade union memberships. The Controller and its Service Providers shall only process any such special categories of personal data as permitted under applicable laws and regulations.

## Transfers Abroad

Personal data collected from you or provided by you or on your behalf may be transferred outside of the jurisdiction of the Fund and its Service Providers, including to countries located outside the European Economic Area (“EEA”) which may not have the same data protection laws as the jurisdiction in which the Fund and/or its Service Providers are located. These countries include (but are not limited to) the United States of America, India, Hong Kong, Thailand, Canada, Australia and Japan.

If the Controller or its Service Providers transfers personal data outside the EEA, we will take the necessary steps to ensure that appropriate safeguards required by GDPR and other applicable laws and regulations, are put in place to protect the privacy and integrity of such personal data, such as the implementation of EU model contract clauses. Please contact [dataprivacy@allianzgi.com](mailto:dataprivacy@allianzgi.com) if you wish to obtain information concerning such safeguards.

## Data Retention Period

The Fund and its appointed Service Providers will retain all information and documentation provided by you in relation to your investment in the Fund for such period of time as may be required to provide services to you and as required by applicable legal and regulatory requirements.

## You have the following rights in respect of your personal data:

- to be informed about the personal data the Controller and its Service Providers hold about you;
- to access the personal data the Controller and its Service Providers hold about you;
- to have your personal data rectified where it is inaccurate or incomplete;
- to have your personal data erased in certain circumstances (e.g. where the personal data is no longer required for the purposes for which we have collected it or to comply with applicable legal and regulatory requirements or in circumstances where you object to processing and the Controller or its Service Provider (as applicable) has no overriding legitimate grounds for such processing);
- to obtain restriction of processing in certain circumstances (e.g. where you have contested the accuracy of the personal data, for the period required for us to verify the accuracy of that personal data);
- to object to the processing in certain circumstances (e.g. to automated processing or profiling);
- to data portability (i.e. to receive your Personal Data for yourself or another third party elected by the you in a structured, commonly used and machine readable format and/or to have those Personal Data transmitted to another controller in accordance with Data Protection Law);
- to lodge a complaint to the relevant Data Protection Authority if you consider that the processing of your personal data infringes GDPR or other applicable Data Protection Law;
- The right to judicial remedy or, where relevant, compensation against the relevant data controller or processor in case of infringement of your rights as a result of processing of your personal data in non-compliance with GDPR;
- In case the processing of Personal Data is based on consent, you are entitled to withdraw your consent at any time without prejudice to the lawfulness of the processing

If you wish to exercise any of the above rights against the Fund or its Service Providers, please contact: Allianz Global Investors GmbH, Data Protection Officer, Bockenheimer Landstrasse 42-44, 60323 Frankfurt/Main, Germany (email: [dataprivacy@allianzgi.com](mailto:dataprivacy@allianzgi.com) or the contact named on the application form).

The Controller or, where appropriate, its Service Provider will respond to your request to exercise any of your rights in writing, as soon as practicable and in any event **within one month** of receipt of your request, subject to the provisions of the GDPR. The Fund or its Service Provider may request proof of identification to verify your request.

### Failure to Provide Personal Data

As set out above, we require you to provide certain personal data in order for us to process your application, to manage and administer your holdings in the Fund and to comply with the Fund and Service Provider's legal and regulatory requirements. If you fail to provide such personal data, in certain circumstances we may be prohibited from making redemption or any applicable dividend payments to you **and/or** may be required to discontinue our business relationship with you by compulsorily redeeming your shareholding in the Fund.

### Contact Us

If you have any questions about the Controller's use of your personal data, please contact [dataprivacy@allianzgi.com](mailto:dataprivacy@allianzgi.com).

## CONSENT TO TRANSFER AND DELEGATION OF DATA

The Controller and its Service Providers are bound by either professional secrecy requirements and/or a common law or contractual duty of confidentiality and may not disclose data that you or, if you are not an individual, your directors, officers, employees, intermediaries and/or beneficial owners provide to the Fund and/or its Service Providers unless:

- such disclosure is permitted by applicable law or regulation; or
- you have consented (either on your own behalf or on behalf of the relevant entity) to any such disclosure.

Please sign below to evidence your consent to the following:

**In consideration of my/our application for investment into the Fund, I/we consent to the Controller and its Service Providers (as applicable):**

1. processing, sharing and storing data for the purposes of:
  - processing my application for shares in the Fund;
  - administering any ongoing investment in the Fund, including account opening and managing and administering holdings in the Fund and any related accounts and making disclosures to third parties such as auditors, regulatory, data protection and tax authorities, outsourcing Service Providers and their delegates and technology providers as appropriate in order to manage and administer any such holdings in the Fund and any related accounts;
  - fighting financial crime and terrorism, including complying with applicable anti-money laundering, PEP, negative news and sanctions screening programmes;
  - complying with any Foreign Account Tax and Compliance Act (FATCA) requirements (including any requirements arising from local implementation of FATCA);
  - Common Reporting Standard (CRS) purposes (including any local implementation); and
  - enabling the Fund and its Service Providers to comply with other legal and regulatory requirements applicable to them;
2. transferring data to and delegating and outsourcing certain tasks, activities or services (including those listed above) to third party service providers, both regulated and unregulated and located in jurisdictions within and outside the European Union;
3. providing data included in money transfers to specialist service providers such as the Society for Worldwide Interbank Financial Telecommunication (SWIFT), located both in and outside the European Union. I/we acknowledge that this may result in U.S. or other regulatory or public authorities requesting access to data held by such service providers for the purpose of assessing compliance with applicable laws and regulations;

4. telephone conversations being recorded for the primary purpose of providing evidence in the event of a dispute. Any such recordings shall be retained in compliance with applicable laws and regulations.

Authorized signatures:

---

1<sup>st</sup> name

1<sup>st</sup> signature

Place/Date

Title/Position

---

2<sup>nd</sup> name

2<sup>nd</sup> signature

Place/Date

Title/Position