

## SUBSCRIPTION DOCUMENT NORDKINN FIXED INCOME MACRO FUND incl. self-certification

Initial investment     Additional investment\*

Name of legal entity*		Client number/Company registration Number*	
Officially registered address (street, P.O. Box)		Contact person	
Postal code	City/town	Country	
Telephone number (incl. country and area code)		E-mail address	
Tax Jurisdiction (please see definition on page 2)		All applicable TIN numbers. (required by CRS, please see definition on page 2)	
Classification of Entity according to Common Reporting Standard. Applicable when tax jurisdiction outside Sweden. (Please see definitions on page 2)		Is the investor a US Person (please see definition on page 2) Please confirm: <input type="checkbox"/> YES <input type="checkbox"/> NO	
<input type="checkbox"/> Financial Institution – if yes, please specify GIIN**:		If Guardian's, please specify name and personal ID No.	
<input type="checkbox"/> Active Non-Financial Entity <input type="checkbox"/> Passive Non-Financial Entity ***			
Amount*	Feeder to Nordkinn Fixed Income Macro Master Fund*: <input type="checkbox"/> SEK A <input type="checkbox"/> NOK B <input type="checkbox"/> EUR C <input type="checkbox"/> USD G <input type="checkbox"/> SEK I	Bank/Bank account name	
Account number/IBAN (for payment of redemptions)		BIC	

\* For additional investments made by an existing shareholder in the Fund, if no changes apply regarding the information provided previously, only fill in fields marked with \* and sign the subscription document.

\*\* Registration number at IRS.

\*\*\* For passive non-financial entities, please confirm beneficial owner/s below.

The input requested below is to enable Nordkinn Asset Management AB (Nordkinn) to follow prevailing regulations regarding KYC (know-your-customer), prevention against money laundering and financing of terrorism.

### Expected duration of investment

< 1 years    1-5 years    > 5 years

### Name(s) and address(es) of Beneficial Owner(s) (see definition on page 2)

.....

### Please enter source of funds

income    pension    savings    heritage    gift

### Are you/is the beneficial owner a politically exposed person (PEP, see def. on page 3)

real estate proceeds    company proceeds    other:.....

Yes    No

### Is the liquidity to be invested transferred from a country outside Sweden or Norway?

### Are you/is the beneficial owner a family member or known associate/s to a PEP

No    Yes, from: .....

Yes    No

The subscription document must be received by Nordkinn no later than 15:00 four Banking Days (as further detailed under Banking Days on page 2) before the Trading Day (last Banking Day of each month). Nordkinn will confirm the subscription after approval. The payment of the investment must be registered on the Fund's account no later than four Banking Days before the Trading Day.

Fund	Fund name	Account number	IBAN	BIC
<input type="checkbox"/>	Nordkinn FI Macro SEK A (min 1.000.000 SEK)	SEK 5851 11 019 18	SE0850000000058511101918	ESSESESS
<input type="checkbox"/>	Nordkinn FI Macro NOK B (min 1.000.000 NOK)	NOK 5864 82 003 77	SE3450000000058648200377	ESSESESS
<input type="checkbox"/>	Nordkinn FI Macro EUR C (min 100.000 EUR)	EUR 5864 82 003 50	SE8450000000058648200350	ESSESESS
<input type="checkbox"/>	Nordkinn FI Macro USD G (min 100.000 USD)	USD 5864 82 087 77	SE2050000000058648208777	ESSESESS
<input type="checkbox"/>	Nordkinn FI Macro SEK I (min 1.000.000 SEK)	SEK 5851 11 126 93	SE8350000000058511112693	ESSESESS
*	Nordkinn FI Macro SEK D (min 50.000 SEK)	*	*	*

\*Please contact [investorrelations@nordkinnam.com](mailto:investorrelations@nordkinnam.com) for information regarding subscriptions into Funds SEK D.

Please note that the required documentation listed on page 2 must be submitted as appendices to the signed subscription document.

### Signature

The undersigned (the "Investor") declares that the above information is correct and will without delay inform Nordkinn about any changes to the information given above. The Investor declares that he/she has read, understood and accept the Fund's terms and conditions as presented in the fund statutes (Sw. *fondbestämmelser*), Offering Memorandum (Sw. *informationsbroschyren*) as well as in the Key Investor Information Document (KIID) (Sw. *faktablad*). The Investor acknowledges and agrees to that Nordkinn will process his/her personal data to the extent required by law in its capacity as a Swedish AIF-manager under supervision of the Swedish FSA (Sw. *Finansinspektionen*), which means that that personal data may be disclosed to and processed by authority upon request and/or other companies in connection to Nordkinn in its capacity as a regulated AIF-manager. The Investor hereby subscribes for units in the Nordkinn Fixed Income Macro Fund as detailed above. A subscription for Fund units cannot be made conditional nor cancelled. The Investor is aware of the risks associated with investing in Nordkinn Fixed Income Macro Fund. Past performance is no guarantee of future performance. The Investor is aware that the invested capital may increase or decrease and it is not certain that the Investor will recover his/her invested capital. The Investor is aware that Nordkinn does not provide investment advice to investors. Information received by Nordkinn shall not be interpreted as investment advice. It is the Investor's own responsibility to make an assessment about any subscription for units in the Fund.

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Place, date\*

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Signature of Investor\*

## REQUIRED DOCUMENTATION TO BE SUBMITTED

As a regulated AIF-manager under Swedish FSA supervision, Nordkinn is required to obtain sufficient and appropriate information about all investors as part of its due diligence of each Investor in order to comply with regulations regarding KYC (know-your-customer), anti-money laundering and prevention against financing of terrorism. Should Nordkinn deem that information provided by an Investor is insufficient, Nordkinn reserves its right to ask the Investor to provide further information. The following list of documentation must be submitted by the Investor:

### Required documentation for Natural Person (private individual)

- (a) a certified copy of ID card or passport (or other national identification document) of the Beneficial Owner
- (b) if you are acting as agent/guardian, please provide Power of Attorney and a certified copy of ID card or passport

### Required documentation for Legal Entity (company, trust, foundation, etc)

- (a) a copy of the certificate of incorporation (or equivalent)
- (b) chart or description of ownership structure (or equivalent)
- (c) certified copy/ies of ID card or passport for Beneficial Owner(s) of the Legal Entity
- (d) list of board of directors
- (e) if applicable, list of authorized signatories

## DEFINITIONS

### Beneficial Owner

Natural Person: The actual investor investing in the fund.

Legal Entity: A natural person who (i) due to the holding of shares, other shares or membership controls more than 25 percent of the total number of votes in the legal person, (ii) have the right to appoint or resign more than half of the legal person's board members or equivalent executives, or (iii) due to agreement with the owner, member or legal person, regulation in articles of association, company agreements and comparable documents, may exercise control over the legal entity.

### Exchange of financial account information for tax purposes, Common Reporting Standard (CRS)

The Standard for Automatic Exchange of Financial Account Information, Common Reporting Standard (CRS), developed by the OECD with G20 countries, represents the international consensus on automatic exchange of financial account information for tax purposes, on a reciprocal basis. Over 60 jurisdictions have committed to implementing the Standard and all financial centers have been called to match those commitments. For further information please go to <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>

All investors, Entities as well as Private Individuals, are requested to make a self-certification on the following information:

- Full name
- Full address
- All applicable tax jurisdictions
- TIN - Tax Identification Number for all tax jurisdictions, for guidance please go to <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/>
- Date of Birth if TIN is not available (private individuals)
- Entities is required to inform the Fund Company regarding it's classification of entity according to CRS. For further guidance to CRS, please go to <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>

State if the Entity is:

- o Financial Institution
  - Credit institution, securities company, fund management company or any other type of company that manages its own or third parties assets:
    - Depository Institutions – generally includes savings banks, commercial banks, savings and loan associations and credit unions
    - Custodial Institutions – generally includes custodian banks, brokers and central securities depositories
    - Investment Entities – generally includes Entities investing, reinvesting or trading in financial instruments, portfolio management or investing, administering or managing Financial Assets
- o Active Non-Financial Entity
  - A company which shares are regularly traded on an established market or a company which is a unit linked to such a company
  - An authority, central bank or international organisation
  - Other than above

- o Passive Non-Financial Entity
  - A passive non-financial entity is an entity that is not an active non-financial entity
  - Controlling Persons/Beneficial Owner must be identified
    - The natural person(s) who exercises control over the Entity, generally natural person(s) with a controlling ownership interest in the Entity, include any natural person(s) that holds directly or indirectly more than 25 percent of the shares or voting rights of an Entity as a beneficial owner

## Politically Exposed Person

"Politically exposed person" means (i) a natural person who is, or has been, entrusted with prominent public functions in a state; and (ii) a natural person who is, or has been, entrusted with a senior management function in an international organisation; "Prominent public function" refers to a function which is held by:

- heads of state or heads of government, ministers, and deputy and assistant ministers;
- members of parliament;
- members of the executive boards of political parties;
- members of supreme courts, constitutional courts, or other high-level judicial bodies the decisions of which are not subject to further appeal except in exceptional circumstances;
- high-ranking members of governmental auditing bodies and members of the governing bodies of central banks;
- ambassadors, heads of mission, and high-ranking officers in the armed forces; and
- members of the administrative, management, or supervisory bodies of state-owned enterprises.

"Family member of a politically exposed person" means such person's spouse, registered partner, civil partner, children and their spouse, registered partner or domestic partner, and such person's parents.

"Known associate of a politically exposed person" means:

- a natural person who, according to what is known or there is reason to believe, together with a politically exposed person, is the beneficial owner of a legal entity or legal structure, or who otherwise has, or has had, close association with a politically exposed person; and
- a natural person who is the sole beneficial owner of a legal entity or a legal structure which, according to what is known or there is reason to believe, has actually been created for the benefit of a politically exposed person.

"Close association" means close business relationships or other relationships which may entail that the known associate can be associated with an increased risk of money laundering or terrorist financing.

## US Person

The Foreign Account Tax Compliance Act (FATCA) is a United States federal law whose intent is to enforce the requirement for United States persons, (including those living outside the US) to file yearly reports on their non-US financial accounts.

**The term "United States person" means:**

- A citizen or resident of the United States
  - o Born in the United States
  - o Born outside the United States of a US parent
  - o Naturalized citizens
  - o Green Card Holders
  - o Tax residents. See more at: <http://www.ustaxfs.com/what-is-a-us-person-for-irs-tax-purposes/#sthash.Dp7EfM0g.dpuf>
- An entity (outside the US) if one or more natural persons defined as US Persons has/have the authority to control more than 25% of the entity
- A domestic partnership or corporation
- Any estate other than a foreign estate
- Any estate or trust if a court within the United States is able to exercise primary supervision over the administration of the trust
- Any other person that is not a foreign person