



CAPITAL MANAGEMENT

**Your partner in creating a timeless legacy**

**Unit Trust Application Form**

**(For Accredited Investors Only)**

**Individual**

# Unit Trust Application Form

For Accredited Investors Only - Individual

ASK CAPITAL MANAGEMENT PTE LTD ("INVESTMENT MANAGERS")

160 Robinson Road, #17-01, Singapore Business Federation Centre, Singapore 068914



CAPITAL MANAGEMENT

## INVESTMENT MANAGERS CONTACT DETAILS

Telephone No. : +65 6438 6032  
 Fax : +65 6438 6031  
 Email : [info@ask-capital.com](mailto:info@ask-capital.com)  
 Web : <https://www.askfinancials.com/ask-capital-managment/aiof1>

Application Number

Account Number

Customer ID

## GUIDE ON HOW TO COMPLETE THIS FORM

1. You will have to complete this form if you are not an existing investor with us, and you are applying to invest in any sub-fund of the ASK Investment Fund (each a "Sub-Fund" and collectively, the "Sub-funds"). Please complete this form in block letters, initial all pages and sign in full where required.
2. The Manager can only process your application once we have received all the required documents, which are listed in Appendix A-KYC Checklist for list of documents. The standard turn around time for KYC check would be around 3-4 working days, however this turn around time would not be applicable under certain unforeseen circumstances which are beyond the control of the Manager.
3. Only on successful KYC confirmation, You are requested to only remit the funds into our designated Distributor Nominee Account with OCBC Bank.
4. Only on receipt of clear funds, the Manager will transfer your subscription amount net off all charges to the ASK India Opportunities fund 1 account held with BNP Paribas Bank, Singapore and allocate units for your investments and you would receive your Investment holding statement on your registered email id with us.

## DECLARATION

- I/We the undersigned applicant(s) acknowledge having received, read and understood a copy of the Information Memorandum (ASK India Opportunities Fund 1 (the "Fund") and Fund Appendix.
- I/We acknowledge that my/our application herein for the Units in the Fund is unconditional and irrevocable, and is made on the terms of this Subscription Form, the Information Memorandum, Fund Appendix 1 and the Trust Deed.
- By signing this form, I/we confirm that the Manager has provided me/us with sufficient business information, confirmation of the required management company license conditions and confirmation of the areas of financial services that the Manager is licensed to offer.
- I/We understand that it is my/our responsibility to carefully consider the investment risk and merits on my/our own, or by seeking advice from independent financial professionals whether the chosen Sub-Fund's investment objective, policy and approach are appropriate for our objectives, financial situation and particular needs. I/We also understand that the market value of my/our investment will be subject to volatility in the underlying securities of the Sub-Fund
- The information in this form is true and correct. All material facts have been accurately disclosed. I/We are responsible for the accuracy and completeness of all answers, statements or other information provided on my/our behalf.
- I/ We agree to promptly notify the Manager and/or Trustee in writing upon any change of any of particulars set below.
- I/We hereby acknowledge that the data and declarations provided in the Application form are declarations for the purpose of permitting the Fund to be offered to me/us without having to comply with full prospectus requirements under the Securities and Future Act ("SFA").

The Manager may rely on the declarations to be exempted from certain provisions of the SFA and the Financial Advisers Act ("FAA"), including without limitation the following sections of the FAA under their corresponding exemptions:

- Section 25 of the FAA Disclosure of product information, exempted under Regulation 22 of the FAR
- Section 27 of the FAA Reasonable basis for making investment recommendation, exempted under regulation 34 of the FAR
- Section 36 of the FAA Disclosure of certain interests in securities, exempted under regulation 35 of the FAR.
- I/We declare that the information that I/we have provided in this form are true and correct. All material facts have been accurately disclosed. I/We are responsible for the accuracy and completeness of all answers, statements or other information provided on my/our behalf. I/We agree to promptly notify the Manager and the Trustee in writing upon any change of any of particulars set below.
- I/We acknowledge that the Manager and/or Trustee has full and sole discretion to accept or reject any subscriptions for all or any part of the subscription.
- I/We understand and acknowledge that although Units will not be issued until the applicable Dealing Day, any subscription monies which are paid in advance and received before the time such monies are required to be applied towards the subscription of Units shall be placed in a holding account, without interest, held by or on behalf of the Fund
- I/We acknowledge that the agreements and representations herein set forth will become effective and binding upon my/our legal representatives, successors, and assigns upon the acceptance of my/our subscription

Signature

Main Applicant

Date  /  /

Signature

Second Applicant

Date  /  /

# ASK India Opportunities Fund 1

For Accredited Investors Only - Individual

<b>Information Memorandum Received</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Share Class Opted for	<b>Fund Share Class</b>	<b>ISIN Code / BB Code</b>	<b>Please Select One</b>
	ASK India Opportunities Fund 1 - Class A	SG9999016463 / BBG00GTMCM812	<input type="checkbox"/>
	ASK India Opportunities Fund 1 - Class B	SG9999016471 / BBG00GTMCD20	<input type="checkbox"/>
	ASK India Opportunities Fund 1 - Class I	SG9999016489 / BBG00GTMCFL4	<input type="checkbox"/>
<b>Fund Appendix Received</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Investment Amount in	USD [Figures] <input type="text"/> [Words] <input type="text"/>		
Mode of Holding	<input type="checkbox"/> Single Applicant <input type="checkbox"/> Joint Applicant <input type="checkbox"/> More than 2 Applicants		

## SECTION A - MAIN APPLICANT

### ▶ PERSONAL DETAILS

Name (in full as per Passport / NRIC)

Passport number / NRIC number

Nationality/ ies

Country of Residence

Date of Birth

Residential Address



State/Country

Postal Code

Phone Number (Code)

Fax Number (Code)

E-mail Address (Holding statement will be sent to this address)

### ▶ EDUCATIONAL / EMPLOYMENT DETAILS

Highest Qualification

Nature of Occupation

☐ Self Employed

☐ Employed

☐ Retired

☐ Others | *please specify*

If Self Employed please specify name of the Organization

Nature of Business

Website URL

## SECTION B - SECOND APPLICANT

### ▶ PERSONAL DETAILS

Name (in full as per Passport / NRIC)

Passport number / NRIC number

Nationality/ ies

Country of Residence

Date of Birth

Residential Address



State/Country

Postal Code

Phone Number (Code)

Fax Number (Code)

E-mail Address (Holding statement will be sent to main applicant's email address)

Relationship with Main Applicant

### ▶ EDUCATIONAL / EMPLOYMENT DETAILS

Highest Qualification

Nature of Occupation

☐ Self Employed

☐ Employed

☐ Retired

☐ Others | *please specify*

If Self Employed please specify name of the Organization

Nature of Business

Website URL

# ASK India Opportunities Fund 1

For Accredited Investors Only - Individual

Are you related to Business sectors like

- ☐ Remittance / Exchange Houses
- ☐ Casinos
- ☐ Unregulated Charities
- ☐ Armament Manufacturers
- ☐ Antique Dealers
- ☐ Company that issues bearer shares

## ▶ SOURCE OF FUND / WEALTH CONFIRMATION

Source of Income

- ☐ Salary
- ☐ Business
- ☐ Others please specify

Annual Salary Range

- ☐ USD 100,000 - USD 300,000
- ☐ USD 300,001 - USD 500,000
- ☐ USD 500,001 - USD 1,000,000
- ☐ Others please specify

Estimated Net worth

- ☐ USD 1 Mn - 2 Mn
- ☐ USD 2 Mn - 25 Mn
- ☐ USD 25 Mn - 50 Mn
- ☐ USD 50 Mn and Above

Source of Wealth

- ☐ Business / Salary
- ☐ Inheritance
- ☐ Investment Proceeds
- ☐ Gift
- ☐ Savings
- ☐ Others

Please provide more details if Inheritance, Gift, Spouse or others selected

Are you related to Business sectors like

- ☐ Remittance / Exchange Houses
- ☐ Casinos
- ☐ Unregulated Charities
- ☐ Armament Manufacturers
- ☐ Antique Dealers
- ☐ Company that issues bearer shares

## ▶ SOURCE OF FUND / WEALTH CONFIRMATION

Source of Income

- ☐ Salary
- ☐ Business
- ☐ Others please specify

Annual Salary Range

- ☐ USD 100,000 - USD 300,000
- ☐ USD 300,001 - USD 500,000
- ☐ USD 500,001 - USD 1,000,000
- ☐ Others please specify

Estimated Net worth

- ☐ USD 1 Mn - 2 Mn
- ☐ USD 2 Mn - 25 Mn
- ☐ USD 25 Mn - 50 Mn
- ☐ USD 50 Mn and Above

Source of Wealth

- ☐ Business / Salary
- ☐ Inheritance
- ☐ Investment Proceeds
- ☐ Gift
- ☐ Savings
- ☐ Others

Please provide more details if Inheritance, Gift, Spouse or others selected

## ▶ ADDITIONAL INFORMATION

1. I/We agree to the Personal Data Protection and Disclosure Policy as mentioned in the Information Memorandum (Please note, a 'No' selection would not be eligible for the subscription) ☐ Yes ☐ No
2. I/We declare that
  - a) ☐ I/We do not hold, have never held, and am/are not actively seeking to hold or being considered for the position of senior public figure.
  - b) ☐ I/We currently hold ☐ Have held the position of Senior Public Figure.
  - c) ☐ I/We are not related to any Politically Exposed Person ("PEP") or associated with any PEP ☐ Yes ☐ No

A PEP means (a) an individual who is or has been entrusted with any prominent public function in a country or territory outside Singapore;  
(b) an immediate family member of such a person; or (c) an individual who is a close associate of such a person;
3. If question number 2b, 2c is yes,  
Kindly specify name of PEP  Profile
4. Are you a national and /or a resident (either permanent or temporary address) in a sanctioned country? ☐ Yes ☐ No
5. Does the Investor funding the account remit/receive any money directly to or from a sanctioned country directly or indirectly through a third party or otherwise ☐ Yes ☐ No
6. I confirm I am not a U.S Person (As defined in Trust Deed, Information Memorandum) ☐ Yes ☐ No
7. Do you opt-In to be treated as an Accredited Investor? Please attach documentary proof.
  - ☐ Yes - my personal assets exceeds SGD 2 Million equivalent or equivalent in value out of which my personal residence does not account for more than SGD 1 Million of this amount.
  - ☐ Yes - My personal income in the last 12 months is not less than SGD 300,000 or equivalent
  - ☐ No - I am not an Accredited Investor / I do not wish to Opt-In

# ASK India Opportunities Fund 1

For Accredited Investors Only - Individual

8. I/We confirm that the funds do not represent the proceeds of crime, including tax crime, either in my/our country or origin or in Singapore and agree to submit Tax Declaration annually.

Signature

Main Applicant

Date  /  /

Signature

Second Applicant

Date  /  /

## ▶ SIGNING MANDATE FOR INSTRUCTIONS

- ☐ Main Applicant to Sign  
☐ Either or Survival to Sign  
☐ All to Sign

Name \_\_\_\_\_ Name \_\_\_\_\_ Name \_\_\_\_\_

Note: In the absence of the above signature mandate, the Manager or Trustee may act upon instructions from either of the Applicant by default

## SECTION C - INVESTOR BANK ACCOUNT DETAILS

### ▶ BENEFICIARY DETAILS

Account should be held by either one or both Unit Holders. No third party details are allowed.

Account Holder Name

Name of the Bank

Branch Name and Code

Address of the Bank

SWIFT / BIC Code

IBAN Code

### ▶ CORRESPONDENT BANK DETAILS (OPTIONAL)

Name of the Corresponding Bank

SWIFT / BIC Code

Corresponding Bank Address

I/We hereby confirm the above to be my/our full and complete bank account details. Unless otherwise instructed by me/us in writing, all remittances from the Fund in respect of my/our holdings in the Fund (present and future), including distributions and realisation proceeds may be transferred via telegraphic transfer to this account, and a remittance confirmation from the banker of the Fund shall be good discharge to the Manager and the Trustee.

## SECTION D - DISTRIBUTION REINVESTMENT MANDATE

### ▶ REINVEST

All distributions shall be automatically reinvested in the same Unit class in the Fund, in accordance with the Trust Deed. The additional units will be allotted on the relevant dealing day date at the prevailing unit price, and are subject to the same terms and conditions (including exit fees and other charges) applicable to the respective share class.

## SECTION E - FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) REPORTING SELF - CERTIFICATION

### ▶ FATCA DECLARATION

I hereby confirm that the supplied information is correct and that I am neither a citizen, resident or tax resident of the USA

Signature of Investor or Person authorized to sign on behalf of the Investor

Signature

Main Applicant

Date  /  /

Signature

Second Applicant

Date  /  /

# ASK India Opportunities Fund 1

For Accredited Investors Only - Individual

## SECTION F - TAX RESIDENCY SELF DECLARATION FORM

Regulations based on the OECD Common Reporting Standard ("CRS") require Financial Institutions to collect and report certain information about an account holder's tax residence. Each jurisdiction has its own rules for defining tax residence, and jurisdictions have provided information on how to determine if you are resident in the jurisdiction in the following website: <http://www.oecd.org/tax/automatic-exchange/>. In general, you will find that tax residency is the country/jurisdiction at the same time (dual residency). If you are U.S. citizen or tax resident under U.S. Law, you should indicate that you are U.S. tax resident on this form and you may also need to fill in an IRS W-9 form. For more information on tax residence, please consult your tax adviser or the information at the OECD automatic exchange of information portal.

If your tax residence (or that of the account holder, if you are completing the form on their behalf) is outside the country where the Financial Institution the account is located, we may be legally obliged to pass on the information in this form and other

financial information with respect to your financial accounts to the tax authorities in the country where the Financial Institution is located, and they may exchange this information with tax authorities or jurisdiction pursuant to intergovernmental agreements to exchange financial information.

This form will remain valid unless there is a change in circumstances relating to information, such as the account holder's tax status or other mandatory field information that makes this form incorrect or incomplete. In that case you must notify us and provide an updated self certification.

A Legal guardian should complete this form on behalf of an account holder who is a minor.

As a Financial Institution we are not allowed to give tax advice and you are requested to contact your tax advisor who may be able to assist you in answering specific questions on this form. Your domestic tax authority can provide guidance regarding how to determine your tax status.

### ▶ MAIN APPLICANT

Singapore Tax Resident ☐ Yes ☐ No

Country of Tax Residency

Do you have a Dual Citizenship or are you a dual passport holder ☐ Yes ☐ No

If yes, which other citizenship/passport do you hold

(Please attach copies of each Passport held)

Citizen

Passport Number

Date of Birth

Citizen

Passport Number

Date of Birth

Singapore Tax Number

Do you have Tax Identification Numbers issued by other countries (TIN) ☐ Yes ☐ No

If no, kindly state the reason

- ☐ The country/jurisdiction where the Account holder is resident does not issue TIN to its resident.  
☐ The Investor is unable to obtain a TIN or equivalent number  
☐ No TIN is required  
☐ Any other reason

Are you considered a tax payer? or need to submit a tax return, in any other country for which you have not been issued a TIN? ☐ Yes ☐ No

If yes, please list these countries

### ▶ SECOND APPLICANT

Singapore Tax Resident ☐ Yes ☐ No

Country of Tax Residency

Do you have a Dual Citizenship or are you a dual passport holder ☐ Yes ☐ No

If yes, which other citizenship/passport do you hold

(Please attach copies of each Passport held)

Citizen

Passport Number

Date of Birth

Citizen

Passport Number

Date of Birth

Singapore Tax Number

Do you have Tax Identification Numbers issued by other countries (TIN) ☐ Yes ☐ No

If no, kindly state the reason

- ☐ The country/jurisdiction where the Account holder is resident does not issue TIN to its resident.  
☐ The Investor is unable to obtain a TIN or equivalent number  
☐ No TIN is required  
☐ Any other reason

Are you considered a tax payer? or need to submit a tax return, in any other country for which you have not been issued a TIN? ☐ Yes ☐ No

If yes, please list these countries

## SECTION G - UNDERTAKINGS, REPRESENTATIONS AND WARRANTIES

I / We hereby undertake, represent and warrant the Fund:

- I/We confirm having reviewed the Information Memorandum, Fund Appendix and Trust Deed as amended from time to time as part of my investment decision. I/We have also reviewed the terms and conditions of this offer from authorized representatives appointed by the Fund and/or the Manager and to obtain such additional information as I/we have considered necessary to appropriately evaluate whether to investment in the Fund and to be bound by the terms of this Application form, the Information Memorandum, Fund Appendix and the Trust Deed.
- To notify the Manager and/or Trustee immediately if we become aware that any of these undertakings, representations and warranties is/are no longer accurate and complete in all respects and agree immediately either to sell or to tender to the Manager and/or Trustee for realisation of a sufficient number of Units to allow the undertaking, representation or warranty to be made.
- I/We understand that if any of the representations, warranties, agreements or certifications given by me/us in this Subscription Form is untrue, the Manager and/or Trustee in their sole discretion may require a compulsory realisation of all or part of my/our Units at my/our sole risk, cost and expense.
- I/We hereby declare that I am/we are an Qualified Investor (as defined in the Information Memorandum) I/We have such knowledge and experience in financial and business matters and that I am/we are capable of evaluating the merits and risk of my / our acquisition of the Units.
- I / We are 18 years of age or above or I/We have the power, legal capacity and authority and am/ are permitted by applicable law to execute and perform our obligations under the the subscription form and the source of funds confirmation. The person signing this Application form has all the requisite authority to sign such documents on our behalf.



# ASK India Opportunities Fund 1

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6. I/We acknowledge that any delay by me/us in providing such information and/or documentation may result in delayed processing of my/our application for subscriptions and redemptions and/or delayed payment of any dividends to me/us or processing of transfer requests in respect of Units on my/our behalf.
7. I/We acknowledge and agree that no guarantee or representation that the Fund will achieve its investment objective, and accordingly, that I/we may experience a partial or total loss of subscription proceeds.
8. I/We acknowledge and agree that the Manager, Trustee or their agents may record telephone conversations between us, and acknowledge that any such recordings may be submitted in evidence in any proceedings relating to the relevant Fund.

## Anti Money Laundering and Countering of Financing of Terrorism

9. I/We hereby declare that the acceptance of my/our subscription application together with the appropriate remittance will not breach any applicable anti-money laundering (including source of funds) and countering of the financing of terrorism rules and regulations and I/We undertake to provide verification of our identity to the reasonable satisfaction (on a confidential basis) of the Fund, the Trustee and/or the Manager promptly on request.
10. I/We acknowledge that due to the laws to preventing money laundering and the financing of terrorism operating within their respective jurisdictions, the Fund, the Manager and/or the Trustee may require further verification of identity of the applicant(s) and /or further information as to source of funds before applications can be processed. The Fund, the Manager and the Trustee shall be held harmless and indemnified by the applicant(s) against any loss arising from the failure to process this application if such information as has been required from the applicant(s) has not been provided by the applicants(s).
11. I/We also warrant and declare that the monies being invested pursuant to this application do not represent directly or indirectly the proceeds of any criminal activity and the investment is not designed to conceal such proceeds so as to avoid prosecution for an offence or otherwise, or to enable such funds to be used for the financing of terrorism.
12. I/We acknowledge and accept that the Manager and/or Trustee reserves every right to accept or reject this subscription form without providing any reason. In the event of a rejection of this subscription Form, the subscription monies received by the Fund (if any) will be refunded to me/us without interest, net of all charges, and as soon as reasonably practicable to the Manager and/or Trustee
13. I/We acknowledge and accept that, in accordance with anti-money laundering obligations applicable to the Fund, requests for subscriptions or payment of realization proceeds will not be effected until receipt of all outstanding identification documents and information pertaining to anti-money laundering obligations. None of the Fund, the Manager, the Trustee or each of their agents or associates or affiliates shall be responsible for any loss caused as a result of any such delay or refusal to process transfer requests or effect payment of realization proceeds (as the case may be) and the company shall not be entitled to any payment of interest due to such delays.

## Disclosures

14. I/We consent to your collection, use and storage of any of my/our personal information and account information by any means necessary for you to maintain appropriate transaction or account records and for the disclosure and compliance with FATCA/CRS and/or any applicable local or foreign law, regulation, rules, directives or code of practice, and whether or not relating to an intergovernmental agreement entered into pursuant to FATCA/CRS or such other agreement between regulatory authorities of 2 or more jurisdictions
15. I/We hereby consent to you and the Trustee of the Fund (and such third party service providers) as you or the Trustee may engage, and who may be located outside Singapore) collecting, receiving, using, and disclosing and processing my/our Personal Data (as defined in the Singapore Personal Data Protection Act) as set out in my/our application, subscription form, account opening documents and/or otherwise provided by me/us or possessed by you or the Trustee, for one or more of the Purpose as stated in the Trust Deed and Fund Appendix documents.
16. I/We acknowledge and agree that I/we are responsible for my/our compliance with FATCA and agree to update you promptly (and in any event not later than 30 days from the date of change or addition) when there is a change or additional to my personal information
17. I/We acknowledge and agree that Personal information and Account information provided may be disclosed for the duration of this Agreement and after its expiry or termination (as the case may be) by you to counterparts, brokers and service providers, the U.S Internal Revenue Service, the Inland Revenue of Singapore or other applicable tax or other regulatory authorities in any jurisdiction for the purpose of compliance with FATCA/CRS and/or any applicable local or foreign law, regulation, rules, directives or code of practice, and whether or not relating to an intergovernmental agreement entered into pursuant to FATCA/CRS or such other agreement between the regulatory authorities of two(2) or more jurisdictions.
18. I/We declare that I/we are not U.S Person or US Holders, as defined in the Trust Deed of the relevant Fund for the purpose of determining my/our qualification for subscription in the relevant fund as well as for the purposes of FATCA/CRS and the units in the fund are not being held beneficially by or for a U.S Person or U.S holder or in violation of any applicable law. I/we acknowledge and agree to inform you promptly as and when my/our tax status and classification changes.
19. For the Purpose of complying with FATCA/CRS:
  - a. I/We acknowledge and agree to provide further information as and when requested by you to enable you to comply with the requirements of FATCA/CRS and further acknowledge that my/our failure in the provision of such information to you may result in the withholding of payments otherwise due to me/us by reason of the application of FATCA/CRS.
  - b. I/We acknowledge and agree the information provided by you by me/us or any details of my/our account with you may be reported to the U.S. IRS or other tax or regulatory authorities.
  - c. I/We consent to the collection, use and storage of any of my/our information by any means necessary for you to maintain appropriate transaction or account records.
20. I/We hereby irrevocably waive and agree to procure any consenting person to waive irrevocably (where reasonably required by you), any applicable restrictions, provisions of law and rights in law that would, absent a waiver, prevent disclosure by you of the personal information and account Information pursuant to the provisions of this Agreement.

## Fax Authority / Scan Indemnity

21. By giving this Fax/Scan instruction wherever applicable, the applicant authorizes the Manager and/or Trustee to act upon instructions received by Fax/Scan. This Fax/Scan authority/indemnity remains in force until notice in writing of its termination is received by the Manager and shall apply to all dealings and transactions between the Manager and the applicant in relation to the fund invested by the Applicant. The Manager and/or Trustee are entities in their sole absolute discretion to refuse to comply with any fax/scan instructions which is in their opinion unclear or ambiguous. The applicant undertakes to keep the Managers and their respective directors, officers, employees and agents from time to time indemnified against all claims, losses damages, charges, costs, and for expenses suffered or incurred by any of them arising out of anything done or omitted pursuant to any instructions given in the fax/scan. The applicant also agrees to send original application form to the Managers and/or Trustee
  - a. For Redemption forms submitted to the Manager by fax, the Manager will only pay out redemption proceeds to the bank details submitted in the Application form and to no other or third party accounts.
  - b. The Fax indemnity does not apply to notifications of change of particulars, death or transfer and the use of power of attorneys where original documentation must be sent to the Manager.
  - c. (In respect of joint applicants) We direct that on the death of one of us, the Units for which we hereby apply be held in the name of and to the order of the survivor or survivors of us or the executor or administrator of each survivor or survivors. We understand that all instructions (including realization requests) must be signed by BOTH joint applicants.

## Withholding

22. I/We acknowledge that you may be required to withhold a part of the payment to be made to me/us of any U.S sourced income and gross proceeds as may be required by FATCA, and/or any applicable local or foreign law, regulation, rules, directives or code of practice, and whether or not relating to an intergovernmental agreement entered into pursuant to FATCA or such other agreement between regulatory authorities of two(2) or more jurisdictions.
23. I/We agree to indemnify you and the fund and its other investors for any losses resulting from my/our failure to meet my/our obligations under these FATCA provisions, including any withholding tax imposed on the Fund.



# ASK India Opportunities Fund 1

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## Managers Right to Refuse and Compulsory Redemption.

24. I/We acknowledge and agree that in the event I/we have U.S Indicia and fail or refuse after request to provide such information, consent, and/or assistance as the Manager and/or the Fund may from time to time reasonably require to allow it to comply with its contractual, legal and/or regulatory obligations under the United States Foreign Account Tax Compliance Act or other regulations, including any required reporting of information relating to me/us or beneficiaries, the Manager and/or Trustee reserve the right and shall each be entitled to cancel or compulsorily realise all my/our investments and/or applications in accordance with the Deed.

For the purposes of the above paragraph, a person with U.S Indicia refers to a person who: (i) is a U.S person for U.S federal income tax purposes; or (ii) as a result of a change in tax status becomes a U.S person; or (iii) has indicated through information provided to the Manager and/or Trustee that the person may be in fact a U.S person for U.S federal income tax purposes (including a U.S address, telephone number, TIN etc)

## Personal Data Protection Policy

I/We agree and hereby consent that the Manager, Trustee, Registrar and the Administrator and their respective agents and delegates may collect, use and disclose personal data relating to me/us or my/our individual representatives for the purposes of providing services to the Fund, performing their respective legal and regulatory obligations and conducting financial crime risk management and other activities, including disclosing those data to the Manager, to any service providers and/or to third parties and transferring them internationally, and for such other purposes set out in the Trustee's, Registrar's and Administrator's data protection policy and data privacy statement (as each may be amended from time to time)

I/We acknowledge, agree and accept that a notice of withdrawal of consent submitted by me/us shall (i) also be deemed to be a request for redemption of all Units held by the company and (ii) not prevent the continued use or disclosure of the relevant personal data for the purpose of compliance with any legal, governmental or regulatory requirement of any relevant jurisdiction.

I/We acknowledge and agree that all such personal data may be retained after the termination of the Fund(s) or the transfer or redemption of my/our holding in accordance with the applicable law. Subject to applicable laws and regulations, the personal data may be transferred to other countries or territories outside Singapore.

I/We agree to be bound by the laws of Singapore and submit to the jurisdiction of the courts of Singapore. This Subscription Form shall be governed and interpreted under such laws and forum as mentioned.

**I/We declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.**

Signature

Main Applicant

Date  /  /

Signature

Second Applicant

Date  /  /

## Definitions:

**"Account Holder"** means the person listed or identified as the beneficial holder of a Financial account. A person, other than a Financial Institution holding a Financial Account for the benefit of another person as an agent, a custodian, a nominee, a signatory, an investment advisor, an intermediary, or as a legal guardian, is not treated the Account Holder. Cases where Account Holder is applicable is where the parent is acting as a legal guardian, the child is regarded as the Account Holder.. With respect to jointly held account, each joint holder is treated as an Account Holder.

**"Account Information"** means any information relating to our account with us and this Agreement, including the account number(if any), account balance or value, gross receipts, withdrawals and payment from the account or under this Agreement.

**"Consenting Person"** means any person other than you who is beneficially interested or financially interested in any payment made under this Agreement. "Financial Account" A Financial Account is an account maintained by a Financial Institution and includes: Depository Accounts; Custodial Accounts; Equity and debt interest in certain Investment Entities; Cash Value Insurance Contracts; and Annuity Contracts;

**"Personal data"** means data, whether true or not, about an individual who can be identified (a) from that data; or (b) from that data and other information to which the organisation has or is likely to have access .

**"Participating Jurisdiction"** A participating jurisdiction means a jurisdiction with which an agreement is in place pursuant to which it will provide the information required on the automatic exchange of financial account information set out in the Common Reporting Standard and that is identified in a published list.

**"Reportable Account"** The term "Reportable Account" means an account held by one or more Reportable Persons or by a passive NFE with one or more Controlling Persons that is a Reportable Person.

**"Reportable Jurisdiction"** A Reportable Jurisdiction is a jurisdiction with which an obligation to provide financial account information is in place and that is identified in a published list.

**"Reportable Person"** A Reportable Person is defined as an individual who is tax resident in a Reportable Jurisdiction under the tax laws of that jurisdiction. Dual resident individuals may rely on the tiebreaker rules contained in tax conventions (if applicable) to solve cases of double residence for purposes of determining their residence for tax purposes.

**"TIN"** (including "functional equivalent") The term "TIN" means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found at the automatic exchange of information portal. Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a "functional equivalent"). Examples of that type of number include, for individuals, a social security/ insurance number, citizen/ personal identification/ service code/ number, and resident registration number.

**"U.S. holder"** means a beneficial owner of Units who is for U.S. federal income tax purposes (i) an individual citizen or resident of the United States, (ii) a corporation created or organized under the laws of the United States of any State thereof, or the District of Columbia, (iii) an entity created or organized under the laws of any other jurisdiction if treated as a domestic corporation , (iv) an estate the income of which is subject to U.S. federal income tax regardless of source, and (v) a trust if (a) (1) a court within the U.S. is able to exercise primary supervision over the administration of the trust and (2) one or more U.S. persons (as defined for U.S. federal income tax purposes) have the authority to control all substantial decisions of the trust or (b) it has a valid election in effect under applicable Treasury regulations to be treated as a U.S. person for U.S. federal income tax purposes.

# ASK India Opportunities Fund 1

For Accredited Investors Only - Individual

## DIRECTORY OF THE FUND

<b>Fund</b>	:	ASK India Opportunities Fund 1*
<b>Manager</b>	:	ASK Capital Management Pvt Ltd (Unique Entity No. 201104122N)
<b>Registered Address</b>	:	160 Robinson Road #17-01 SBF Center Singapore 068914
<b>Business Address</b>	:	133 Cecil Street Keck Seng Tower, #16-02A Singapore 069535
<b>Investment Adviser</b>	:	ASK Investment Managers Private Limited (Business registration no. U65993MH2004PTC147890) (SEBI registration no. INP00000043) Birla Aurora, 16th Level, Office Floor 9, Dr. Annie Besant Road, Worli, Mumbai- 400 030
<b>Trustee</b>	:	BNP Paribas Trust Services Singapore Limited 20 Collyer Quay #01-01 Singapore 049319
<b>Fund Administrator and Custodian</b>	:	BNP Paribas Securities Services, Singapore Branch 20 Collyer Quay #01-01 Singapore 049319
<b>Auditor</b>	:	PricewaterhouseCoopers Singapore LLP 8 Cross Street #17-00 PWC Building Singapore 048424
<b>Legal advisers to the Manager</b>	:	Tan Peng Chin LLC 30 Raffles Place #11-00 Chevron House Singapore 048622
<b>Legal advisers to the Trustee</b>	:	Dentons Rodyk & Davidson LLP 80 Raffles Place #33-00, UOB Plaza 1 Singapore 048624
<b>Complaints / Queries</b>	:	info@ask-capital.com
<b>Financial Supervisory Authority of the Manager and the Trustee</b>	:	Monetary Authority of Singapore 10 Shenton Way, MAS Building Singapore 079117 Tel: (65)-6225-5577

\*A sub-fund of ASK Investment Fund, a unit trust domiciled in SIN

## SHARE CLASSES, SUBSCRIPTION AMOUNTS AND MANAGEMENT FEES

The Fund has 3 share classes of units and the base currency is USD.

Share Class	Annual Management Fee	Minimum Initial Investment Sum	Minimum Subsequent ' Investment Sum	Minimum Holding
Class A	2.0%	US\$10,000	US\$5,000	10,000 Units
Class B	1.5%	US\$100,000	US\$10,000	100,000 Units
Class I	1.25%	US\$1,000,000	US\$100,000	1,000,000 Units

- Subscription and Redemption of units may be done on any Business Day in Singapore.
- The cut-off time for placing orders with the Registrar is 4.00pm Singapore time.
- NAV price as on allotment date will be applicable.
- Subscription monies should be sighted in the bank account of the Fund before units can be allotted.
- Units will be allotted for the net amount, i.e. the amount received by the Fund, net of sales charge, bank charges and other remittance charges, if any.

## CHARGES & FEES

Charges are used to pay the costs of running the Fund, including the costs of marketing and distributing it.

One off charges payable by Investor		Other charges payable by the Fund, annually	
Sales Charge (Entry)	Up to 5%, as indicated by the relevant distributor.	Management Fees	Refer to the Fee schedule on Page 1
Realization Charge (Exit)	Nil for Class A and Class I	Trustee Fees	0.035%, subject to a minimum of US\$10,000 p.a.
	Up to 4%, 3%, 2% and 1% for Class B, if exit within 12, 24, 36 or 48 months respectively.	Operating & Administrative Expenses	Approx. 0.0225% to no more than 1.00% of the NAV, subject to Fund size. Manager has capped this at 1% for the first 18 months of the Fund (from launch date)

\* Entry and Exit Charges are for reference only and may differ from actual charged, subject to investment size.

\* Please refer to the Information Memorandum for the full breakdown of fees and charges.

# ASK India Opportunities Fund 1

For Accredited Investors Only - Individual

## ▶ USD BANK ACCOUNT DETAILS FOR ASK INDIA OPPORTUNITIES FUND 1

- You are requested to kindly arrange for the subscription monies to be remitted via Telegraphic Transfer to the Bank account of the Fund.
- Remittance is only allowed for subscription when funds are coming from account which are held by either one of the applicants/Unit holders or accounts held jointly.
- No Third Party remittance is allowed and therefore the Manager and/or the Trustee reserves the right to reject the subscription application and refund the amount without any interest, net of all charges within a reasonable time frame.
- Subscription monies should be sighted in the bank account of the Fund before units can be allocated. The NAV prices as on the actual allotment date will be applicable.
- Units will be allotted for the net amount, i.e. the actual amount received by the Fund, net of any sales charges, bank charges and/or remittance charges, if any.

## ▶ ASK DISTRIBUTOR NOMINEE BANK ACCOUNT DETAILS

Beneficiary Name	ASK Capital Management Pte Ltd ASK IOF1
Bank Account Number	503371833301
Bank Account Currency	USD
Beneficiary Bank Name	OCBC Bank
Beneficiary Bank Address	65 Chulia Street, OCBC Centre, Singapore 049513
Beneficiary Bank SWIFT BIC Code	OCBCSGSG

## ▶ CORRESPONDENCE BANK DETAILS

Corresponding Bank Name	JP Morgan Chase, New York
Corresponding Bank SWIFT BIC Code	CHASUS33

## APPENDIX - A (KYC CHECKLIST)

### KYC requirement for Individual subscribers (applicable for Main and Joint applicants if any):

- Proof of Identity : Certified true copy of current valid passport, NRIC with Full Name, Date of Birth, Nationality and Unique Identify Number (photograph of the person should be clearly visible).
- Proof of Address: Certified true copy of residential address (e.g. Utility Bills, Bank Statements, Tax Invoice, Credit Card Statements etc). The same must not be more than three months old. Please note that E-Statements and PO Box address is not acceptable.
- Proof of Eligibility:
  - Curriculum Vitae including details on source of funds to be invested (basic details which should form part of the Curriculum Vitae are as per Appendix B); and
  - Bank reference letter as required to ascertain accredited status / network details.
  - Information on job occupation and documents ascertaining source of funds/ source of wealth for investment would be required in cases where applicable.
- Documents to ascertain Accredited Status i.e. income tax notice copies, salary slips or any other document as required by the Manager.
- Tax Declaration Form Annexure 33

\* Please note that passport and address proof should be certified by either a notary public, bank official external lawyer or qualified accountant. The details (name, address, contact details, membership number) of the person certifying the documents must be clearly stated on the documents.

### Kindly Note:

- The Manager and/or the Trustee may request for additional documents and information before acceptance of the subscription form.
- Investor on-boarding turnaround time: The Manager and/or the Trustee may take 3-4 working days for the on-boarding process to be completed.



# ASK India Opportunities Fund 1

For Accredited Investors Only - Individual

## APPENDIX - C (FORMAT OF BANK REFERENCE LETTER)

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

### ASK India Opportunities Fund 1

Investment Managers

133 Cecil Street, #16-02A, Keck Seng Tower,

Singapore - 069535

Dear Sirs,

**RE: [insert customer name]**

At the request of the above-named customer, we have pleasure in confirming that [insert customer name], bearing passport number [insert passport number] of [insert residential address] has banked with us since [date].

He/She has maintained active and satisfactory accounts in our books

This is to certify further that Networth of Mr/Mrs. \_\_\_\_\_ is \_\_\_\_\_ USD/SGD and is an eligible Investor / Accredited Investor

It is further certified that the computation of customers Networth is based on my/our scrutiny of the customer's book of accounts and records.

The information provided is true and correct to the best of my/our knowledge and is given in strict confidence without any responsibility, however arising, on the part of the Bank or its officers.

Yours faithfully,

Name : \_\_\_\_\_

Designation : \_\_\_\_\_

# ASK India Opportunities Fund 1

For Accredited Investors Only - Individual



CAPITAL MANAGEMENT

## ANNEXURE 33 - DESIGNATED TAX OFFENCES QUESTIONNAIRE

### INSTRUCTIONS

Under the Corruption, Drug Trafficking and other Serious Crimes (Confiscation of Benefits) Act (Cap 65A) of Singapore ("CDSA") and the Monetary Authority of Singapore's Notice to Capital Markets Services Licensees on Prevention of Money Laundering and Countering the Financing of Terrorism [MAS Notice SFA04-N02] ("MAS AML/CFT Notice"), the Investment Manager is required to prevent the holding of assets and to detect and deter proceeds from serious tax crimes that are designated as money laundering predicate offences. Your responses to the Designated Tax Offences Questionnaire below will be used by the Investment Manager, amongst other factors, to determine: (a) whether the Investor may invest in the Company; and (b) where an offer by the Investor to subscribe for units in the ASK Investment Fund or its sub fund accepted, whether the Investment Manager is required to file a Suspicious Transaction Report ("STR") under the CDSA.

Please respond to each question by checking the applicable box.

### INSTRUCTIONS

"Income Tax" means any tax levied by any government, including state and local governments, on individual or business income. "Consumption Tax" means any tax levied by any government, including state and local governments, on goods and services, including sales tax, value-added tax or such similar taxes by any other name.

Part - I. Has the Investor been	Yes	No
(i) convicted by a court of law in any jurisdiction, and/or		
(ii) the subject of or is the Investor currently under any investigation by any tax authority, for any of the following:		
1. Willfully with intent to evade Income Tax or to assist any other person to evade Income Tax:		
(a) omitted from a return made to any tax authority any income which ought to have been included in such tax return?	<input type="checkbox"/>	<input type="checkbox"/>
(b) made any false statement or entry in any return made to any tax authority?	<input type="checkbox"/>	<input type="checkbox"/>
(c) given any false answer, whether verbally or in writing, to any question or request for information asked or made by any tax authority?	<input type="checkbox"/>	<input type="checkbox"/>
(d) where the Investor is not required to file a tax return in any jurisdiction, has made any false statement or provided any false information in any notification given to the tax authority of that jurisdiction in relation to the understatement or omission of income or in relation to any tax deduction or tax relief that is excessive or wrongly granted?	<input type="checkbox"/>	<input type="checkbox"/>
(e) where the Investor is not required to file a tax return in any jurisdiction and has a duty to give notice or otherwise inform the tax authority of that jurisdiction regarding the understatement or omission of income or in relation to any tax deduction or tax relief that is excessive or wrongly granted, failed to give such notice or so inform that tax authority?	<input type="checkbox"/>	<input type="checkbox"/>
(f) prepared, maintained or authorized the preparation or maintenance of any false books of account or other records or falsified or authorized the falsification of any books of account or records?	<input type="checkbox"/>	<input type="checkbox"/>
(g) made use of any fraud, art or contrivance or authorized the use of any such fraud, art or contrivance?	<input type="checkbox"/>	<input type="checkbox"/>
2. Will fully with intent to evade Consumption Tax or to assist any other person to evade Consumption Tax:		
(a) Omitted or understated any output tax or overstated any input tax in any return made to any tax authority?	<input type="checkbox"/>	<input type="checkbox"/>
(b) made any false statement or entry in any return, claim or application made to any tax authority?	<input type="checkbox"/>	<input type="checkbox"/>
(c) given any false answer, whether verbally or in writing, to any question or request for information asked or made by any tax authority?	<input type="checkbox"/>	<input type="checkbox"/>
(d) prepared, maintained or authorized the preparation or maintenance of any false books of account or other records or falsified or authorized the falsification of any books of account or records?	<input type="checkbox"/>	<input type="checkbox"/>
(e) made use of any fraud, art or contrivance (including, for the purpose or with the effect of evading Consumption Tax, and without the permission of the relevant tax authority: (i) destroying, damaging, erasing or altering any data stored in, or used in connection with a computer; (ii) causing such destruction, damage, erasure or alteration; or (iii) interfering with, interrupting or obstructing the lawful use of that computer or the data stored in that computer) or authorized the use of any such fraud, art or contrivance?	<input type="checkbox"/>	<input type="checkbox"/>
3. Willfully with intent to evade Consumption Tax:		
(a) caused, attempted to cause, did any act with intent to cause or defaulted in the performance of any duty imposed upon the Investor by the relevant Consumption Tax legislation with intent to cause the refund to the Investor by the relevant tax authority of any amount in excess of the amount properly so refundable to the Investor?	<input type="checkbox"/>	<input type="checkbox"/>

ASK India Opportunities Fund 1  
For Accredited Investors Only - Individual



Based on your answers to the above questions, the trustee and/or the manager may require additional information and/or documentation and, based on such information will determine whether the company may accept the investor's offer to subscribe for units in the ASK Investment Fund or its sub fund. The investor understands that the trustee and/or the manager will be relying on the accuracy and completeness of the statements made and information provided by the investor herein and represents and warrants that such statements and information may be relied upon by the company, the manager, the trustee and their affiliates and any entities or managers with which the company invests, in complying (or attempting to comply) with the CDSA and the mas AML/CFT notice.

For so long as the investor owns units in the ASK Investment Fund or any of the sub fund. The investor agrees to notify the manager and the trustee immediately in writing if any of the information contained in this designated tax investor offences questionnaire is no longer accurate as of any date and shall immediately provide corrected information to the manager and the trustee. The manager and/or the trustee in its/their sole and absolute discretion may treat a failure to fully complete or return this questionnaire as reasonable grounds for declining to accept the investor's offer to subscribe units in the ASK Investment Fund or any of its sub fund.

Signature

Main Applicant

Date   /   /



# ASK India Opportunities Fund 1

For Accredited Investors Only - Individual

## TRANSACTION SLIP

This Form is for use of Existing Investors only.

Use this form for **ADDITIONAL PURCHASE / REDEMPTION / CHANGE OF ADDRESS / BANK DETAILS**

Please use separate Transaction Form for each transaction.

Distributor Name & Code	Relationship Manager

### ▶ EXISTING INVESTORS INFORMATION

Name of First Applicant   
(Leave space between first/middle/last name)

Name of Joint Applicant

Name of Joint Applicant

Name of Joint Applicant

Account No./ Customer ID  Class of Shares

### ▶ ADDITIONAL PURCHASE

I/We would like to purchase additional investment in ASK India Opportunities Fund 1 in the above- specified class of shares as per the following details.

Amount (in figures): \$  (in word)

The mentioned amount has been transferred to the account of the ASK India Opportunities Fund 1 Limited in OCBC Bank, Singapore as on;

### ▶ REDEMPTION

I/We would like to redeem our investments in ASK India Opportunities Fund 1 in the above- specified class of shares as per the following details.

Amount (in figures) : \$  (in words)

OR No. Of Units :  (in words)

Please transfer the redemption proceeds as per the following details: (No Third Party bank details allowed for redemption proceeds)

Name of the holder

SWIFT  Name of the Bank

Account No.  IBAN

Address

Redemption payout will only be credited to your Bank Account provided at the time of subscription, unless the Manager is notified in writing.

### ▶ CHANGE OF BANK ACCOUNT

Name in which account is held

Bank Account Number  Bank Name

Bank Address   
Kindly provide cancelled cheque copy or any other documentary proof.

SWIFT  IBAN

### ▶ CORRESPONDING BANK DETAILS

Name of the Bank

Bank Account Number  SWIFT

Bank Address

### ▶ CHANGE OF ADDRESS

New Address

E-mail ID  Contact No.

Kindly provide certified copy of Proof of Address along with this application and to be not more than 3 months old.

### ▶ SIGNATURE(S)

I/We have read and understood the concepts of the information memorandum, subscription agreement and Terms. I / We am / are investing / transacting into and agree to abide by the terms, conditions, rules and regulation of the Fund as on the date of this transaction.

First Applicant's Signature

Date

First Joint Applicant's Signature

Date

Second Joint Applicant's Signature

Date

Third Joint Applicant's Signature

Date

# ASK India Opportunities Fund 1

For Accredited Investors Only - Individual

## SUBSCRIPTION CHECKLIST\*

- ☐ Proof of Identity
- ☐ Proof of Address
- ☐ Proof of Eligibility
- ☐ Document to ascertain your Accredited Status
- ☐ Tax declaration form (Annexure 33)
- ☐ Any other documents as requested by the Relationship Manager \_\_\_\_\_

*\*Refer to Appendix - A (KYC Checklist) for detailed list of documents on page 10*

**THANK YOU**

NAV prices of the fund are available for viewing on  
[http://www.askfinancials.com/ask\\_capital\\_management/aiof1](http://www.askfinancials.com/ask_capital_management/aiof1)

Any investor correspondence should be addressed to  
[info@ask-capital.com](mailto:info@ask-capital.com)