

**SUBSCRIPTION FORM**  
(PART A) PROFESSIONAL INDIVIDUAL



**CLIENT'S INFORMATION**

Last name		First name		Social security number	
Name and social security number of the person who acts on behalf of another person				Nationality	
Address		Postal code	City		Tax residency
Email				Telephone	
Bank account (IBAN)				Bank	

Have you, your family member or associate been a politically exposed person (PEP) within the last 12 months in Finland, Sweden or abroad?

No  Yes, kindly provide an explanation: \_\_\_\_\_

A politically exposed person (PEP) is someone who has been entrusted with a prominent public function within preceding 12 months. Prominent public functions include e.g. a member of parliament, board member of a political party, a judge in high court, member of the investment board of a state-owned company, a head of central bank or a director, a deputy director or board member of an international organization.

**SUBSCRIPTION – AGCM DRAGON FUND AIF**

Fund Units Class A (SEK)  Fund Units Class B (EUR)

**Subscription account (SEK) (IBAN)** FI90 3301 0005 1049 06 (SEB)  
**Subscription account (EUR) (IBAN)** FI05 3301 0001 1702 73 (SEB)  
**Subscription day** Last business day of the month (business days refer to official business days in Finland)  
**Cut-off time for subscriptions** The business day preceding the subscription day

The subscriber shall place a written subscription order by submitting a completed subscription form including attachments to GRIT Fund Management Company by mail or e-mail. Moreover, the subscriber shall transfer the whole subscription amount to the subscription account. GRIT Fund Management Company needs to receive the subscription order before the cut-off date mentioned above. The message of the transfer shall include the following information of the subscriber: complete name, social security number and phone number. The recipient of the payment is GRIT Fund Management Company Ltd.

**Mandatory appendices**

- A certified copy of the investor's official and valid ID (also an ID of the person who is acting on behalf of the investor if applicable),
- A signed KYC & Customer Categorization form (part B),
- A signed self-certification form containing information on the individual's tax status, FATCA & CRS (part C), and
- If applicable, a document (e.g., power of attorney) with proof of the right to represent the individual.

## SUBSCRIPTION FORM

### (PART B) CUSTOMER CATEGORIZATION & KYC, PROFESSIONAL INDIVIDUAL



#### CUSTOMER CATEGORIZATION & KYC

The Fund may be marketed to and is available for professional and non-professional investors in Finland, and for professional investors in Sweden. Professional investors refer to the definition set out in the markets for financial instruments directive MiFID. An individual can also apply to be treated as a professional investor by meeting two of the below requirements, and by receiving a confirmation after an assessment made by GRIT Fund Management Company that the investor understands the risks associated with this investment and that the investor is able to make independent investment decisions.

- The individual shall be treated as a professional investor by meeting **at least two** of the following size requirements:
  - the investor has carried out transactions, in significant size, on the relevant market at an average frequency of 10 per quarter over the previous four quarters, please specify how many: \_\_\_\_\_ quarterly,
  - the size of the investor's financial instrument portfolio exceeds EUR 500 000,
  - the investor works or has worked in the financial sector for at least one year in a professional position, which requires knowledge of the transactions or services envisaged. Please describe in brief below

GRIT Fund Management Company is obliged to - based on legislation on anti-money laundering and the prevention of terrorism financing - know its customers and find out the origin of clients' assets that are used in the investment activity. Please complete the following:

Estimated annual income (gross)

- < 35 000 €     35 000 – 100 000 €     > 100 000 €

Economic commitments annually (e.g., amortization of loan)

- < 20 000 €     20 000 – 50 000 €     > 50 000 €

Net worth (assets - liabilities)

- 0 – 10 000 €                       500 000 – 1 000 000 €  
 10 000 – 100 000 €             > 1 000 000 €  
 100 000 – 500 000 €

Origin of the invested assets

- Salary                                       Gift  
 Capital income                           Investments  
 Heritage                                       Other, please specify:

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Is the investment made on behalf of another person or entity?

- No  
 Yes: Name and social security number / business ID:

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Investment objective

- General investment purpose, to generate profit  
 Long-term savings  
 Speculative purposes  
 Diversifying my portfolio  
 Other, please specify: \_\_\_\_\_

**Asia Growth Capital Management AB**

Birger Jarlsgatan 10, 5tr, SE-114 34 Stockholm, Sweden | Organization number: 556950-9622 | www.agcm.se | Tel: +46 8 403 745 00

**GRIT Fund Management Company Ltd**

Pitkätatu 34 C, FI-65100 Vaasa, Finland | Business ID: 1830022-0 | www.gritfundservices.fi | Tel: +358 20 7613 350 | Email: fundadmin@gritfundservices.fi

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### (PART B) CUSTOMER CATEGORIZATION & KYC, PROFESSIONAL INDIVIDUAL



#### DATA PROTECTION

GRIT Fund Management Company processes your personal data to provide you with fund investment services, to manage its client relations with you and to comply with its regulatory requirements. Personal data is processed according to applicable laws. Before making a subscription to a fund, we would like to kindly ask you to familiarize yourself with the data protection policy, which is also available at [www.gritfundservices.fi/privacy](http://www.gritfundservices.fi/privacy). The policy contains further information on how the Fund Management Company processes its client's personal data, what rights the registered data subjects have and how they can exercise their rights.

#### CLIENT'S SIGNATURE

I have familiarized myself with or I have had the opportunity to familiarize myself with the key investor information document, the prospectus and the fund rules. I acknowledge and accept that I am not subject to investor protection according to all procedural framework or the compensation fund for investors due to my categorization as a professional customer. I hereby confirm that the information we have provided is correct and I undertake to notify GRIT Fund Management Company of any future changes.

Place and date	Place and date
Signature and printed name	Signature and printed name

#### GRIT FUND MANAGEMENT COMPANY LTD'S CONFIRMATION OF CUSTOMER CATEGORIZATION

We confirm that the client wishes to be treated as a professional investor on the client's own request. As a result of the obtained information and the knowledge about the client, we assess that the client is able to make independent investment decisions and that the client understands the risks associated with this investment. We have notified the client in writing that by categorizing as a professional investor, the client is no longer subject to investor protection according to all procedural framework that refers to investment services, nor is the client subject to the compensation fund for investors.

Time and place	Time and place
Signature and printed name	Signature and printed name

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## SUBSCRIPTION FORM

### (PART C) SELF CERTIFICATION (FATCA & CRS), PROFESSIONAL INDIVIDUAL



All Finnish financial institutions, including fund management companies, are required to collect and report, as requested certain information about their clients, such as the country of tax residency of the client to local competent authorities. This obligation is based on common reporting standard of the OECD, FATCA laws of the USA and local legislation. Financial institutions are required by FATCA to identify persons that are reporting to the USA.

If you are tax resident in another state than Finland and that state is participating in the international exchange of taxation information under CRS or FATCA regulative framework, GRIT Fund Management Company Ltd is obligated to convey information given on this self-certification form to third parties, including the Finnish tax authority, and annually declare to the Finnish tax authority all financial accounts (including those relating to fund units) you may hold directly or indirectly to fulfil its obligations.

**This form shall be used by private persons and private entrepreneurs (non-legal entity) for the disclosure of FATCA and CRS related information. Please complete all sections, including date and signature.**

#### Part 1. Client's information

Social security number	Last name, first name	Nationality
Address		Domicile
Postal code	City	

#### Part 2. Country of tax residency

Please provide information on all the countries in which you are a tax resident. Also provide your local Taxpayer Identification Number (TIN) if the country issues such numbers. Should you have any questions regarding the determination of a country of tax residence, please contact your tax advisor or local tax authorities.

Country of tax residency	Taxpayer Identification Number (TIN) or equivalent	<input type="checkbox"/> Country does not issue a TIN/equivalent
Country of tax residency	Taxpayer Identification Number (TIN) or equivalent	<input type="checkbox"/> Country does not issue a TIN/equivalent

#### Part 3. FATCA status

You are generally considered to have tax residency in the United States, if you were born in the U.S., you are a U.S. Citizen (including those with dual citizenships), you are a holder of a valid "U.S. Resident permit" or have a valid work permit ("Green Card").

- A  I confirm that I am a tax resident of the United States, and that I have stated U.S as one of the countries in the section above and I have provided my local TIN in the section above.
- B  I confirm that **I am not** a U.S. citizen or resident in the U.S for tax purposes.

#### Part 4. Confirmation and signature

I confirm that the information given on this form is, to the best of my knowledge and belief, accurate and complete. I undertake to submit to GRIT Fund Management Company Ltd ("GRIT") upon request any such documents and information as necessary in order for GRIT to fulfill its obligations under the FATCA and CRS regulations. I further undertake to provide GRIT with an updated Self-Certification form within 30 days where any change in circumstances occurs which causes any of the information contained in this form to be inaccurate or incomplete. Where legally obliged to do so, I hereby consent to GRIT sharing this information with the relevant tax authorities.	
Time and place(dd.mm.yyyy)	
Signature of the investor or natural/legal guardian	Printed name

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