



# VECTOR

Luxembourg open-ended investment company (SICAV)  
"the Fund"

Trade register No.: R.C. Luxembourg 88.004  
Registered office: 20 Boulevard Emmanuel Servais - L-2535 Luxembourg

49450  
Ed: November  
2010

## INVESTOR PACK

### A) THE SUBSCRIPTION

**You can invest in the Fund in two ways:**

- The simplest method is the subscription via your regular financial intermediary:

**SUBSCRIPTION ORDER FORM** \_\_\_\_\_ **OS**

- The second method is to invest via the Fund or the Registrar and Transfer Agent of the Fund ("the Agent") :

**SUBSCRIPTION FORM** \_\_\_\_\_ **FS**

The documents required for a direct investment with the Fund or the Agent of the Fund are mentioned on page 3.

### B) OTHER INSTRUCTIONS:

**CONVERSION FORM** \_\_\_\_\_ **FC**

**TRANSFER FORM** \_\_\_\_\_ **FT**

**REDEMPTION FORM** \_\_\_\_\_ **FR**

**IDENTIFICATION DOCUMENT FOR INSTITUTIONAL INVESTORS** \_\_\_\_\_ **II**

*Bankers and financial professionals are invited to use the order forms indicated on page 3. The Agent will recontact them in order to obtain any other document if necessary.*

**SUBSCRIPTION ORDER FORM  
TO BE SENT TO YOUR FINANCIAL INTERMEDIARY**

The Fund and its Agent favour subscriptions made via your regular financial intermediary using this OS form. This form must not be used for subscriptions sent directly to the Fund or its Agent.

**1. My details**

Full name or company name: \_\_\_\_\_

Address: \_\_\_\_\_

Postal code: \_\_\_\_\_ City: \_\_\_\_\_ Country: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_ Email: \_\_\_\_\_

Name of my account with your establishment: \_\_\_\_\_

IBAN account number: \_\_\_\_\_

**2. My request**

I hereby request that you subscribe to the following shares, in your name and for my account, with the Agent of VECTOR:

VECTOR  
Luxembourg open-ended investment company (SICAV)  
Trade register No.: R.C. Luxembourg 88.004  
Registered office: 20 Boulevard Emmanuel Servais - L-2535 Luxembourg

Agent: BANQUE PRIVÉE EDMOND DE ROTHSCHILD EUROPE  
20 Boulevard Emmanuel Servais - L-2535 Luxembourg -  
Tel: (352) 24 88 2774 – Swift : PRIBLULL– Fax: (352) 24 88 8617

NAMES OF SUB-FUNDS AND CLASSES AVAILABLE FOR SUBSCRIPTION	CURRENCY	NUMBER OF WHOLE SHARES SUBSCRIBED	AMOUNTS SUBSCRIBED (Only registered shares)
VECTOR – FLEXIBLE C 1 (Capitalisation) ISIN: LU0558384458	EUR	Or	

I confirm that I have read the full and simplified prospectuses of VECTOR FUND and the latest financial reports which are available on the following webpage under VECTOR FUND:

[www.lcf-rothschild.lu/webapp/fichescomm/](http://www.lcf-rothschild.lu/webapp/fichescomm/)

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

Signature: \_\_\_\_\_

Full name (in capital letters) of the Investor or representative of the company and his/her position



# VECTOR

Luxembourg open-ended investment company (SICAV)  
"the Fund"

Trade register No.: R.C. Luxembourg 88.004  
Registered office: 20 Boulevard Emmanuel Servais - L-2535 Luxembourg

49450  
Ed: November  
2010

## IDENTIFICATION DOCUMENTS

**The Fund and its Agent favour subscriptions made via your regular financial intermediary using the OS-49450 form. If however, the Investor prefers to subscribe directly, the following documents and information must be provided to the Fund and the Agent.**

**First-time application: the following registration documents and order forms are required.**

	Natural Person	Legal Entity
Registration documents	PP Pack	PM Pack
Investor Profile	PP-49450	PM-49450
Certified copy of the Identity card/Passport of the Investor	✓	-
Balance sheet	-	✓
Certified copy of the Articles of Association	-	✓
Certified confirmation of registration on Trade and Companies Register	-	✓
List of authorised signatures	-	✓
Certified copy of the Identity card/Passport of representatives of the investor	-	✓
Certified copy of the Identity card/Passport of beneficial owner	Where applicable	Where applicable
And either :		
• Confort letter from parent company from a FATF country	-	CL-49450
Or		
• Declaration completed by each beneficial owner	-	PP-49450 where applicable
Order forms		
Subscription form	FS-49450	FS-49450 (+ II 49450 if institutional sub-fund if applicable)
Transfer form <sup>1</sup>	FT-49450	FT-49450
Conversion form	FC-49450	FC-49450
Redemption form	FR-49450	FR-49450

**For all subsequent operations, only the relevant transaction form is required.**

**The PP or PM identification packs should only be submitted if the information that has been submitted at the time of subscription has been changed.**

In accordance with anti-money laundering legislation, the Fund and/or the Agent acting on behalf of the Fund shall verify the identity of an investor, the origin of sums invested or the beneficiary of redemption proceeds either at the time of subscription, for the entire holding period and at the time of redemption, payment of dividends or transfers. If the investor delays, or fails to produce the aforementioned documents or required information, the subscription/redemption and the payments relative to them as well as the transfer may be refused. The Fund and/or the Agent reserve the right to request all and any additional information. In addition, the Investor undertakes to inform the Fund and the Agent of any changes to his/her personal data.

<sup>1</sup> If the transferee is not an existing shareholder, the registration documents of the transferee must be submitted at the time of transfer.



# VECTOR

Luxembourg open-ended investment company (SICAV)  
"the Fund"

Trade register No.: R.C. Luxembourg 88.004  
Registered office: 20 Boulevard Emmanuel Servais - L-2535 Luxembourg

PP-49450  
Ed: November  
2010

## PROFILE OF A NATURAL PERSON

(Individual form to be completed by each Investor, holder of the inspection right or beneficial owner)

### A. Identification

	Investor	Spouse
Full name		
Place and date of birth		
Nationality		
Civil status		
Prenuptial agreement		
Address		
Email address		
Telephone		
Fax		
Tax ID number		
Identity card No.		

### Children

(Full name, date of birth)

---

---

---

### Contact Person (in case of death, serious incapacity or lack of contact for more than 2 years)

(Full name, address, telephone, fax, email address)

---

---

---



# VECTOR

Luxembourg open-ended investment company (SICAV)  
"the Fund"

Trade register No.: R.C. Luxembourg 88.004  
Registered office: 20 Boulevard Emmanuel Servais - L-2535 Luxembourg

PP-49450  
Ed: November  
2010

## B. Investor Profile

- Investment horizon (how long do you intend to keep this investment ?)  < 3 years  3-5 years  > 5 years  
Level of financial knowledge  Very good  Average  Poor

## C. Custody for a third party account

If the investor is a notary, lawyer or other professional whose normal activity involves the custody of third party funds, is he investing the assets for their own account or for the account of a third party?

- for their own account  for a third party account (in which case the third party is required to complete the PP or PM forms where applicable)

## D. Did or does the Investor/beneficial owner hold office or a public position<sup>2</sup>? (

- yes  non

If yes, position and location: \_\_\_\_\_ (period: \_\_\_\_\_)

## E. Correspondence

Frequency with which the statements are required

- Monthly  Quarterly  Semi-annually  Annually

If no preference is indicated, statements will be sent annually.

Language:

- English  French  Spanish  German  Dutch  Portuguese

Method of dispatch:

- Post Address as indicated above or \_\_\_\_\_  
 Fax No.: \_\_\_\_\_  
 Swift Swift address: \_\_\_\_\_

## F. Right to inspection

I, the investor, hereby expressly grant \_\_\_\_\_, an unlimited right to inspect all data concerning me and/or relative to my subscription, including data stored by the Fund or its Agent, and I expressly instruct the Fund or its Agent to send him/her a copy of the confirmation of subscription and statements of assets:

**The holder of the right to inspection must complete a profile form (PP).**

<sup>2</sup> Any person, appointed or elected, holding a legislative, administrative or judicial position in a foreign country or any person holding a public position representing a foreign country, company or a public body and any employee or agent of an international public organisation is likely to be targeted under the OECD Agreement on fighting corruption of foreign public officials in international business transactions.



# VECTOR

Luxembourg open-ended investment company (SICAV)  
"the Fund"

Trade register No.: R.C. Luxembourg 88.004  
Registered office: 20 Boulevard Emmanuel Servais - L-2535 Luxembourg

PP-49450  
Ed: November  
2010

## G. Financial situation <sup>1</sup>

### G1. Profession (current and previous if relevant)

Status:

- Employee
  Self-employed
  Company Director

Position in the Company: \_\_\_\_\_

Name/Address of employer/company: \_\_\_\_\_

Company activity: \_\_\_\_\_

Information about the company (Sales volume in latest financial year, number of employees...): \_\_\_\_\_

Annual personal income generated through professional activity (€): \_\_\_\_\_

Additional Information: \_\_\_\_\_

### G2 Total current assets

TYPE OF ASSETS	Estimated capital (€)	Estimated annual income (€)
Securities		
Real estate		
Insurance policies		
Artworks/ Miscellaneous		
Additional information		

Source of wealth (please describe in detail the economic source of the funds or how you acquired them and attach copies of any useful supporting documentation)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

<sup>1</sup> This information is required legally in the context of the « Know your Customer » procedures



# VECTOR

Luxembourg open-ended investment company (SICAV)  
"the Fund"

Trade register No.: R.C. Luxembourg 88.004  
Registered office: 20 Boulevard Emmanuel Servais - L-2535 Luxembourg

PP-49450  
Ed: November  
2010

## H. Reasons for entering into a business relationship with the Fund or Agent <sup>1</sup>

---

---

## I. Please attach any other useful information available that may support the reasons for a future relationship

---

---

## J. Protection of personal data

The personal data requested above must be transmitted in order to proceed with the subscription. Should the investor refuse to communicate it, the Fund or its Agent will refuse the subscription.

Personal data concerning the investor (relating mainly to his/her identity, address, personal and marital status), specific information concerning his/her assets and transactions carried out on his/her behalf, may be recorded in one or several databases of the Fund or the Agent in accordance with applicable legislation. Under this legislation, the Fund or the Agent may outsource the processing and storage of this data. The investor expressly authorises the Fund or its Agent to collect and process personal data relating to him/her as described in this clause. The investor may make a written request to consult the data concerning him/her and to rectify any inaccuracies in this data. The Fund or its Agent may record or process the investor's personal data for the purpose of managing the registration of the investment funds, carrying out transactions instructed by the investor, managing contractual relations and in general for the purpose of carrying out their obligations and improving the services provided to the investor.

## K. Beneficial ownership

The Investor :

- Declares to be the beneficial owner of the subscription and that the funds invested do not and will not directly or indirectly derive from unlawful or criminal activity.
- Declares that the beneficial owner is/are the person(s) designated below and that, at his best knowledge, the funds invested do not and will not directly or indirectly derive from unlawful or criminal activity.

Beneficial owner (s)	
Full name	
Place and date of birth	
Address	

The Investor hereby undertakes to inform the Fund or the Agent immediately if and when the person designated as the beneficial owner changes. **This document must be accompanied by a form (PP), completed by the beneficial owner.**

Date and signature of the investor:

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

**Please note that the Fund or the Agent may contact you for any additional information.**

<sup>1</sup> This information is required legally in the context of the « Know your Customer » procedures



# VECTOR

Luxembourg open-ended investment company (SICAV)  
"the Fund"

Trade register No.: R.C. Luxembourg 88.004  
Registered office: 20 Boulevard Emmanuel Servais - L-2535 Luxembourg

PM-49450  
Ed: November  
2010

## INVESTOR PROFILE FOR A LEGAL ENTITY

(individual form to be completed by each Investor)

### A. Identification of Investor

Company name: _____		
Registered office: _____		
If the Investor is domiciled through a Luxembourg domiciliary agent, please provide the name and address of the domiciliary agent: _____		
The Investor confirms that the aforementioned domiciliary agent has legal capacity as: (please tick where applicable)	<input type="checkbox"/> Credit institution or other finance professional <input type="checkbox"/> Insurance professional <input type="checkbox"/> Lawyer	<input type="checkbox"/> Certified auditor <input type="checkbox"/> Certified accountant <input type="checkbox"/> Approved paying agent
Ownership (please identify the main shareholders of the Company):		
Incorporation date:	Place of incorporation:	
Trade Register No.:	VAT No.:	
Tax ID No.:		
<b>Representatives</b>	<b>A</b>	<b>B</b>
Full name:		
Position:		
Place and date of birth:		
Nationality:		
Address:		
Telephone:		
Identity card or passport number:		

Contact person for queries if different to above:

(Full name, address, telephone, fax, email address)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_





# VECTOR

Luxembourg open-ended investment company (SICAV)  
"the Fund"

Trade register No.: R.C. Luxembourg 88.004  
Registered office: 20 Boulevard Emmanuel Servais - L-2535 Luxembourg

PM-49450  
Ed: November  
2010

## B. Correspondence

Frequency with which Statements are required:

- Monthly                       Quarterly                       Semi-annually                       Annually

If no preference is indicated, statement will be sent annually.

Language:

- English                       French                       Spanish                       German                       Dutch                       Portuguese

Method of dispatch:

- Post                      Address as indicated above, or \_\_\_\_\_  
 Fax                      No.: \_\_\_\_\_  
 Swift                      Swift address: \_\_\_\_\_

## C. Right of inspection

The Investor hereby expressly grants \_\_\_\_\_ an unlimited right to inspect all the data relative to it, including those stored by the Fund or its Agent, and expressly instruct the Fund or its Agent to send it a copy of the confirmation of subscription and statements of assets:

**The holder of the right to inspection must complete a profile form (PP or PM).**

## D. Financial situation (to be completed if no annual report is provided) <sup>1</sup>

<b>Activity and scope of business</b>			
Description of current activity:			
Description of previous activity (if relevant):			
Number of staff:			
<b>Financial position (in € millions)</b>			
Capital:		Sales:	
Balance sheet total:		Earnings:	

## E. Reasons for entering into a business relationship with the Fund or the Agent <sup>1</sup>

\_\_\_\_\_

\_\_\_\_\_

<sup>1</sup> This information is required legally in the context of the « Know your Customer » procedures



# VECTOR

Luxembourg open-ended investment company (SICAV)  
"the Fund"

Trade register No.: R.C. Luxembourg 88.004  
Registered office: 20 Boulevard Emmanuel Servais - L-2535 Luxembourg

PM-49450  
Ed: November  
2010

## F. Protection of personal data

The personal data requested above must be transmitted in order to proceed with the subscription. Should the investor refuse to communicate it, the Fund or its Agent will refuse the subscription.

Personal data concerning the investor, specific information concerning its assets and transactions carried out on its behalf, may be recorded in one or several databases of the Fund or the Agent in accordance with applicable legislation. Under this legislation, the Fund or the Agent may outsource the processing and storage of this data. The investor expressly authorises the Fund or its Agent to collect and process personal data relating to him/her as described in this clause. The investor may make a written request to consult the data concerning it and to rectify any inaccuracies in this data. The Fund or its Agent may record or process the investor's personal data for the purpose of managing the registration of the investment funds, carrying out transactions instructed by the investor, managing contractual relations and in general for the purpose of carrying out their obligations and improving the services provided to the investor.

## G. Beneficial ownership

The Investor :

- Declares to be the beneficial owner of the subscription and that the funds invested do not and will not directly or indirectly derive from unlawful or criminal activity.
- Declares that the beneficial owner is/are the person(s) designated below and that the funds invested do not and will not directly or indirectly derive from unlawful or criminal activity.

Beneficial owner (s)	
Full name	
Place and date of birth	
Address	

The Investor hereby undertakes to inform the Fund or the Agent immediately if and when the person designated as the beneficial owner changes.

**This document must be accompanied by a form (PP), completed by the beneficial owner.**

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

Represented by : \_\_\_\_\_

Signature (s): \_\_\_\_\_

Name \_\_\_\_\_

**Please note that the Fund or the Agent may contact you for any additional information.**



# VECTOR

Luxembourg open-ended investment company (SICAV)  
"the Fund"

Trade register No.: R.C. Luxembourg 88.004  
Registered office: 20 Boulevard Emmanuel Servais - L-2535 Luxembourg

FS-49450  
Ed: November  
2010

## SUBSCRIPTION FORM

To be sent to the Agent: BANQUE PRIVÉE EDMOND DE ROTHSCHILD EUROPE  
20 Boulevard Emmanuel Servais - L-2535 Luxembourg -  
Tel: (352) 24 88 2774 – Swift : PRIBLULL– Fax: (352) 24 88 8617

### 1. Details of the Investor(s) (to be used for all communication)

1. Full name or company name: \_\_\_\_\_

2. Full name or company name (\*): \_\_\_\_\_

(\* In the case of joint Investors, all Investors must sign the present subscription form. However, the Fund shall only recognise the person appointed to exercise the rights relative to each of the shares of the Fund. With the exception of an objection by the Board of Directors, the person appointed to exercise these rights shall be the person whose name appears first on the present subscription form.

Agent client reference number (appearing on the confirmation of subscription for existing Investors who have already subscribed via the Agent): \_\_\_\_\_

### 2. Official address

Address: \_\_\_\_\_

Postal code: \_\_\_\_\_ City: \_\_\_\_\_ Country: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_ Email: \_\_\_\_\_

### 3. Sub-fund selection

#### 3.1. Selection

NAMES OF SUB-FUNDS AND CLASSES AVAILABLE FOR SUBSCRIPTION	CURRENCY	NUMBER OF WHOLE SHARES SUBSCRIBED	Or	AMOUNTS SUBSCRIBED	DELIVERY (see point 3.2 below)	
					R. Registered shares	C. Shares delivered via a clearing system
VECTOR – FLEXIBLE C1 (Capitalisation) ISIN: LU0558384458	EUR		or			

#### 3.2. Delivery

##### a) Delivery of registered shares

By selecting R from the table above, I understand that physical certificates shall not be issued for registered shares. Instead, the Agent shall enter an order confirmation in the shareholders' register, which is held at the registered office of the Agent. Confirmation of shares recorded in the shareholders register shall be sent to the shareholder within the time limit specified in the prospectus.



# VECTOR

Luxembourg open-ended investment company (SICAV)  
"the Fund"

Trade register No.: R.C. Luxembourg 88.004  
Registered office: 20 Boulevard Emmanuel Servais - L-2535 Luxembourg

FS-49450  
Ed: November  
2010

## b) Delivery via a clearing system

By selecting C from the table above, I request the delivery of my shares via a clearing system and the registration of the subscription in the name of the clearing system or its custodian according to the details below:

Name of clearing establishment: \_\_\_\_\_

Country: \_\_\_\_\_ Account name: \_\_\_\_\_ Account number: \_\_\_\_\_

In the case b) the name of the shareholder shall not appear on the register.

## 4. Bank details of Investor

Details of the bank through which subscription payments shall be made. The proceeds of redemptions, and where applicable, dividends, shall be transferred to the same account.

Account name: \_\_\_\_\_ Account number: \_\_\_\_\_

Name of bank: \_\_\_\_\_ Swift code: \_\_\_\_\_

Address: \_\_\_\_\_ Postal code: \_\_\_\_\_

City: \_\_\_\_\_ Country: \_\_\_\_\_

Intermediary bank involved in the payment: \_\_\_\_\_

Swift code: \_\_\_\_\_ Country: \_\_\_\_\_

## 5. Bank details of the fund custodian

The total amount payable for subscriptions shall be transferred in favour of Banque Privée Edmond de Rothschild Europe via its correspondent bank in the currencies given below. The Investor's remitting bank must indicate the Investor's name and the name of the fund concerned when making a payment to the correspondent bank of Banque Privée Edmond de Rothschild Europe. Payments by cheque are not accepted.

CURRENCY	CORRESPONDENT BANK	ACCOUNT NUMBER	SWIFT
EUR	DEXIA BANQUE INTERNATIONALE A LUXEMBOURG	LU94 0022 4298 7002 9400	BILLULL



# VECTOR

Luxembourg open-ended investment company (SICAV)  
"the Fund"

Trade register No.: R.C. Luxembourg 88.004

Registered office: 20 Boulevard Emmanuel Servais - L-2535 Luxembourg

FS-49450  
Ed: November  
2010

## Declarations and Signature

As Investor, I hereby expressly declare and approve the following:

- 1) I have read a copy of the latest Prospectus of the Fund and have received a copy of the latest available financial reports. I am fully aware of and understand the financial risks associated with a subscription to the Fund and I accept that market fluctuations may lead to a loss of all or part of my capital. However, I confirm that this investment is appropriate for my needs.
- 2) The present subscription order is binding on me. However, I understand that the Fund or its Transfer Agent may reject this subscription order in full or in part without having to justify its decision and that the Fund or its Transfer Agent has the right to request and obtain information, documents or other items for the purpose of identifying the beneficiary of this subscription as well as any document that the Fund may consider necessary to enable it to meet its legal and regulatory obligations and to maintain its relationship with me. In particular, I confirm that I meet all the conditions of eligibility. The Fund is authorised to request a compulsory redemption at the redemption price of the day in question. I shall be obliged to compensate the Fund for any possible losses incurred. The subscription order may be deferred until the next valuation date following the date on which the Fund or its Agent has received all the information concerning myself in a form satisfactory to the Fund or its Agent. Where necessary, any payment made before the formal acceptance of the subscription shall be deposited in a non interest-bearing account.
- 3) I agree to transfer under good value date the correct subscription amount in the correct currency. I understand that in the case of non-payment of the correct subscription amount under good value date, the subscription may be cancelled and the Fund shall bear the costs of such a cancellation. The Fund may therefore take repeated judicial or non-judicial action against me or any representative as a result of non-payment.
- 4) The present subscription form may be sent by post or fax and the subscription orders may be sent by Swift. The Fund or its Agent shall not be held responsible for the acceptance of a subscription order sent by fax. I undertake to forward immediately the original subscription form to the Fund or its Agent by express or priority mail at my own expense. The Fund or its Agent may refuse any subscription order received or cancel any subscription orders accepted by fax, if the original subscription form does not reach them within five working days following the appropriate valuation date. The absence of the original may not be used against the Fund or its Agent. The Investor agrees to compensate the Fund for any losses resulting from the cancellation of a subscription.
- 5) The Fund or its Agent shall communicate all correspondence to me at my own risk by ordinary post or by registered post if the laws and regulations of Luxembourg deem it necessary, to the address indicated on the present subscription form (or to any other address which I may notify the Fund or its Agent in the future). I accept that all correspondence sent by the Fund or its Agent is considered as being valid from the time it has been sent to the aforementioned address, the presumed date of dispatch being the date appearing on the copy (or the dispatch list) kept by the Fund or its Agent.
- 6) Any requests or complaints that I may have relative to any transaction of the Fund shall be sent in writing to the Fund or its Agent.
- 7) The Fund and its Agent compare the signatures sent to them with the specimens held at their offices without having to proceed with a more detailed investigation. With the exception of legally binding regulations, the Fund and its Agent only declare an obligation of means and are only liable in the case of gross misconduct.
- 8) Once the signature complies at first glance with the specimens held at their offices, the Fund or its Agent shall not be held responsible for any damages caused by the fact that the signatures on the instructions given to the Fund or its Agent are fraudulent. The Fund or its Agent may trust the signature below without having to proceed with a more detailed investigation and decline all responsibility for damages that could result from the absence of any legitimization or any undetected forgery.
- 9) Without prejudice to the above, the Fund and its Agent are not liable for damages which may be directly or indirectly caused by the lack of authenticity or validity of the authorisations which refer to me or third parties with the legal capacity to act on my behalf.
- 10) The Fund or its Agent reserve the right to refuse to process an instruction from any person whose identity and permissions have not been sufficiently established in the eyes of the Fund or its Agent.
- 11) The Fund or its Agent shall not be responsible for damages caused in the event of my legal incapacity or third party authorised to act on my behalf, provided the Fund or its Agent has not received prior written notice of the fact.
- 12) I shall compensate and reimburse the Fund or its Agent for all complaints, claims, legal action, fees, expenses, damages, losses or other sums paid or responsibilities incurred by the Fund or its Agent resulting from the execution by the Fund or its Agent of an instruction on my part.



# VECTOR

Luxembourg open-ended investment company (SICAV)  
"the Fund"

Trade register No.: R.C. Luxembourg 88.004

Registered office: 20 Boulevard Emmanuel Servais - L-2535 Luxembourg

FS-49450  
Ed: November  
2010

- 13) The Fund or its Agent are permitted to record telephone conversations with the Fund or its Agent, which shall serve as evidence in the case of disagreement. The absence of recordings of telephone conversations may not be used against the Fund or its Agent.
- 14) The present subscription form as well as all orders resulting from it are exclusively governed by Luxembourg law and all disputes shall be referred to the competent Luxembourg court. However, I acknowledge that the Fund or its Agent may take legal action before another court which would have been qualified if the aforementioned jurisdiction had not been chosen, in particular within the jurisdiction of my area of residence or of that of the Agent or approved intermediary.
- 15) I understand that the personal data requested above must be transmitted in order to proceed with the subscription. Should I refuse to communicate it, the Fund or its Agent will refuse the subscription. I understand that my personal data (relating mainly to my identity, address, personal and marital status), specific information concerning my assets and transactions carried out on my behalf, may be recorded in one or several databases of the Fund or the Agent in accordance with applicable legislation. Under this legislation, the Fund or the Agent may outsource the processing and storage of this data. I expressly authorise the Fund or its Agent to collect and process personal data relating to me as described in this clause. I understand that I can consult the data concerning me and rectify any inaccuracies in this data. The Fund or its Agent may record or process my personal data for the purpose of managing the registration of the investment funds, carrying out my transactions, managing contractual relations and in general for the purpose of carrying out their obligations and improving the services provided to me.

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

Signature: \_\_\_\_\_

Full name (in capital letters) of the Investor or representative of the company and his/her position

With his/her signature, the Investor expressly and specifically accepts the limits of responsibility in favour of the Fund stipulated in the paragraph Declarations and Signature.

Signature: \_\_\_\_\_

Full name (in capital letters) of the Investor or representative of the company and his/her position



# VECTOR

Luxembourg open-ended investment company (SICAV)  
"the Fund"

Trade register No.: R.C. Luxembourg 88.004  
Registered office: 20 Boulevard Emmanuel Servais - L-2535 Luxembourg

FC-49450  
Ed: November  
2010

## CONVERSION FORM

To be sent to the Agent: BANQUE PRIVÉE EDMOND DE ROTHSCHILD EUROPE  
20 Boulevard Emmanuel Servais - L-2535 Luxembourg -  
Tel: (352) 24 88 2774 – Swift : PRIBLULL– Fax: (352) 24 88 8617

### 1. Shareholder(s) details

Full name or company name: \_\_\_\_\_

Agent client reference number (appearing on the confirmation of subscription for Investors who have already subscribed via the Agent): \_\_\_\_\_

### 2. Official address

Address: \_\_\_\_\_

Postal code: \_\_\_\_\_ City: \_\_\_\_\_ Country: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_ Email: \_\_\_\_\_

### 3. Selection of class redeemed

NAMES OF SUB-FUNDS REDEEMED	CURRENCY	NUMBER OF SHARES TO BE CONVERTED	AMOUNTS TO BE CONVERTED (only registered shares)
VECTOR – FLEXIBLE C 1 (Capitalisation) ISIN: LU0558384458	EUR	or	

### 4. Selection of classes subscribed

NAMES OF SUB-FUNDS SUBSCRIBED	CURRENCY	PERCENTAGE	AMOUNTS SUBSCRIBED	DELIVERY	
				R = Registered shares	C = Shares delivered via a clearing system
	EUR	or		R.	C.
	EUR	or			
	EUR	or			

#### Delivery of registered shares

Converted shares shall be recorded in the shareholders' register of the Fund, except where otherwise stated.



# VECTOR

Luxembourg open-ended investment company (SICAV)  
"the Fund"

Trade register No.: R.C. Luxembourg 88.004

Registered office: 20 Boulevard Emmanuel Servais - L-2535 Luxembourg

FC-49450  
Ed: November  
2010

## Delivery via a clearing system

By selecting C from the table above, I request the delivery of my shares via a clearing system and the registration of the conversion in the name of the clearing system or its custodian according to the details below:

Name of clearing establishment: \_\_\_\_\_

Country: \_\_\_\_\_ Account name: \_\_\_\_\_ Account number: \_\_\_\_\_

## **THIS CONVERSION ORDER IS IRREVOCABLE.**

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

Signature: \_\_\_\_\_

Full name (in capital letters) of the Investor or representative of the company and his/her position





# VECTOR

Luxembourg open-ended investment company (SICAV)  
"the Fund"

Trade register No.: R.C. Luxembourg 88.004  
Registered office: 20 Boulevard Emmanuel Servais - L-2535 Luxembourg

FT-49450  
Ed: November  
2010

## TRANSFER FORM

**This form can be used in the case of a transfer between two investors (Part A) (hereinafter defined as "Transferor" and "Transferee") or in the case of an exchange from a type of shares to another (Part B) (registered shares to delivery in a clearing system or vice-versa) held by a same investor.**

To be sent to the Agent: BANQUE PRIVÉE EDMOND DE ROTHSCHILD EUROPE  
20 Boulevard Emmanuel Servais - L-2535 Luxembourg -  
Tel: (352) 24 88 2774 – Swift : PRIBLULL– Fax: (352) 24 88 8617

### A) Transfer to another investor (According to the prospectus conditions)

#### 1. Transferor's details

Full name or company name: \_\_\_\_\_

Address: \_\_\_\_\_

Agent client reference number (appearing on the confirmation of subscription for Investors who have already subscribed via the Agent): \_\_\_\_\_

#### 2. Transferee's Details

Full name or company name: \_\_\_\_\_

Address: \_\_\_\_\_

Postal code: \_\_\_\_\_ City: \_\_\_\_\_ Country: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_ Email: \_\_\_\_\_

Agent client reference number (appearing on the confirmation of subscription for Investors who have already subscribed via the Agent): \_\_\_\_\_

**The transferee must provide the identification documents prior to consideration of this transfer order.**

#### 3. Transfer details for registered shares

It is hereby certified that the Transferor transfers to the Transferee

\_\_\_\_\_ Share(s) of \_\_\_\_\_

Subject to the clauses and conditions of the Articles of Association of the Fund and any modifications thereof, the Transferee hereby accepts the present transfer under the same clauses and conditions.

The Transferor and the Transferee hereby confirm having separately stated the financial conditions of the transfer and request irrevocably the Fund to recognise and register the transfer by appropriate reference to this transfer declaration in the shareholders' register of the Fund.



# VECTOR

Luxembourg open-ended investment company (SICAV)  
"the Fund"

Trade register No.: R.C. Luxembourg 88.004  
Registered office: 20 Boulevard Emmanuel Servais - L-2535 Luxembourg

FT-49450  
Ed: November  
2010

## 4. Bank details of the Transferee

Payment instructions for the proceeds of redemptions and dividends if any

Account name: \_\_\_\_\_ Account number: \_\_\_\_\_

Name of bank: \_\_\_\_\_ Swift code: \_\_\_\_\_

Address: \_\_\_\_\_ Postal code: \_\_\_\_\_

City: \_\_\_\_\_ Country: \_\_\_\_\_

Intermediary bank involved in the payment: \_\_\_\_\_

Swift code: \_\_\_\_\_ Country: \_\_\_\_\_

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

Signature of the Transferor

Signature of the Transferee

Full name (in capital letters) of the Transferor or representative of the company and his/her position

Full name (in capital letters) of the Transferee or representative of the company and his/her position

## B) Exchange to another type of share (According to the prospectus conditions)

### 1. Details of the Applicant for the exchange

Shareholder name: \_\_\_\_\_

Address: \_\_\_\_\_

Agent client reference number (appearing on the confirmation of subscription for Investors who have already subscribed via the Agent): \_\_\_\_\_

The shares concerned by the transfer are:

\_\_\_\_\_ Share(s) of \_\_\_\_\_

- Registered in the shareholder's register
- Are bearer shares
- Delivered via a clearing system according to the details below:

Name of clearing establishment: \_\_\_\_\_

Country: \_\_\_\_\_ Account name: \_\_\_\_\_ Account number: \_\_\_\_\_



# VECTOR

Luxembourg open-ended investment company (SICAV)  
"the Fund"

Trade register No.: R.C. Luxembourg 88.004  
Registered office: 20 Boulevard Emmanuel Servais - L-2535 Luxembourg

FT-49450  
Ed: November  
2010

The Applicant requests :

\_\_\_\_\_ Share(s) of \_\_\_\_\_

The Registration in the shareholder's register

Or

A delivery via a clearing system

the delivery of the shares via a clearing system and the registration of the subscription in the name of the clearing system or its custodian according to the details below:

Name of clearing establishment: \_\_\_\_\_

Country: \_\_\_\_\_ Account name: \_\_\_\_\_ Account number: \_\_\_\_\_

In this case the name of the shareholder shall not appear on the register.

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

\_\_\_\_\_  
Signature of the Applicant for the exchange

\_\_\_\_\_  
Full name (in capital letters) of the applicant for the exchange or representative of the company and his/her position

## Declarations and signature related to the transfer

As transferee, I hereby expressly declare and approve the following:

- 1) I have read a copy of the latest Prospectus of the Fund and have received a copy of the latest available financial reports. I am fully aware of and understand the financial risks associated with a subscription to the Fund and I accept that market fluctuations may lead to a loss of all or part of my capital. However, I confirm that this investment is appropriate for my needs.
- 2) The present transfer order is binding on the part of the transferor and transferee; However, the Fund or its Transfer Agent may reject this transfer order in full or in part without having to justify its decision. Moreover the Fund or its Transfer Agent have the right to request information, documents or other items for the purpose of identifying me and beneficiary as well as any document that the Fund may consider necessary to enable it to meet its legal and regulatory obligations and to maintain its relationship with me. In particular, I confirm that I meet all the conditions of eligibility. The Fund is authorised to request a compulsory redemption at the redemption price of the day in question. I shall be obliged to compensate the Fund for any possible losses incurred. The transfer order may be deferred until next evaluation date following the date on which the Fund or its Agent shall have received all the information concerning me in a form approved by the Fund or its Agent.
- 3) The present transfer form may be sent by post or fax. The Fund or its Agent shall not be held responsible for the acceptance of a transfer order sent by fax. I undertake to immediately forward the original transfer form to the Fund or its Agent by express or priority mail at my own expense. The Fund or its Agent may refuse any transfer order received or cancel any transfer order accepted by fax, if the original transfer form does not reach them within five working days following the appropriate valuation date. The absence of the original may not be used against the Fund or its Agent.
- 4) The Fund or its Agent shall communicate to me at my own risk by ordinary post or by registered post if the laws and regulations of Luxembourg deem it necessary, at the address indicated on the present transfer form (or to any other address of which I could notify the Fund or its Agent at a later date). I accept that all correspondence sent by the Fund or its Agent is considered as being valid from the time it has been sent to the aforementioned address, the presumed date of dispatch being the date appearing on the copy (or the dispatch list) kept by the Fund or its Agent.



# VECTOR

Luxembourg open-ended investment company (SICAV)  
"the Fund"

Trade register No.: R.C. Luxembourg 88.004

Registered office: 20 Boulevard Emmanuel Servais - L-2535 Luxembourg

FT-49450  
Ed: November  
2010

- 5) Any requests or complaints that I may have relative to any transaction of the Fund shall be sent in writing to the Fund or its Agent.
- 6) The Fund and its Agent compare the signatures sent to them with the specimens held at their offices without having to proceed with a more detailed investigation. With the exception of legally binding regulations, the Fund and its Agent only declare an obligation of means and are only liable in the case of gross misconduct.
- 7) Once the signature complies at first glance with the specimens held at their offices, the Fund or its Agent shall not be held responsible for any damages caused by the fact that the signatures on the instructions given to the Fund or its Agent are fraudulent. The Fund or its Agent may trust the signature below without having to proceed with a more detailed investigation and decline all responsibility for damages that could result from the absence of any legitimization or any undetected forgery.
- 8) Without prejudice to the above, the Fund and its Agent are not liable for damages which may be directly or indirectly caused by the lack of authenticity or validity of the authorisations which refer to the transferor, transferee or third parties with the legal capacity to act on their behalf.
- 9) The Fund or its Agent reserve the right to refuse to process an instruction from any person whose identity and permissions have not been sufficiently established in the eyes of the Fund or its Agent.
- 10) The Fund or its Agent shall not be responsible for damages caused in the event of the legal incapacity of the transferor, transferee or third party authorised to act on his/her behalf, provided the Fund or its Agent has not received prior written notice of the fact.
- 11) I shall compensate and reimburse the Fund or its Agent for all complaints, claims, legal action, fees, expenses, damages, losses or other sums paid or responsibilities incurred by the Fund or its Agent resulting from the execution in good faith by the Fund or its Agent of an instruction on my part.
- 12) The Fund or its Agent are permitted to record telephone conversations with the Fund or its Agent, which shall serve as evidence in the case of disagreement. The absence of recordings of telephone conversations may not be used against the Fund or its Agent.
- 13) The present transfer form as well as all orders resulting from it are exclusively governed by Luxembourg law and all disputes shall be referred to the competent Luxembourg court. However, I acknowledge that the Fund or its Agent may take legal action before another court which would have been qualified if the aforementioned jurisdiction had not been chosen, in particular within the jurisdiction of my area of residence or of that of the Agent or approved intermediary.
- 14) I understand that the personal data requested above must be transmitted in order to proceed with the transfer. Should I refuse to communicate it, the Fund or its Agent will refuse the transfer. I understand that my personal data (relating mainly to my identity, address, personal and marital status), specific information concerning my assets and transactions carried out on my behalf, may be recorded in one or several databases of the Fund or the Agent in accordance with applicable legislation. Under this legislation, the Fund or the Agent may outsource the processing and storage of this data. I expressly authorise the Fund or its Agent to collect and process personal data relating to me as described in this clause. I understand that I can consult the data concerning me and rectify any inaccuracies in this data. The Fund or its Agent may record or process my personal data for the purpose of managing the registration of the investment funds, carrying out my transactions, managing contractual relations and in general for the purpose of carrying out their obligations and improving the services provided to me.

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

Signature of Transferee: \_\_\_\_\_

Full name (in capital letters) of the Transferee or representative of the company and his/her position

With his/her signature, the transferee expressly and specifically accepts the limits of responsibility in favour of the Fund stipulated in the paragraph Declarations and Signature.



# VECTOR

*Luxembourg open-ended investment company (SICAV)  
"the Fund"*

*Trade register No.: R.C. Luxembourg 88.004  
Registered office: 20 Boulevard Emmanuel Servais - L-2535 Luxembourg*

FT-49450  
Ed: November  
2010

Signature of Transferee: \_\_\_\_\_

\_\_\_\_\_  
Full name (in capital letters) of the Transferee or representative of the company and his/her position



# VECTOR

Luxembourg open-ended investment company (SICAV)  
"the Fund"

Trade register No.: R.C. Luxembourg 88.004  
Registered office: 20 Boulevard Emmanuel Servais - L-2535 Luxembourg

FR-49450  
Ed: November  
2010

## REDEMPTION FORM

To be sent to the Agent: BANQUE PRIVÉE EDMOND DE ROTHSCHILD EUROPE  
20 Boulevard Emmanuel Servais - L-2535 Luxembourg -  
Tel: (352) 24 88 2774 – Swift : PRIBLULL– Fax: (352) 24 88 8617

### 1. Shareholder(s) details

Full name or company name: \_\_\_\_\_

Agent client reference number (appearing on the confirmation of subscription for Investors who have already subscribed via the Agent): \_\_\_\_\_

Address: \_\_\_\_\_

Postal code: \_\_\_\_\_ City: \_\_\_\_\_ Country: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_ Email: \_\_\_\_\_

### 2. Sub-fund selection

NAMES OF SUB-FUNDS AND CLASSES REDEEMED	CURRENCY	NUMBER OF WHOLE SHARES REDEEMED	AMOUNTS REDEEMED ( <u>only registered shares</u> )
VECTOR – FLEXIBLE C 1 (Capitalisation) ISIN: LU0558384458	EUR	_____	_____ or _____

**This redemption request is irrevocable.**

**The proceeds of the redemption shall be paid into the bank account from which the subscription was paid. However, if this has changed, please indicate the new details below. This payment may only be executed if the identification documents required for anti-money laundering purposes have been provided in advance.**

### 3. New bank details of shareholder

Account name: \_\_\_\_\_ Account number: \_\_\_\_\_

Name of bank: \_\_\_\_\_ Swift code: \_\_\_\_\_

Address: \_\_\_\_\_ Postal code: \_\_\_\_\_

City: \_\_\_\_\_ Country: \_\_\_\_\_

Intermediary bank involved in the payment: \_\_\_\_\_

Swift code: \_\_\_\_\_ Country: \_\_\_\_\_

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

Signature: \_\_\_\_\_

Full name (in capital letters) of the Shareholder or representative of the company and his/her position



# VECTOR

Luxembourg open-ended investment company (SICAV)  
"the Fund"

Trade register No.: R.C. Luxembourg 88.004  
Registered office: 20 Boulevard Emmanuel Servais - L-2535 Luxembourg

II-49450  
Ed : November  
2010

## IDENTIFICATION DOCUMENT FOR INSTITUTIONAL INVESTORS

(FUNDS, SUB-FUNDS OR CLASSES DEDICATED TO INSTITUTIONAL INVESTORS  
IN THE MEANING OF THE LAW OF 19/7/1991, OF ART. 108 OF THE LAW OF 30/3/1988 OR ART. 129 OF THE  
LAW OF 20/12/2002)

C/o Agent: BANQUE PRIVÉE EDMOND DE ROTHSCHILD EUROPE  
20 Boulevard Emmanuel Servais - L-2535 Luxembourg -  
Tel: (352) 24 88 2774 – Swift : PRIBLULL– Fax: (352) 24 88 8617

The undersigned certify the accuracy of the following information:

### 1. Name and address of the institutional investor

---

---

---

### 2. Activity

---

---

### 3. Local supervisory authority

Please specify the name and website of your supervisory authority:

---

### 4. Subscription

Please confirm whether the subscription is made on your own behalf, or in your name but on behalf of a third party entity:

- Yes, on our own behalf.
- No, in our own name but on behalf of a third party:
- which is an institutional investor. \*
  - which is a non-institutional client managed on the basis of a discretionary management mandate. The name of such non-institutional client(s) will not appear in the Shareholder' Register of the Fund and accordingly will not have recourse to the shares of the sub-fund concerned. \*\*

*\* The investor expressly confirms by the signature of this document that the client on whose behalf it is acting is an institutional investor. Should the investor's client lose its institutional quality, the undersigned hereby undertakes to inform the Fund / Agent of such change immediately and to redeem or convert its shares as the case may be.*

*\*\* In case of a Credit Institution or other Professional of the Financial Sector subscribing to shares on behalf of clients which do not qualify themselves as institutional investors, the Fund will only issue shares to such credit institutions or other professionals of the financial sector expressly confirming by the signature of this document they have entered into a discretionary portfolio management agreement with the clients on whose behalf they are acting. In the case the discretionary management mandate is cancelled, the undersigned hereby undertakes to inform the Fund / Agent of such cancellation and to redeem or convert its shares as applicable.*



# VECTOR

Luxembourg open-ended investment company (SICAV)  
"the Fund"

Trade register No.: R.C. Luxembourg 88.004  
Registered office: 20 Boulevard Emmanuel Servais - L-2535 Luxembourg

II-49450  
Ed : November  
2010

## General Provisions

### I) Subscription conditions

Subscriptions will only be accepted if accompanied by the Identification Documents (see page 1). The Fund / Agent may request any additional information (including, but not limited to, a copy of the discretionary management mandate) in order to assess the qualification of the Investor as an institutional investor.

If the Fund / Agent considers that the Investor does not qualify as an institutional investor (see definition below) or if the Fund / Agent is unable on the basis of the documents provided by the Investor to ascertain that the Investor qualifies as an institutional investor, the Fund / Agent may at its full discretion, refuse the subscription request.

Moreover, the Commission de Surveillance du Secteur Financier ("CSSF") may require the Fund / Agent to reveal the identity of the shareholders which hold shares in the Fund, Sub-Funds or Classes reserved to institutional investors. In such case, the Fund / Agent is entitled to forward all information and documents received in relation to the relevant shareholders to the CSSF.

### II) Compulsory redemption

If it appears to the Fund that any shareholder, acting either alone or in conjunction with any other person, does not qualify as an institutional investor or if a subscription has been made on behalf of non-institutional clients on the basis of a discretionary management mandate and such mandate has been cancelled, the Fund may instruct such shareholder to sell his shares. If such shareholder fails to comply with such instruction within 30 days, the Fund may compulsorily redeem or cause to be redeemed all shares held by such shareholder at the then prevailing net asset value less redemption charges, if any.

The shareholder undertakes to indemnify the Fund or its Agent and hold the Fund or its Agent harmless against all demands, claims, actions, costs, expenses, damages, losses or other monies paid or liability incurred by the Fund or its Agent as a result of the fact that it appears that the concerned shareholder does not qualify, at any date after the subscription, as an institutional investor within the meaning of the 1991 Law.

Institutional Investor represented by:

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

Signature \_\_\_\_\_

Name \_\_\_\_\_





# VECTOR

Luxembourg open-ended investment company (SICAV)  
"the Fund"

Trade register No.: R.C. Luxembourg 88.004

Registered office: 20 Boulevard Emmanuel Servais - L-2535 Luxembourg

II-49450  
Ed : November  
2010

## INSTITUTIONAL INVESTORS

IN THE MEANING IN THE MEANING OF THE LAW OF 19/7/1991, OF ART. 108 OF THE LAW OF 30/3/1988  
OR ART. 129 OF THE LAW OF 20/12/2002

In order to ensure that the investor is an institutional investor, the Fund / Agent will examine the information as provided by the investor in order to ascertain whether the investor falls within one of the following categories:

### **Financial professionals**

This category concerns credit institutions or other professionals of the financial sector (ie supervised entity equivalent as those defined in the meaning of the Luxembourg law dated 5 April 1993 as amended), insurance companies or re-insurance companies and social security institutions.

Insurance companies may be considered as institutional investors, even if the beneficiaries of the insurance policies are private investors, provided the insurance companies remain the sole Investors of shares.

Credit institutions or other professionals of the financial sector subscribing to shares in their own name may be considered as institutional investors, even if the investment in the Fund is made on behalf of a person not qualifying as an institutional investor, provided that such person has entered into a discretionary management relationship with the relevant credit institution or other professional of the financial sector.

### **Companies having substantial assets under management**

Industrial or commercial companies having substantial assets under management and regularly acting on the financial markets may also be considered as institutional investors.

### **Holding companies**

Holding companies or similar vehicles, whether established in Luxembourg or abroad may be regarded as institutional investors, even if their own shareholders may not be regarded as being institutional investors, provided that the relevant holding companies or similar vehicles prove to have substance, in the sense that they must have their own structure and activities and hold significant financial interests.

### **Other categories of institutional investors**

Undertakings for collective investment, including pension funds organised by a company for its employees, may be considered as institutional investors, even if their own investors may not be regarded as being institutional investors. Local authorities, such as regions, provinces, cantons, municipalities, may also be considered as institutional investors.



# VECTOR

Luxembourg open-ended investment company (SICAV)  
"the Fund"

Trade register No.: R.C. Luxembourg 88.004  
Registered office: 20 Boulevard Emmanuel Servais - L-2535 Luxembourg

CL-49450  
Ed : November  
2010

## LETTER ON THE HEADED PAPER OF THE MOTHER COMPANY to be sent to Banque Privée Edmond de Rothschild Europe

Banque Privée Edmond de Rothschild Europe  
Attn: Registrar Department  
20 Boulevard E. Servais  
L – 2535 Luxembourg

Date

Dear Sir,

Further to your request, we, [name of the Mother Company], confirm that we are regulated as a [type of organisation (bank, insurance company,...)] by [name of the authority] to carry out the business of [type of activity].

We are able to confirm that:

We have issued an Anti-Money-Laundering Policy (AMLPL). This AMLPL complies with the recommendations of the Financial Action Task Force (FATF) regarding the combating of money laundering and also the special recommendations on Terrorist Financing. The AMLPL covers, among other things, customer identification procedures, establishment of beneficial ownership, reporting of suspicious relationships or suspicious account activity to the competent authorities and due diligence requirements for relationships with politically exposed persons.

We carry out checks to monitor transactions. This monitoring covers, among other things, control of the sources and destinations of funds as well as the purpose and object of transactions in order to ensure detection of any sums of money that may derive from money laundering activities and the financing of terrorism.

The application of the AMLPL by all our entities, subsidiaries and branches is controlled and supervised by our internal auditors, external auditors and regulatory authority.

Consequently, all transactions carried out through Banque Privée Edmond de Rothschild Europe by our entity [name of the subsidiary or branch of the Mother Company] comply with the above-mentioned criteria.

We hereby certify that we, [name of the Mother Company] and [name of the subsidiary or branch of the Mother Company] cannot be deemed *shell banks*<sup>1</sup> within the meaning accorded to this term under US legislation (USA Patriot Act) and that we shall not use our account held with you for the provision of services to *shell banks*.

Name(s) and position(s)  
of the authorised signatories

Signature(s) and Company's  
stamp

<sup>1</sup> A *shell bank* is defined as follows: a bank registered in a country where it has neither a physical presence (a minimum of one full-time employee) nor an actual address (other than an electronic address or simply a plaque); a bank that does not keep books on site recording its banking transactions and is not regulated by the banking authority that issued its licence to operate. Excluded from this definition are those banks belonging to a banking group that is itself regulated.