شركة وفرة للإستثمار الدولي
WAFRA INTERNATIONAL INVESTMENT CO.

Know Your Client Form - Corporate

نموذج أعرف عميلك - للشركات

Date: _____ التاريخ:

Type & No. of Portfolio/Fund: _____ نوع ورقم المحفظة/الصندوق :

Entity Details

بيانات الكيـان

Registered Name: _____ الإسم المسجل:

Registration Number: _____ رقم السجل التجاري:

Address: _____ العنوان:

Country of Incorporation: _____ بلد التأسيس: Date of Incorporation: _____ تاريخ التأسيس:

Company Main Activity: _____ النشاط الرئيسي للشركة:

Type of Entity: نوع الكيان:

☐ Sole Proprietorship ☐ مؤسسة فردية

☐ Commercial Company (Specify Type): _____ ☐ شركة تجارية (مع تحديد نوع الشركة):

Contact Details

بيانات الاتصال

Physical Address: _____ عنوان المقر:

Governorate : _____ المحافظة : City/Area : _____ المدينة/المنطقة: Country: _____ الدولة :

Fax : _____ رقم الفاكس : Tel. No.: _____ رقم الهاتف : Postal Code: _____ الرمز البريدي :

Email : _____ البريد الالكتروني :

Mailing Address (if different than above) عنوان المراسلات البريدية (اذا كان خلاف العنوان أعلاه)

Mailing Address: _____ العنوان البريدي:

P.O. Box _____ ص.ب: City: _____ المدينة:

Country: _____ البلد : Postal Code: _____ الرمز البريدي:

Preferred language ☐ Arabic ☐ English **اللغة المفضلة للمراسلات:** ☐ العربية ☐ الإنجليزية

Correspondence preference (choose one): **الطريقة المفضلة لإستلام المراسلات (إختيار واحد):**

☐ Work Address ☐ Fax ☐ Email ☐ عنوان العمل ☐ فاكس ☐ البريد الالكتروني

☐ Personally picking up all coresspondences from the company ☐ إستلام جميع المراسلات من مقر الشركة شخصياً

Client Information as per Capital Market Authority Law:

المعلومات الخاصة بالعميل حسب متطلبات قانون هيئة أسواق المال:

The estimated annual income: **الدخل السنوي التقريبي:**

_____ _____

Source of Capital : **المصدر الرئيسي لرأس المال:**

☐ Shareholders ☐ Profit / Reserves ☐ مساهمين ☐ أرباح / احتياطات

☐ Others: _____ ☐ أخرى : _____

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Investment Experience:

☐ None ☐ Limited ☐ Fair ☐ Excellent

الخبرة الإستثمارية:

☐ لا يوجد ☐ محدودة ☐ جيدة ☐ ممتازة

Investment Objective:

☐ Long Term Investment ☐ Speculation ☐ Income

☐ Growth ☐ Growth & Income

الهدف من الاستثمار:

☐ استثمار طويل الأجل ☐ مضاربة ☐ عوائد فقط

☐ نمو فقط ☐ نمو و عوائد

Client Risk Appetite:

☐ Aggressive ☐ Moderate ☐ Conservative

نسبة المخاطرة المقبولة لدى العميل:

☐ مخاطر عالية ☐ معتدل ☐ متحفظ

Details of Political Categories (if any):

If any of the beneficial owners/shareholders-ultimate beneficiaries/ authorized signatories are responsible for managing the legal entity fall under the following categories (currently or previously):

☐ Parliament Member ☐ Member of Ruling Family

☐ High Ranking Government Officials

☐ High Ranking Judicial / Politicians

☐ Senior Diplomatic Officials (Ambassador/Charge d'affaires/Consul)

☐ High Ranking Military Officers

☐ Board Member / Executive in a company owned by the government

Name of (beneficial owners / shareholders/ultimate beneficiaries/ authorized signatories that are responsible for managing the legal entity) who holds a PEP position: _____

The political position : _____

Or any of the beneficial owners / shareholders / ultimate beneficiaries/ authorized signatories are responsible for managing the legal entity are a close associate / relative till the 2nd degree for any of the above mentioned categories please specify:

Name of (beneficial owners / shareholders / ultimate beneficiaries / authorized signatories that are responsible for managing the legal entity) who is relative to PEP "till second degree": _____

Name of the PEP : _____

PEP position : _____

Relative Relationship : _____

تفاصيل المنصب السياسي (إن وجد):

Yes ☐ NO ☐

إذا كان أي من (الشركاء/المساهمين/المستفيدين الفعلين/المخولين بالتوقيع أو مسئولاً عن إدارة الشركة) يندرج تحت أي من المناصب التالية (أو كلت إليه سابقاً أو يتولي حالياً):

☐ عضو مجلس الأمة ☐ عضو في عائلة حاكمة

☐ كبار الموظفين الحكوميين

☐ كبار القضائيين / السياسيين

☐ كبار الدبلوماسيين (سفير/قائم/بأعمال/قنصل)

☐ كبار العسكريين

☐ عضو مجلس إدارة / تنفيذي في شركة مملوكة للدولة

إسم (الشريك/المساهمين/المستفيد الفعلي/المخول بالتوقيع/ أو المسؤول عن إدارة الشركة)

ذو المنصب الساسي : _____

المنصب السياسي : _____

أو في حالة إذا كان أحد وأقارب الشركاء/المساهمين/المستفيدين الفعليين/ المخولين بالتوقيع حتى الدرجة الثانية أو أحد الشركاء المقربين يندرج تحت المناصب المذكورة أعلاه:

إسم (الشريك / المساهمين / المستفيدين الفعلين / المخولين بالتوقيع / أو المسؤول عن إدارة الشركة) ذو القرابة حتى الدرجة الثانية للشخص المعرض سياسياً : _____

إسم صاحب المنصب السياسي : _____

المنصب السياسي : _____

صلة القرابة : _____

Client Bank Account Details:

Please use the following as default bank account for all transfer from Wafra International Investment Co. unless otherwise notified in writing.

تفاصيل الحسابات المصرفية للعميل :

الرجاء استخدام الحساب المصرفي أدناة لجميع التحويلات المصرفية من شركة وفرة للإستثمار الدولي لحين الإشعار الخطي بغير ذلك.

Account No. 1

Bank Name: _____

Country: _____ Branch: _____

Account No.: _____

IBAN No.: _____

Swift Code (if Available) : _____

الحساب رقم 1

اسم البنك: _____

البلـد : _____ الفـرع: _____

رقم الحساب: _____

رقم الايبان (IBAN): _____

رقم السويفت (ان وجد): _____

Account No. 2

Bank Name: _____

Country: _____ Branch: _____

Account No.: _____

IBAN No.: _____

Swift Code (if Available) : _____

الحساب رقم 2

اسم البنك: _____

البلـد : _____ الفـرع: _____

رقم الحساب: _____

رقم الايبان (IBAN): _____

رقم السويفت (ان وجد): _____

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معلـومـــات الإفصـــاح الخاصـة بقـانون الامتـثال الضـريـبي للحسابات الأجنبيـة (فاتكا):

١ – هل الشركة مسجلة أو تم تأسيسها في الولايات المتحدة؟ ☐ نعم ☐ لا

اذا كانت الاجابة بنعم يرجى تزويدنا بما يلي :

• الرقم الضريبي : _____-_____-_____

• نسخة من مستندات الشركة الصادرة من قبل حكومة الولايات المتحدة الامريكية.

٢ – هل هناك اشخاص (طبيعيون او اعتباريون) يحملون الجنسية الامريكية يمتلكون بشكل منفرد او مجمع حصة او مصلحة تتجاوز ٪ من راس مال الشركة؟

☐ نعم ☐ لا

اذا كانت الاجابة بنعم يرجى تزويدنا بكتاب رسمي تفصيلي بمعلـومات اولئـك المساهمين متضمنا الاسم ونسبة الملكية ورقم الضمان الاجتماعي / الرقم الضريبي ورقم الهاتف او وسيلة الاتصال.

Disclosure Information Regarding Foreign Account Tax Compliance Act (FATCA):

1 - Is the Company registered or incorporated in the USA? ☐ Yes ☐ No

If you answer YES above kindly provide us with the following:

• Tax ID No. _____-_____-_____

• Copy of the company incorporation documents issued by the government of the United States of America.

2 - Are any of your share holders (individuals or entities) citizens of USA that have individual or collective ownership that exceed 10% of the comapny capital? ☐ Yes ☐ No

If you answered YES above kindly provide us with an official letter detailing their name, percentage of ownership, tax ID Number, or contact details.

معلـومـــات الإفصـــاح الخاصـة باتفاقية معيار الإبلاغ المشترك

١ – هل تم تأسيس الشركة في أحد الدول واجبة الإبلاغ (المرفق رقم ١)؟

نعم ☐ لا ☐

إذا كانت الإجابة نعم، يرجى الإفادة باسم الدولة : _____

٢ – هل للشركة عنوان في أحد الدول واجبة الإبلاغ (المرفق رقم ١)؟

نعم ☐ لا ☐

إذا كانت الإجابة نعم، يرجى الإفادة بالعنوان وصندوق البريد والرمز البريدي ورقم الهاتف في الدولة واجبة الإبلاغ:

_____

_____

Disclosure Information Regarding Common Reporting Standard (CRS)

1- Is the company incorporated in a Reportable Jurisdiction (Attachment No. 1)?

Yes ☐ No ☐

If Yes, please Specify the country's name: _____

2- Does the company has an address in a Reportable Jurisdiction (Attachment No. 1)?

Yes ☐ No ☐

If Yes please fill Address, P.O Box, Postal Code & Telephone No. in the Reportable Jurisdiction:

_____

_____

المستندات الثبوتية الرسمية

مرفق طيه نسخ من المستندات التي تم الحصول عليها لإثبات هوية العميل.

١- نسخة من السجل التجاري الصادر من وزارة التجارة والصناعة (إذا كان نشاط الشركة يتطلب الترخيص من جهة حكومية أو رقابية أخرى يجب ارفاق نسخة من ذلك الترخيص).

٢- نسخة من النظام الأساسي للشركة وملاحقه وعقد التأسيس وملاحقه وأي تعديلات عليها.

٣- نسخة من البطاقة المدنية وبطاقة هوية العمل الرسمية للمدير المسؤول.

٤- نسخة من القرار الصادر بتعيين مجلس الإدارة.

٥- نسخة من قرار مجلس الإدارة الخاص بالموافقة على فتح الحساب ومنح الصلاحيات للمفوض إليهم بالتوقيع.

٦- قائمة بأسماء الأشخاص المفوض إليهم إدارة الحساب بما يتفق مع ما ورد في السجل التجاري ونسخ عن الهويات الخاصة بهم.

٧- قائمة بأسماء ملاك الشركة الواردة أسماؤهم في عقد التأسيس ونسخ عن هوية كل منهم، ويستثنى من هذا الطلب الشركات المساهمة المدرجة أسهمها في بورصة الأوراق المالية، ويتطلب في هذه الحالة تقديم قائمة بأسماء كبار الملاك في الشركة الذين يتم تحديدهم وفقا لمتطلبات الإفصاح في هذا الشأن.

• فيما يتعلق بالجهات الحكومية أو الهيئات والمؤسسات غير الهادفة الى الربح سيتم طلب رقم ١ ، ٢ ، ٥ ، ٦ من المتطلبات المذكور أعلاه.

Supporting Documents

The following indentification documents have been used to document the identity, copies have been attached herewith.

1- Copy of the Commercial license issued by the Ministry of Commerce and industry (if the company activities require a license from another government or regulatory body a copy must be attached)

2- Copy of the Articles of Association and Memorandom of Association along with any amendments.

3- Copy of the Civil ID and official work ID for the concerned manager.

4- Copy of the decision issued to appoint the Board of Directors.

5- Copy of the Board of Directors decision approving the opening of the account and appointing the authorized signatories.

6- List of authorized employees to manage the account in accordance to the commercial register, and a copy of their identification.

7- List of the company shareholders names as per the Memorandum of Association and a copy of each of their's IDs, a shareholding company that is listed on the stock exchange is exempt from this requirement, and must provide a list of their major shareholders as per the regulations in regards to ownership disclosures.

• For Government Bodies or Non-Profit organizations, documents listed in points 1,2,5, 6 above must be provided.

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Client Declarations

- I hereby declare that the particulars given hereby are true, correct and complete and that the documents submitted along with this application are genuine and may be verified for the purpose of contravention of any act, rules, regulations or any statute or legislation or any directions issued by any governmental or statutory authority from time to time.
- I hereby undertake to promptly inform Wafra International Investment Company of any changes to the information provided hereinabove and agree and accept that Wafra International Investment, their employees and representatives are not liable or responsible for any losses, costs, damages arising from any actions undertaken or activities performed by them according to information provided or caused by a delay in notifying the company of such changes.
- I hereby agree to provide any additional information / documentation that may be required by the regulatory authroties, in connection with my account with Wafra International Investment Company.
- I hereby agree that Wafra International Investment has the right to provide this form to any authorized third party organization by the Company.
- I hereby agree to authorize the Company to provide information about my account with Wafra International Investment to the Tax Authorities inside and outside of the State of Kuwait in accordance with current legislation.
- **If the client is an entity providing fund/asset management services or is an investment custodian to third parties (Financial Services companies or investment funds, etc.) we declare the following:**
  - I hereby confirm that I verify the indentity of all my clients as per the stipulated regulatory requirements.
  - I declare that I am authorized by the concerned regulatory body to provide financial services to my clients.
- I declare that will reveal my current and future membership in any of the Board of Directors/Executive Positions of the Companies listed in Kuwait Stock Exchange.

إقرارات العميل

- أقر بأن جميع المعلومات المقدمة من طرفي في هذا النموذج كاملة وصحيحة، وأن المستندات التي قدمتها مع هذا النموذج أصلية وحقيقية ويمكن التأكد منها عند الضرورة وبأنني لا أقدم هذا الطلب بقصد انتهاك أية قوانين أو قواعد أو شروط صادرة عن الجهات الحكومية أو الرقابية في اي وقت.
- أقر بأنني سوف أعلم شركة وفرة للإستثمار الدولي في حال حدوث أية تغييرات في المعلومات المقدمة في هذا النموذج وأقر وأوافق بأن شركة وفرة وموظفيها والاشخاص التابعين لها ليسوا مسؤولين قانونيا عن أية خسائر او نفقات أو تعويض بسبب أي من الأعمال أو الانشطة التي يقومون بها على أساس المعلومات المقدمة من طرفي أو بسبب تاخيري في إخطار الشركة عن أية تغييرات في تلك المعلومات.
- أوافق على تقديم أية معلومات أو مستندات اضافية قد تطلبها الجهات الرقابية فيما يخص حسابي لدى شركة وفرة أن تطلب الأمر.
- أوافق لشركة وفرة للإستثمار الدولي بتقديم هذا النموذج او اي معلومات يتضمنها هذا النموذج الى أي طرف ثالث معتمد من قبل الشركة.
- أوافق على تفويض شركة وفرة بتقديم معلومات عن حسابي الى الجهات الضريبية في دولة الكويت وخارجها وفق القوانين المعمول بها.
- **في حال كان العميل جهة تقوم بتقديم خدمة إدارة أموال الغير أو أمانة استثمار لصالح الغير (شركات خدمات مالية أو صناديق إستثمار وغيرها) فإن تلك الجهة تقر بما يلي:**
  - أقر بأنني اتحقق من هوية كافة عملائي وفقاً للقوانين والتعليمات الرقابية القائمة.
  - أقر بأنني مرخص من قبل الجهات الرقابية المحلية المختصة لتقديم خدمات مالية لعملائي.
- أتعهد بالافصاح عن عضويتي باي من مجالس إدارات/ الجهاز التنفيذي الشركات المدرجة في السوق الكويتي حاليا و مستقبلا.

Companies in which I am a member of the Board of Directors/ Executive Position

الشركات التي انا عضو في مجالس اداراتها/ الجهاز التنفيذي

	Company Name / إسم الشركة	Position / المنصب
1		
2		
3		
4		
5		

Authorized Signatory

المفوض بالتوقيع

Name: _____ الإسم: _____

Position: _____ المنصب : _____

Date: _____ التاريخ : _____ Signature: _____ التوقيع : _____

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For Office Use Only:

للإستعمال الداخلي فقط:

Portfolio Officer / Client Relations & Funds Administrations:

I, the undersigned, in my capacity as an employee of Wafra International Investment Company:

- ☐ I Certify that the client(s) was present and that his identity was verified as per the attached identifications documents, and I have witnessed their signature of these documents. Official documents have been inspected and true copies are attached.
- ☐ The authorized signatory on behalf of the client was present and confirmed that all the information in this form are accurate and complete, and a true copies of the original documents have been received.
- ☐ I confirm that the client's identity has been identified and the documents received have been verified using modern technology "Non Face-to-Face meeting". And to the best of my knowledge the identity and information provided are correct.

إقرار مسؤول المحفظة/إدارة علاقات العملاء وإدارة الصناديق:

أنا ، الموقع أدناه ، بصفتي موظفا في شركة وفرة للإستثمار الدولي:

- ☐ أقر بأن العميل حضر أمامي وتم إثبات شخصيته بموجب المستندات الرسمية المرفقة وقام شخصياً بالتوقيع أمامي. تم التأكد من أصل المستندات ومرفق صورة طبق الاصل.
- ☐ حضر أمامي المخول بالتوقيع عن العميل (المفوض بالتوقيع، وكيل، وصي، الخ....) وأقر بأن المعلومات المقدمة على هذا النموذج صحيحة وكاملة، وتم استلام نسخ من أصل المستندات الرسمية ذات الصلة.
- ☐ أقر بأنه قد تم التحقق من هوية العميل ومطابقة مستنداته باستخدام الوسائل الالكترونية الحديثة "عدم الحضور"، وإلى حد علمي فإن هوية العميل والمعلومات والبيانات المقدمة منه صحيحة.

Name: _____ الاسم :

Signature: _____ التوقيع: Title: _____ المسمى الوظيفي:

Declaration of Compliance & Anti-Money Laundering Department:

The client name has been checked against the United Nations and international black lists as per the instruction of the regulator and copy confirming no matches is attached herewith.

إقرار إدارة المطابقة ومكافحة غسل الأموال:

تم التحقق من عدم وجود إسم العميل على قوائم حظر الأمم المتحدة والقوائم السوداء الدولية حسب تعليمات جهات الإشراف وتم إرفاق مستند التحقق.

Reviewed By : تمت المراجعة من قبل :

Signature: _____ التوقيع: Name: _____ الأسم:

Client Risk Rating

درجـة مخـاطر العميـل

The Risk rating assigned to this client shall be based but not limited to the following criteria:

- High Risk
- Politically Exposed Persons
- Complex Legal structure With no legal or economic sense.
- Country that does not implement FATF recommendation.
- Client Related Risk Factors
- Geographical Risk Factors
- Services / Transaction Risk Factors

يتم تقييم درجة مخاطر العميل بناءً على (وذلك على سبيل المثال لا الحصر) المعايير التالية:

- درجة مخاطر العميل
- الأشخاص ذوي الانتماءات السياسية.
- ترتيبات قانونية معقدة ليس لها غرض قانوني أو اقتصادي واضح.
- الدول التي لا تطبق توصيات مجموعة العمل المالي.
- عوامل المخاطر المرتبطة بالعمل.
- عوامل المخاطر الجغرافية.
- عوامل مخاطر الخدمات/ المعاملات.

After reviewing this clients documents and taking into consideration the above criteria, the following Risk Rating has been assigned.

بعد مراجعة مستندات العمل والأخذ بعين الاعتبار المعايير أعلاه، تم تحديد التصنيف التالي للمخاطر:

☐ High ☐ Medium ☐ Low ☐ عالي ☐ متوسط ☐ منخفض

Approved by Compliance & AML Department:

تم الاعتماد من قبل إدارة المطابقة ومكافحة غسل الأموال.

Name: _____ الإسـم: _____

Signature: _____ التـوقيـع: _____

CEO Approval

اعتماد الرئيس التنفيذي

_____ _____

(Applicable only if high Risk Rating is assigned) (تطبق في حال درجة المخاطر عالية)

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Attachement No. 1 **الملحق رقم ١**

States subject to the Common Reporting Standard (CRS) الدول الخاضعة لإتفاقية معيار الإبلاغ المشترك

Asia آسيا

Bahrain	مملكة البحرين	Lebanon	لبنان
Hong Kong	هونغ كونغ	Macao	ماكاو
India	جمهورية الهند	Malaysia	ماليزيا
Indonesia	إندونيسيا	Mauritius	موريشيوس
Japan	اليابان	Nation of Brunei, the Adobe of Peace	بروناي دار السلام
Kingdom of Saudi Arabia	المملكة العربية السعودية		
People's Rebulic of China	جمهورية الصين الشعبية		
Qatar	قطر		
Republic of Korea	جمهورية كوريا		
Singapore	سنغافورة		
United Arab Emirates	الإمارات العربية المتحدة		

Europe أوروبا

Austria	النمسا	Principality of Andorra	إمارة أندورا
Bailwick of Jersey	جيرزي	Principality of Liechtenstein	إمارة ليختنشتاين
Belgium	بلجيكا	Principality of Monaco	إمارة موناكو
Bulgaria	بلغاريا	Republic of Ireland	جمهورية أيرلندا
Croatia	كرواتيا	Republic of Slovenia	جمهورية سلوفينيا
Cyprus	قبرص	Romania	رومانيا
Czech Republic	جمهورية التشيك	Russian Federation	روسيا الاتحادية
Denmark	الدنمارك	San Marino, Republic of	جمهورية سان مارينو
Estonia	إستونيا	Slovak Republic	جمهورية سلوفاكيا
FInland	فنلندا	Spain	إسبانيا
France	فرنسا	Sweden	السويد
Germany	ألمانيا	Switzerland	سويسرا
Gibraltar	جبل طارق	United Kingdom	المملكة المتحدة
Greece	اليونان		
Greenland	جرينلاند		
Grenada	غرينادا		
Guernsey	غيرنزي		
Hungary	المجر		
Iceland	آيسلندا		
Isle of Man	جزيرة مان		
Italy	إيطاليا		
Latvia	لاتفيا		
Luxembourg	لوكسمبورغ		
Malta	جمهورية مالطة		
Netherlands	هولندا		
Norway	النرويج		
Poland	بولندا		
Portugal	البرتغال		

The Carribean دول بحر الكاريبي

Auguila	أنغويلا	Saint Lucia	سانت لوسيا
Antigua and Barbuda	أنتيغوا وباربودا	Saint Maarten	سانت مارتن
Aruba	أروبا	Saint Vincent and the Grenadines	سانت فينسنت والغرينادين
Barbados	بربادوس	The Bahamas	جزر البهاما
Bermuda	برمودا	Trinidad and Tobago	جمهورية ترينيداد وتوباغو
British Virgin Island	الجزر العذراء البريطانية		
Cayman Islands	جزر كايمان		
Commonwealth of Dominicia	كومنولث دومينيكا		
Curacao	كوراساو		
Faroe Islands	جزر فارو		
Montserrat	مونتسيرات		
Saint Kitts and Nevis	سانت كريستوفر ونيفيس		

Africa أفريقيا

Ghana	جمهورية غانا
Seychelles	سيشل
South Africa	جمهورية جنوب أفريقيا

The Americas الأمريكتان

Argentine	الأرجنتين	Mexico	المكسيك
Belize	بليز	Panama	جمهورية بنما
Brazil	البرازيل	Uruguay	الأوروغواي
Canada	كندا		
Chile	تشيلي		
Colombia	كولومبيا		
Costa Rica	كوستاريكا		

Oceania اوقيانوسيا

Australia	أستراليا	Niue	نييوي
Cook Islands	جزر كوك	Vanuatu, Republic of	جمهورية فانواتو
Independent State of Samoa	دولة ساموا المتسقلة		
Marshall Islands	جزر مارشال		
Nauru, Republic of	جمهورية ناورو		

شركة وفرة للاستثمار الدولي (ش.م.ك.م)
المرقاب - شارع السور - برج توين تاور (A) | **تلفون:** 22969500 - **فاكس:** 22969530 | **الموقع:** wafrainv.com

تصنيف العميل:

طلب تغيير التصنيف

- يحق لكل من العملاء المصنفون كعميل محترف بطبيعته أو عميل محترف مؤهل أن يطلب من " وفرة " تغيير تصنيفه. وفي حال فقدت المعايير التي أهلت العميل لتصنيفه كعميل مؤهل، ستقوم "وفرة" بإعادة تصنيف العميل كعميل عادي ويخطر العميل بذلك التصنيف الجديد. ولن تؤثر إعادة التصنيف المذكورة على الاجراءات والمعاملات التي تم تنفيذها خلال التصنيف الأولي / السابق.
- الشروط العامة التي تنطبق على كل العملاء مبينة في قسم البنود والشروط.

فيما يلي المز ايا والقيود والحقوق المتعلقة بفئة تصنيف كل عميل:

1- العميل المحترف بطبيعته:

- إن تصنيفكم كعميل محترف بطبيعته لدينا يؤهلكم للاشتراك في جميع المنتجات الاستثمارية، ويتضمن على سبيل المثال لا الحصر التالي:

- الاشتراك في جميع وحدات الصناديق الاستثمارية المدارة من الشركة سواء كانت مطروحة عن طريق الاكتتاب العام أو الاكتتاب الخاص. تشمل عروض الاكتتاب الخاص وصناديق الاستثمارات الخاصة وصناديق الاستثمارات الخارجية التي يتم تسويقها في الكويت والتي تقتصر على العملاء المحترفين بطبيعتهم والعملاء المحترفين المؤهلين فقط.
- إنشاء المحافظ الاستثمارية بجميع أنواعها لدى شركة وفرة للاستثمار الدولي.
- الاشتراك في المشاريع العقارية داخل وخارج الكويت.
- الاشتراك في جميع الاكتتابات العامة والاكتتابات الخاصة المقتصرة على العملاء المحترفين.

- يتعين على العميل أن يزود شركة وفرة للاستثمار الدولي بمعلومات صحيحة وصالحة وكاملة تمكنها من تحديد هوية العميل وتحديد أغراضه الاستثمارية قبل تقديم أي خدمات الى العميل. ويعتبر العميل محترفاً عندما يكون لديه خبرة ومعرفة وفهم كاف لقدرته على تحمل المخاطر.
- شركة وفرة للاستثمار الدولي وبحسب اللائحة التنفيذية لهيئة أسواق المال غير ملزمة بـ:
  - التحقق من الوضع المالي للعميل، ومدى اتساقه مع أهدافه الاستثمارية
  - التحقق من قدرة العميل في تحمل المخاطر سواء (منخفضة / متوسطة/مرتفعة).
  - التعرف على الخبرة المتوفرة لدى العميل ومدى ملائمتها وارتباطها بالمجالات الاستثمارية، ومدة نشاط العميل في الاسواق المالية ذات العلاقة، ومدى اعتماد العميل على الاستشارات الاستثمارية.

2- العميل المحترف المؤهل:

- إن تصنيفكم كعميل محترف مؤهل لدينا يؤهلكم للاشتراك في جميع المنتجات الاستثمارية، ويتضمن على سبيل المثال لا الحصر التالي:

- الاشتراك في جميع وحدات الصناديق الاستثمارية المدارة من الشركة سواء كانت مطروحة عن طريق الاكتتاب العام أو الاكتتاب الخاص. تشمل عروض الاكتتاب الخاص صناديق الاستثمارات الخاصة وصناديق الاستثمارات الخارجية التي يتم تسويقها في الكويت والتي تقتصر على العملاء المحترفين بطبيعتهم والعملاء المحترفين المؤهلين فقط.
- إنشاء المحافظ الاستثمارية بجميع أنواعها لدى شركة وفرة للاستثمار الدولي.
- الاشتراك في المشاريع العقارية داخل وخارج الكويت.
- الاشتراك في جميع الاكتتابات العامة والاكتتابات الخاصة المقتصرة على العملاء المحترفين.

- يتعين على العميل أن يزود شركة وفرة للاستثمار الدولي بمعلومات صحيحة وصالحة وكاملة تمكنها من تحديد هوية العميل وتحديد أغراضه الاستثمارية قبل تقديم أي خدمات الى العميل. ويعتبر العملاء المحترفين بأن لديهم خبرة ومعرفة وفهم كاف لقدرتهم على تحمل على تحمل المخاطر.
- شركة وفرة للاستثمار الدولي بحسب اللائحة التنفيذية لهيئة أسواق المال غير ملزمة بـ:
  - التحقق من قدرة العميل في تحمل المخاطر سواء (منخفضة /متوسطة / مرتفعة).
  - التعرف على الخبرة المتوفرة لدى العميل ومدى ملاءمتها وارتباطها بالمجالات الاستثمارية، ومدة نشاط العميل في الأسواق المالية ذات العلاقة، ومدى اعتماد العميل على الاستشارات الاستثمارية.

3- العميل العادي:

- إن تصنيفكم كعميل عادي لدينا يؤهلكم للاشتراك في المنتجات الاستثمارية التالية:

- الاشتراك في وحدات الصناديق الاستثمارية المدارة من قبل شركة وفرة للاستثمار الدولي والمطروحة عن طريق الاكتتاب العام.
- إنشاء المحافظ الاستثمارية للتداول في الأوراق المالية المدرجة.
- الاستثمار بالأوراق المالية المعتبرة بأنها مناسبة للعملاء العاديين.
- الاشتراك في الاكتتابات العامة.

- إن تصنيفكم كعميل عادي يسمح لكم بالاستثمار فقط بالمنتجات الاستثمارية المذكورة أعلاه. وفي حال امتلاك العميل العادي لاستثمارات قائمة حالياً لدينا والتي لم تعد متاحة لفئة العملاء العاديين ستبقى هذه الاستثمارات قائمة لحين التخارج منها أو تصفيتها. علماً بأنه لن يسمح للعميل العادي بالاستثمار في منتجات استثمارية مماثلة في المستقبل إلا في حال إعادة تصنيف العميل العادي.
- بحال رغبتكم بالاستثمار في منتجات مالية ليست متاحة للعملاء العاديين، فيجب عليكم استيفاء الشروط المطلوبة من خلال الاتصال بمدير العلاقات وتقديم التأكيدات المطلوبة لإعادة تصنيفكم.
- يوافق العميل على إخطار شركة وفرة للاستثمار الدولي فوراً عن أي تغيير في المعلومات المقدمة بما في ذلك تلك التي تؤثر على تصنيفه.

Client Classification Form

نموذج تصنيف العملاء

Date: _____ التاريخ: Type and No. of Portfolio/Fund:_____ نوع ورقم المحفظة/أسم الصندوق:

Client Name : _____ إسم العميل :

Please tick appropriate boxes below: **يرجى إختيار المربعات المناسبة أدناه :**

Professional Client: العميل المحترف بطبيعته :

- ☐ Governmental or public authority, Central Bank, or an International Institution.
  ☐ حكومة أو هيئة عامة أو بنك مركزي أو مؤسسة دولية.
- ☐ Institutions licensed by the Capital Markets Authority (CMA), and other Financial Institutions that are subject to one of Regulatory Authorities inside or outside Kuwait.
  ☐ الأشخاص المرخص لهم من الهيئة، وغيرهم من المؤسسات المالية التي تخضع لإحدى الجهات الرقابية داخل دولة الكويت أو خارجها.
- ☐ The Companies that have paid in capital of KD 1,000,000 or equivalent at least.
  ☐ شركة رأس مالها المدفوع مليون دينار كويتي أو ما يعادلها على الأقل.

Qualified Professional Client: العميل المحترف المؤهل :

- ☐ The average of the large financial securities transactions is not less than KD 250,000 in each quarter over the previous two years.
  ☐ لدى العميل تعاملات في الأوراق المالية بأحجام كبيرة وبمتوسط لا يقل عن ٢٥٠،٠٠٠ دينار كويتي في كل ربع سنة على مدار السنتين السابقتين.
- ☐ The value funds and assets of the client with the company is KD 100,000 at least.
  ☐ لا يقل حجم أموال وأصول العميل لدى الشركة عن قيمة ١٠٠،٠٠٠ دينار كويتي.
- ☐ The client works or has worked in the financial sector for at least for one year in the professional position which requires knowledge of the transactions or services to be provided to him.
  ☐ أن يعمل العميل أو سبق له العمل في القطاع المالي لمدة سنة على الأقل في منصب مهني محترف، يتطلب معرفة بالمعاملات أو الخدمات التي ستقدم إليه.

Retail Client: العميل العادي :

- ☐ The above-mentioned criteria relating to the professional client categories (Professional Clients/Qualified Professional Client) not applicable.
  ☐ عدم انطباق شروط التصنيف المتعلقة بالعميل المحترف (المحترف بطبيعته/المحترف المؤهل) على العميل.
- ☐ The Client would like to be classified as “Retail Client”.
  ☐ رغبة العميل بتصنيفه كعميل عادي.

Cleint Name (Authorized Signatory): _____ إسم العميل (المفوض بالتوقيع):

Client Signature: _____ توقيع العميل:

شركة وفرة للاستثمار الدولي (ش.م.ك.م)
المرقاب - شارع السور - برج توين تاور (A) | **تلفون:** 22969500 - **فاكس:** 22969530 | **الموقع:** wafrainv.com

Form **W-8BEN-E**

(Rev. October 2021)

Department of the Treasury
Internal Revenue Service

Certificate of Status of Beneficial Owner for United States Tax Withholding and Reporting (Entities)

▶ For use by entities. Individuals must use Form W-8BEN. ▶ Section references are to the Internal Revenue Code.
▶ Go to *www.irs.gov/FormW8BENE* for instructions and the latest information.
▶ Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

Do NOT use this form for: **Instead use Form:**

- U.S. entity or U.S. citizen or resident W-9
- A foreign individual . . . . . W-8BEN (Individual) or Form 8233
- A foreign individual or entity claiming that income is effectively connected with the conduct of trade or business within the United States (unless claiming treaty benefits) W-8ECI
- A foreign partnership, a foreign simple trust, or a foreign grantor trust (unless claiming treaty benefits) (see instructions for exceptions) . . W-8IMY
- A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government of a U.S. possession claiming that income is effectively connected U.S. income or that is claiming the applicability of section(s) 115(2), 501(c), 892, 895, or 1443(b) (unless claiming treaty benefits) (see instructions for other exceptions) . . . . . W-8ECI or W-8EXP
- Any person acting as an intermediary (including a qualified intermediary acting as a qualified derivatives dealer) W-8IMY

Part I Identification of Beneficial Owner

1 Name of organization that is the beneficial owner

2 Country of incorporation or organization

3 Name of disregarded entity receiving the payment (if applicable, see instructions)

4 Chapter 3 Status (entity type) (Must check one box only):

☐ Corporation ☐ Partnership
☐ Simple trust ☐ Tax-exempt organization ☐ Complex trust ☐ Foreign Government - Controlled Entity
☐ Central Bank of Issue ☐ Private foundation ☐ Estate ☐ Foreign Government - Integral Part
☐ Grantor trust ☐ Disregarded entity ☐ International organization

If you entered disregarded entity, partnership, simple trust, or grantor trust above, is the entity a hybrid making a treaty claim? If "Yes," complete Part III. ☐ Yes ☐ No

5 Chapter 4 Status (FATCA status) (See instructions for details and complete the certification below for the entity's applicable status.)

☐ Nonparticipating FFI (including an FFI related to a Reporting IGA FFI other than a deemed-compliant FFI, participating FFI, or exempt beneficial owner).
☐ Participating FFI.
☐ Reporting Model 1 FFI.
☐ Reporting Model 2 FFI.
☐ Registered deemed-compliant FFI (other than a reporting Model 1 FFI, sponsored FFI, or nonreporting IGA FFI covered in Part XII). See instructions.
☐ Sponsored FFI. Complete Part IV.
☐ Certified deemed-compliant nonregistering local bank. Complete Part V.
☐ Certified deemed-compliant FFI with only low-value accounts. Complete Part VI.
☐ Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part VII.
☐ Certified deemed-compliant limited life debt investment entity. Complete Part VIII.
☐ Certain investment entities that do not maintain financial accounts. Complete Part IX.
☐ Owner-documented FFI. Complete Part X.
☐ Restricted distributor. Complete Part XI.
☐ Nonreporting IGA FFI. Complete Part XII.
☐ Foreign government, government of a U.S. possession, or foreign central bank of issue. Complete Part XIII.
☐ International organization. Complete Part XIV.
☐ Exempt retirement plans. Complete Part XV.
☐ Entity wholly owned by exempt beneficial owners. Complete Part XVI.
☐ Territory financial institution. Complete Part XVII.
☐ Excepted nonfinancial group entity. Complete Part XVIII.
☐ Excepted nonfinancial start-up company. Complete Part XIX.
☐ Excepted nonfinancial entity in liquidation or bankruptcy. Complete Part XX.
☐ 501(c) organization. Complete Part XXI.
☐ Nonprofit organization. Complete Part XXII.
☐ Publicly traded NFFE or NFFE affiliate of a publicly traded corporation. Complete Part XXIII.
☐ Excepted territory NFFE. Complete Part XXIV.
☐ Active NFFE. Complete Part XXV.
☐ Passive NFFE. Complete Part XXVI.
☐ Excepted inter-affiliate FFI. Complete Part XXVII.
☐ Direct reporting NFFE.
☐ Sponsored direct reporting NFFE. Complete Part XXVIII.
☐ Account that is not a financial account.

6 Permanent residence address (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address** (other than a registered address).

City or town, state or province. Include postal code where appropriate. | Country

7 Mailing address (if different from above)

City or town, state or province. Include postal code where appropriate. | Country

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شركة وفرة للاستثمار الدولي (ش.م.ك.م)
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Part I Identification of Beneficial Owner *(continued)*

8 U.S. taxpayer identification number (TIN), if required

9a GIIN	**b** Foreign TIN	**c** Check if FTIN not legally required . . . . . ▶☐

10 Reference number(s) (see instructions)

Note: Please complete remainder of the form including signing the form in Part XXX.

Part II Disregarded Entity or Branch Receiving Payment. (Complete only if a disregarded entity with a GIIN or a branch of an FFI in a country other than the FFI's country of residence. See instructions.)

11 Chapter 4 Status (FATCA status) of disregarded entity or branch receiving payment

☐ Branch treated as nonparticipating FFI. ☐ Reporting Model 1 FFI. ☐ U.S. Branch.
☐ Participating FFI. ☐ Reporting Model 2 FFI.

12 Address of disregarded entity or branch (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address** (other than a registered address).

City or town, state or province. Include postal code where appropriate.

Country

13 GIIN (if any) _____

Part III Claim of Tax Treaty Benefits (if applicable). (For chapter 3 purposes only.)

14 I certify that (check all that apply):

a ☐ The beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country.

b ☐ The beneficial owner derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits. The following are types of limitation on benefits provisions that may be included in an applicable tax treaty (check only one; see instructions):

☐ Government
☐ Tax-exempt pension trust or pension fund
☐ Other tax-exempt organization
☐ Publicly traded corporation
☐ Subsidiary of a publicly traded corporation
☐ Company that meets the ownership and base erosion test
☐ Company that meets the derivative benefits test
☐ Company with an item of income that meets active trade or business test
☐ Favorable discretionary determination by the U.S. competent authority received
☐ No LOB article in treaty
☐ Other (specify Article and paragraph): _____

c ☐ The beneficial owner is claiming treaty benefits for U.S. source dividends received from a foreign corporation or interest from a U.S. trade or business of a foreign corporation and meets qualified resident status (see instructions).

15 **Special rates and conditions** (if applicable—see instructions):
The beneficial owner is claiming the provisions of Article and paragraph _____
of the treaty identified on line 14a above to claim a _____ % rate of withholding on (specify type of income): _____
Explain the additional conditions in the Article the beneficial owner meets to be eligible for the rate of withholding: _____

Part IV Sponsored FFI

16 Name of sponsoring entity: _____

17 **Check whichever box applies.**

☐ I certify that the entity identified in Part I:
- Is an investment entity;
- Is not a QI, WP (except to the extent permitted in the withholding foreign partnership agreement), or WT; **and**
- Has agreed with the entity identified above (that is not a nonparticipating FFI) to act as the sponsoring entity for this entity.

☐ I certify that the entity identified in Part I:
- Is a controlled foreign corporation as defined in section 957(a);
- Is not a QI, WP, or WT;
- Is wholly owned, directly or indirectly, by the U.S. financial institution identified above that agrees to act as the sponsoring entity for this entity; **and**
- Shares a common electronic account system with the sponsoring entity (identified above) that enables the sponsoring entity to identify all account holders and payees of the entity and to access all account and customer information maintained by the entity including, but not limited to, customer identification information, customer documentation, account balance, and all payments made to account holders or payees.

شركة وفرة للاستثمار الدولي (ش.م.ك.م)
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Part V Certified Deemed-Compliant Nonregistering Local Bank

18 ☐ I certify that the FFI identified in Part I:

- Operates and is licensed solely as a bank or credit union (or similar cooperative credit organization operated without profit) in its country of incorporation or organization;
- Engages primarily in the business of receiving deposits from and making loans to, with respect to a bank, retail customers unrelated to such bank and, with respect to a credit union or similar cooperative credit organization, members, provided that no member has a greater than 5% interest in such credit union or cooperative credit organization;
- Does not solicit account holders outside its country of organization;
- Has no fixed place of business outside such country (for this purpose, a fixed place of business does not include a location that is not advertised to the public and from which the FFI performs solely administrative support functions);
- Has no more than $175 million in assets on its balance sheet and, if it is a member of an expanded affiliated group, the group has no more than $500 million in total assets on its consolidated or combined balance sheets; **and**
- Does not have any member of its expanded affiliated group that is a foreign financial institution, other than a foreign financial institution that is incorporated or organized in the same country as the FFI identified in Part I and that meets the requirements set forth in this part.

Part VI Certified Deemed-Compliant FFI with Only Low-Value Accounts

19 ☐ I certify that the FFI identified in Part I:

- Is not engaged primarily in the business of investing, reinvesting, or trading in securities, partnership interests, commodities, notional principal contracts, insurance or annuity contracts, or any interest (including a futures or forward contract or option) in such security, partnership interest, commodity, notional principal contract, insurance contract or annuity contract;
- No financial account maintained by the FFI or any member of its expanded affiliated group, if any, has a balance or value in excess of $50,000 (as determined after applying applicable account aggregation rules); **and**
- Neither the FFI nor the entire expanded affiliated group, if any, of the FFI, have more than $50 million in assets on its consolidated or combined balance sheet as of the end of its most recent accounting year.

Part VII Certified Deemed-Compliant Sponsored, Closely Held Investment Vehicle

20 Name of sponsoring entity: _____

21 ☐ I certify that the entity identified in Part I:

- Is an FFI solely because it is an investment entity described in Regulations section 1.1471-5(e)(4);
- Is not a QI, WP, or WT;
- Will have all of its due diligence, withholding, and reporting responsibilities (determined as if the FFI were a participating FFI) fulfilled by the sponsoring entity identified on line 20; **and**
- 20 or fewer individuals own all of the debt and equity interests in the entity (disregarding debt interests owned by U.S. financial institutions, participating FFIs, registered deemed-compliant FFIs, and certified deemed-compliant FFIs and equity interests owned by an entity if that entity owns 100% of the equity interests in the FFI and is itself a sponsored FFI).

Part VIII Certified Deemed-Compliant Limited Life Debt Investment Entity

22 ☐ I certify that the entity identified in Part I:

- Was in existence as of January 17, 2013;
- Issued all classes of its debt or equity interests to investors on or before January 17, 2013, pursuant to a trust indenture or similar agreement; **and**
- Is certified deemed-compliant because it satisfies the requirements to be treated as a limited life debt investment entity (such as the restrictions with respect to its assets and other requirements under Regulations section 1.1471-5(f)(2)(iv)).

Part IX Certain Investment Entities that Do Not Maintain Financial Accounts

23 ☐ I certify that the entity identified in Part I:

- Is a financial institution solely because it is an investment entity described in Regulations section 1.1471-5(e)(4)(i)(A), **and**
- Does not maintain financial accounts.

Part X Owner-Documented FFI

Note: This status only applies if the U.S. financial institution, participating FFI, or reporting Model 1 FFI to which this form is given has agreed that it will treat the FFI as an owner-documented FFI (see instructions for eligibility requirements). In addition, the FFI must make the certifications below.

24a ☐ (All owner-documented FFIs check here) I certify that the FFI identified in Part I:

- Does not act as an intermediary;
- Does not accept deposits in the ordinary course of a banking or similar business;
- Does not hold, as a substantial portion of its business, financial assets for the account of others;
- Is not an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account;
- Is not owned by or in an expanded affiliated group with an entity that accepts deposits in the ordinary course of a banking or similar business, holds, as a substantial portion of its business, financial assets for the account of others, or is an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account;
- Does not maintain a financial account for any nonparticipating FFI; **and**
- Does not have any specified U.S. persons that own an equity interest or debt interest (other than a debt interest that is not a financial account or that has a balance or value not exceeding $50,000) in the FFI other than those identified on the FFI owner reporting statement.

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Part X Owner-Documented FFI *(continued)*

Check box 24b or 24c, whichever applies.

b ☐ I certify that the FFI identified in Part I:

- Has provided, or will provide, an FFI owner reporting statement that contains:
  - **(i)** The name, address, TIN (if any), chapter 4 status, and type of documentation provided (if required) of every individual and specified U.S. person that owns a direct or indirect equity interest in the owner-documented FFI (looking through all entities other than specified U.S. persons);
  - **(ii)** The name, address, TIN (if any), and chapter 4 status of every individual and specified U.S. person that owns a debt interest in the owner-documented FFI (including any indirect debt interest, which includes debt interests in any entity that directly or indirectly owns the payee or any direct or indirect equity interest in a debt holder of the payee) that constitutes a financial account in excess of $50,000 (disregarding all such debt interests owned by participating FFIs, registered deemed-compliant FFIs, certified deemed-compliant FFIs, excepted NFFEs, exempt beneficial owners, or U.S. persons other than specified U.S. persons); **and**
  - **(iii)** Any additional information the withholding agent requests in order to fulfill its obligations with respect to the entity.
- Has provided, or will provide, valid documentation meeting the requirements of Regulations section 1.1471-3(d)(6)(iii) for each person identified in the FFI owner reporting statement.

c ☐ I certify that the FFI identified in Part I has provided, or will provide, an auditor's letter, signed within 4 years of the date of payment, from an independent accounting firm or legal representative with a location in the United States stating that the firm or representative has reviewed the FFI's documentation with respect to all of its owners and debt holders identified in Regulations section 1.1471-3(d)(6)(iv)(A)(2), and that the FFI meets all the requirements to be an owner-documented FFI. The FFI identified in Part I has also provided, or will provide, an FFI owner reporting statement of its owners that are specified U.S. persons and Form(s) W-9, with applicable waivers.

Check box 24d if applicable (optional, see instructions).

d ☐ I certify that the entity identified on line 1 is a trust that does not have any contingent beneficiaries or designated classes with unidentified beneficiaries.

Part XI Restricted Distributor

25a ☐ (All restricted distributors check here) I certify that the entity identified in Part I:

- Operates as a distributor with respect to debt or equity interests of the restricted fund with respect to which this form is furnished;
- Provides investment services to at least 30 customers unrelated to each other and less than half of its customers are related to each other;
- Is required to perform AML due diligence procedures under the anti-money laundering laws of its country of organization (which is an FATF-compliant jurisdiction);
- Operates solely in its country of incorporation or organization, has no fixed place of business outside of that country, and has the same country of incorporation or organization as all members of its affiliated group, if any;
- Does not solicit customers outside its country of incorporation or organization;
- Has no more than $175 million in total assets under management and no more than $7 million in gross revenue on its income statement for the most recent accounting year;
- Is not a member of an expanded affiliated group that has more than $500 million in total assets under management or more than $20 million in gross revenue for its most recent accounting year on a combined or consolidated income statement; **and**
- Does not distribute any debt or securities of the restricted fund to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs.

Check box 25b or 25c, whichever applies.

I further certify that with respect to all sales of debt or equity interests in the restricted fund with respect to which this form is furnished that are made after December 31, 2011, the entity identified in Part I:

b ☐ Has been bound by a distribution agreement that contained a general prohibition on the sale of debt or securities to U.S. entities and U.S. resident individuals and is currently bound by a distribution agreement that contains a prohibition of the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI.

c ☐ Is currently bound by a distribution agreement that contains a prohibition on the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI and, for all sales made prior to the time that such a restriction was included in its distribution agreement, has reviewed all accounts related to such sales in accordance with the procedures identified in Regulations section 1.1471-4(c) applicable to preexisting accounts and has redeemed or retired any, or caused the restricted fund to transfer the securities to a distributor that is a participating FFI or reporting Model 1 FFI securities which were sold to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs.

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Part XII Nonreporting IGA FFI

26 ☐ I certify that the entity identified in Part I:

- Meets the requirements to be considered a nonreporting financial institution pursuant to an applicable IGA between the United States and _____. The applicable IGA is a ☐ Model 1 IGA or a ☐ Model 2 IGA; and
- is treated as a _____ under the provisions of the applicable IGA or Treasury regulations (if applicable, see instructions);
- If you are a trustee documented trust or a sponsored entity, provide the name of the trustee or sponsor _____.

The trustee is: ☐ U.S. ☐ Foreign

Part XIII Foreign Government, Government of a U.S. Possession, or Foreign Central Bank of Issue

27 ☐ I certify that the entity identified in Part I is the beneficial owner of the payment, and is not engaged in commercial financial activities of a type engaged in by an insurance company, custodial institution, or depository institution with respect to the payments, accounts, or obligations for which this form is submitted (except as permitted in Regulations section 1.1471-6(h)(2)).

Part XIV International Organization

Check box 28a or 28b, whichever applies.

28a ☐ I certify that the entity identified in Part I is an international organization described in section 7701(a)(18).

b ☐ I certify that the entity identified in Part I:

- Is comprised primarily of foreign governments;
- Is recognized as an intergovernmental or supranational organization under a foreign law similar to the International Organizations Immunities Act or that has in effect a headquarters agreement with a foreign government;
- The benefit of the entity's income does not inure to any private person; **and**
- Is the beneficial owner of the payment and is not engaged in commercial financial activities of a type engaged in by an insurance company, custodial institution, or depository institution with respect to the payments, accounts, or obligations for which this form is submitted (except as permitted in Regulations section 1.1471-6(h)(2)).

Part XV Exempt Retirement Plans

Check box 29a, b, c, d, e, or f, whichever applies.

29a ☐ I certify that the entity identified in Part I:

- Is established in a country with which the United States has an income tax treaty in force (see Part III if claiming treaty benefits);
- Is operated principally to administer or provide pension or retirement benefits; **and**
- Is entitled to treaty benefits on income that the fund derives from U.S. sources (or would be entitled to benefits if it derived any such income) as a resident of the other country which satisfies any applicable limitation on benefits requirement.

b ☐ I certify that the entity identified in Part I:

- Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered;
- No single beneficiary has a right to more than 5% of the FFI's assets;
- Is subject to government regulation and provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operated; **and**

(i) Is generally exempt from tax on investment income under the laws of the country in which it is established or operates due to its status as a retirement or pension plan;

(ii) Receives at least 50% of its total contributions from sponsoring employers (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, other retirement funds described in an applicable Model 1 or Model 2 IGA, or accounts described in Regulations section 1.1471-5(b)(2)(i)(A));

(iii) Either does not permit or penalizes distributions or withdrawals made before the occurrence of specified events related to retirement, disability, or death (except rollover distributions to accounts described in Regulations section 1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), to retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or to other retirement funds described in this part or in an applicable Model 1 or Model 2 IGA); **or**

(iv) Limits contributions by employees to the fund by reference to earned income of the employee or may not exceed $50,000 annually.

c ☐ I certify that the entity identified in Part I:

- Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered;
- Has fewer than 50 participants;
- Is sponsored by one or more employers each of which is not an investment entity or passive NFFE;
- Employee and employer contributions to the fund (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or accounts described in Regulations section 1.1471-5(b)(2)(i)(A)) are limited by reference to earned income and compensation of the employee, respectively;
- Participants that are not residents of the country in which the fund is established or operated are not entitled to more than 20% of the fund's assets; **and**
- Is subject to government regulation and provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operates.

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Part XV Exempt Retirement Plans *(continued)*

d ☐ I certify that the entity identified in Part I is formed pursuant to a pension plan that would meet the requirements of section 401(a), other than the requirement that the plan be funded by a trust created or organized in the United States.

e ☐ I certify that the entity identified in Part I is established exclusively to earn income for the benefit of one or more retirement funds described in this part or in an applicable Model 1 or Model 2 IGA, or accounts described in Regulations section 1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), or retirement and pension accounts described in an applicable Model 1 or Model 2 IGA.

f ☐ I certify that the entity identified in Part I:

• Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in Regulations section 1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are current or former employees of the sponsor (or persons designated by such employees); **or**

• Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in Regulations section 1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are not current or former employees of such sponsor, but are in consideration of personal services performed for the sponsor.

Part XVI Entity Wholly Owned by Exempt Beneficial Owners

30 ☐ I certify that the entity identified in Part I:

• Is an FFI solely because it is an investment entity;

• Each direct holder of an equity interest in the investment entity is an exempt beneficial owner described in Regulations section 1.1471-6 or in an applicable Model 1 or Model 2 IGA;

• Each direct holder of a debt interest in the investment entity is either a depository institution (with respect to a loan made to such entity) or an exempt beneficial owner described in Regulations section 1.1471-6 or an applicable Model 1 or Model 2 IGA.

• Has provided an owner reporting statement that contains the name, address, TIN (if any), chapter 4 status, and a description of the type of documentation provided to the withholding agent for every person that owns a debt interest constituting a financial account or direct equity interest in the entity; **and**

• Has provided documentation establishing that every owner of the entity is an entity described in Regulations section 1.1471-6(b), (c), (d), (e), (f) and/or (g) without regard to whether such owners are beneficial owners.

Part XVII Territory Financial Institution

31 ☐ I certify that the entity identified in Part I is a financial institution (other than an investment entity) that is incorporated or organized under the laws of a possession of the United States.

Part XVIII Excepted Nonfinancial Group Entity

32 ☐ I certify that the entity identified in Part I:

• Is a holding company, treasury center, or captive finance company and substantially all of the entity's activities are functions described in Regulations section 1.1471-5(e)(5)(i)(C) through (E);

• Is a member of a nonfinancial group described in Regulations section 1.1471-5(e)(5)(i)(B);

• Is not a depository or custodial institution (other than for members of the entity's expanded affiliated group); **and**

• Does not function (or hold itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle with an investment strategy to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.

Part XIX Excepted Nonfinancial Start-Up Company

33 ☐ I certify that the entity identified in Part I:

• Was formed on (or, in the case of a new line of business, the date of board resolution approving the new line of business) _____ (date must be less than 24 months prior to date of payment);

• Is not yet operating a business and has no prior operating history or is investing capital in assets with the intent to operate a new line of business other than that of a financial institution or passive NFFE;

• Is investing capital into assets with the intent to operate a business other than that of a financial institution; **and**

• Does not function (or hold itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.

Part XX Excepted Nonfinancial Entity in Liquidation or Bankruptcy

34 ☐ I certify that the entity identified in Part I:

• Filed a plan of liquidation, filed a plan of reorganization, or filed for bankruptcy on _____;

• During the past 5 years has not been engaged in business as a financial institution or acted as a passive NFFE;

• Is either liquidating or emerging from a reorganization or bankruptcy with the intent to continue or recommence operations as a nonfinancial entity; **and**

• Has, or will provide, documentary evidence such as a bankruptcy filing or other public documentation that supports its claim if it remains in bankruptcy or liquidation for more than 3 years.

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Part XXI 501(c) Organization

35 ☐ I certify that the entity identified in Part I is a 501(c) organization that:

• Has been issued a determination letter from the IRS that is currently in effect concluding that the payee is a section 501(c) organization that is dated _____ ; **or**

• Has provided a copy of an opinion from U.S. counsel certifying that the payee is a section 501(c) organization (without regard to whether the payee is a foreign private foundation).

Part XXII Nonprofit Organization

36 ☐ I certify that the entity identified in Part I is a nonprofit organization that meets the following requirements.

• The entity is established and maintained in its country of residence exclusively for religious, charitable, scientific, artistic, cultural or educational purposes;

• The entity is exempt from income tax in its country of residence;

• The entity has no shareholders or members who have a proprietary or beneficial interest in its income or assets;

• Neither the applicable laws of the entity's country of residence nor the entity's formation documents permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or noncharitable entity other than pursuant to the conduct of the entity's charitable activities or as payment of reasonable compensation for services rendered or payment representing the fair market value of property which the entity has purchased; **and**

• The applicable laws of the entity's country of residence or the entity's formation documents require that, upon the entity's liquidation or dissolution, all of its assets be distributed to an entity that is a foreign government, an integral part of a foreign government, a controlled entity of a foreign government, or another organization that is described in this part or escheats to the government of the entity's country of residence or any political subdivision thereof.

Part XXIII Publicly Traded NFFE or NFFE Affiliate of a Publicly Traded Corporation

Check box 37a or 37b, whichever applies.

37a ☐ I certify that:

• The entity identified in Part I is a foreign corporation that is not a financial institution; **and**

• The stock of such corporation is regularly traded on one or more established securities markets, including _____ (name one securities exchange upon which the stock is regularly traded).

b ☐ I certify that:

• The entity identified in Part I is a foreign corporation that is not a financial institution;

• The entity identified in Part I is a member of the same expanded affiliated group as an entity the stock of which is regularly traded on an established securities market;

• The name of the entity, the stock of which is regularly traded on an established securities market, is _____ ; **and**

• The name of the securities market on which the stock is regularly traded is _____ .

Part XXIV Excepted Territory NFFE

38 ☐ I certify that:

• The entity identified in Part I is an entity that is organized in a possession of the United States;

• The entity identified in Part I:

(i) Does not accept deposits in the ordinary course of a banking or similar business;

(ii) Does not hold, as a substantial portion of its business, financial assets for the account of others; **or**

(iii) Is not an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account; **and**

• All of the owners of the entity identified in Part I are bona fide residents of the possession in which the NFFE is organized or incorporated.

Part XXV Active NFFE

39 ☐ I certify that:

• The entity identified in Part I is a foreign entity that is not a financial institution;

• Less than 50% of such entity's gross income for the preceding calendar year is passive income; **and**

• Less than 50% of the assets held by such entity are assets that produce or are held for the production of passive income (calculated as a weighted average of the percentage of passive assets measured quarterly) (see instructions for the definition of passive income).

Part XXVI Passive NFFE

40a ☐ I certify that the entity identified in Part I is a foreign entity that is not a financial institution (other than an investment entity organized in a possession of the United States) and is not certifying its status as a publicly traded NFFE (or affiliate), excepted territory NFFE, active NFFE, direct reporting NFFE, or sponsored direct reporting NFFE.

Check box 40b or 40c, whichever applies.

b ☐ I further certify that the entity identified in Part I has no substantial U.S. owners (or, if applicable, no controlling U.S. persons); **or**

c ☐ I further certify that the entity identified in Part I has provided the name, address, and TIN of each substantial U.S. owner (or, if applicable, controlling U.S. person) of the NFFE in Part XXIX.

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Part XXVII Excepted Inter-Affiliate FFI

41 ☐ I certify that the entity identified in Part I:

- Is a member of an expanded affiliated group;
- Does not maintain financial accounts (other than accounts maintained for members of its expanded affiliated group);
- Does not make withholdable payments to any person other than to members of its expanded affiliated group;
- Does not hold an account (other than depository accounts in the country in which the entity is operating to pay for expenses) with or receive payments from any withholding agent other than a member of its expanded affiliated group; **and**
- Has not agreed to report under Regulations section 1.1471-4(d)(2)(ii)(C) or otherwise act as an agent for chapter 4 purposes on behalf of any financial institution, including a member of its expanded affiliated group.

Part XXVIII Sponsored Direct Reporting NFFE (see instructions for when this is permitted)

42 Name of sponsoring entity: _____

43 ☐ I certify that the entity identified in Part I is a direct reporting NFFE that is sponsored by the entity identified on line 42.

Part XXIX Substantial U.S. Owners of Passive NFFE

As required by Part XXVI, provide the name, address, and TIN of each substantial U.S. owner of the NFFE. Please see the instructions for a definition of substantial U.S. owner. If providing the form to an FFI treated as a reporting Model 1 FFI or reporting Model 2 FFI, an NFFE may also use this part for reporting its controlling U.S. persons under an applicable IGA.

Name	Address	TIN

Part XXX Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- The entity identified on line 1 of this form is the beneficial owner of all the income or proceeds to which this form relates, is using this form to certify its status for chapter 4 purposes, or is submitting this form for purposes of section 6050W or 6050Y;
- The entity identified on line 1 of this form is not a U.S. person;
- This form relates to: (a) income not effectively connected with the conduct of a trade or business in the United States, (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an income tax treaty, (c) the partner's share of a partnership's effectively connected taxable income, or (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f); **and**
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which the entity on line 1 is the beneficial owner or any withholding agent that can disburse or make payments of the income of which the entity on line 1 is the beneficial owner.

I agree that I will submit a new form within 30 days if any certification on this form becomes incorrect.

☐ **I certify that I have the capacity to sign for the entity identified on line 1 of this form.**

Sign Here ▶

Signature of individual authorized to sign for beneficial owner	Print Name	Date (MM-DD-YYYY)

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Guidance for Financial Institutions Requesting the Form

The Following pages contain an example of a form that could be used to collect data from entities in relation to the CRS.

This form has been devised following the input of various industry experts on CRS, as an example, as to what could be used in order to attempt to create some market consistency and assist financial institutions in developing validation systems.

This is an example of the type of form that could be used by a Financial Institution. It should not be seen as a mandatory form.

Each financial Institution is free to use its own form, but as a minimum a financial institution should collect the mandatory data detailed in the CRS commentary in accordance with local rules and guidance. Each Financial Institution also may need to modify this form based on local rules, for example, to omit fields that are not permitted to be collected under applicable law.

Fields marked with a * are mandatory, subject to variations in local rules. Financial Institutions may also be able to collect the information required to be reported in another way (i.e., other than on the self-certification). For a self-certification to be valid, however, it generally must contain the Account Holder's (i) name, (ii) address, (iii) jurisdiction(s) of residence for tax purposes, and (iv) tax identifying number for each Reportable Jurisdiction. Jurisdictions adopting the wider approach may require that the self-certification include a tax identifying number for each jurisdiction of residence (rather than for each Reportable Jurisdiction).

Financial Institutions should consider the blue text contained in square brackets and use the language that fits their operational needs. For example, in Part 4 a Financial Institution should choose the time-limits applicable to its own procedures, (for example "30 days"). In Part 4, please also note that the CRS does not require a Financial Institution to collect a certified copy of the power of attorney; the form includes this language as optional on the part of the Financial Institution.

If a Financial Institution knows or has reason to know that a self-certification is incorrect, it is expected that in the course of the account opening procedures the Reporting Financial Institution would obtain either (i) a valid self-certification, or (ii) a reasonable explanation and documentation (as appropriate) supporting the reasonableness of the self-certification (and retain a copy or a notation of such explanation and documentation).

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Please read these instructions before completing the form.

"Serial resolution number 36-46 of 2017 require Wafra International Investment Company to collect and report certain information about an account holder's tax residency. If the account holder's tax residence is located outside Kuwait, 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 Ministry Of Finance and they may exchange this information with tax authorities of another jurisdiction or jurisdictions pursuant to intergovernmental agreements to exchange financial account information.

You can find summaries of defined terms such as an account holder, and other terms, in the Appendix.

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.

This form is intended to request information consistent with local law requirements.

Please complete this form where you need to self-certify on behalf of an entity account holder.

If you are an individual account holder or sole trader or sole proprietor do not complete this form. Instead please complete an "Individual tax residency self-certification form."

For joint or multiple account holders please complete a separate form for each account holder.

If the Account Holder is a U.S. tax resident under U.S. law, you should indicate that the account holder is a 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.

Where the Account Holder is a Passive NFE, or an Investment Entity located in a Non-Participating Jurisdiction managed by another Financial Institution

Please provide information on the natural person(s) who exercise control over the Account Holder (individuals referred to as "Controlling Person(s)") by completing a "Controlling Person tax residency self-certification form" for each Controlling Person. This information should be provided by all Investment Entities located in a Non-Participating Jurisdiction and managed by another Financial Institution.

You should indicate the capacity in which you have signed in Part 4. For example you may be the custodian or nominee of an account on behalf of the account holder, or you may be completing the form under a signatory authority or power of attorney.

As a financial institution, we are not allowed to give tax advice.

Your tax adviser 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.

You can also find out more, including a list of jurisdictions that have signed agreements to automatically exchange information, along with details about the information being requested, on the OECD automatic exchange of information portal.

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Entity tax residency self-certification FORM - (please complete parts 1-3 in BLOCK CAPITALS)

Part 1 –Identification of Account Holder

*A. Legal Name of Entity/Branch** _____

B. Country of incorporation or organization _____

C. Current Residence Address _____

Line 1 (e.g. House/Apt/Suite Name, Number,

Street, if any)* _____

Line 2 (e.g. Town/City/Province/County/State)* _____

Country * _____

Postal Code/ZIP Code (if any)* _____

D. Mailing Address (please only complete if different to the address shown in Section C above)

Line 1(e.g. House/Apt/Suite Name, Number, Street)_____

Line 2(e.g. Town/City/Province/County/State) _____

Country _____

Postal Code/ZIP Code _____

Part 2 / Entity Type - please provide the Account Holder's Status by ticking one of the following boxes.

1. (a) Financial Institution – Investment Entity

i. An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution (Note: if ticking this box please also complete Part 2 (2) below) ☐

ii. Other Investment Entity ☐

(b) Financial Institution – Depository Institution, Custodial Institution or Specified Insurance Company ☐

If you have ticked (a) or (b) above, please provide, if held, the Account Holder's Global Intermediary Identification Number ("GIIN") obtained for FATCA purposes.

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(c) Active NFE – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation ☐

If you have ticked (c), please provide the name of the established securities market on which the corporation is regularly traded: _____.

*If you are a Related Entity of a regularly traded corporation, please provide the name of the regularly traded corporation that the Entity in (c) is a Related Entity of:*_____.

(d) Active NFE – a Government Entity or Central Bank ☐

(e) Active NFE – an International Organization ☐

(f) Active NFE – other than (c)-(e) ***(for example a start-up NFE or a non-profit NFE)*** ☐

(g) Passive NFE ***(Note: if ticking this box please also complete Part 2(2) below)*** ☐

2. If you have ticked 1 (a)(i) or 1(g) above, then please:

a. Indicate the name of any Controlling Person(s) of the Account Holder:*

_____

_____

_____

*b. Complete "Controlling Person tax residency self-certification form" for each Controlling Person.**

Please see the definition of Controlling Person in Appendix.

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Part 3 – Country/Jurisdiction of Residence for Tax Purposes and related Taxpayer Identification Number or functional equivalent ("TIN") (see Appendix)*

Please complete the following table indicating (i) where the Account Holder is tax resident and (ii) the Account Holder's TIN for each country/Reportable Jurisdiction indicated. Countries/Jurisdictions adopting the wider approach may require that the self-certification include a tax identifying number for each jurisdiction of residence (rather than for each Reportable Jurisdiction).

If the Account Holder is not tax resident in any country/jurisdiction (e.g., because it is fiscally transparent), please indicate that on line 1 and provide its place of effective management or jurisdiction in which its principal office is located.

If the Account Holder is tax resident in more than three countries/jurisdictions, please use a separate sheet.

If a TIN is unavailable, please provide the appropriate reason **A, B or C where appropriate:**

Reason A - The country/jurisdiction where the Account Holder is resident does not issue TINs to its residents.

Reason B – The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason).

Reason C – No TIN is required. (Note. Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction).

	Country/Jurisdiction of tax residence	TIN	If no TIN available enter Reason A, B or C
1			
2			
3			

Please explain in the following boxes why you are unable to obtain a TIN if you selected Reason **B** above.

1	
2	
3	

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*Part 4 – Declaration and Signature**

I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with Wafra International Investment Company setting out how Wafra International Investment Company may use and share the information supplied by me.

I acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be reported to the tax authorities of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

I certify that I am authorized to sign for the Account Holder in respect of all the account(s) to which this form relates.

I certify that I am the Account Holder (or am authorized to sign for the Account Holder) of all the account(s) to which this form relates.

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

I undertake to advise *Wafra International Investment Company* within **30** days of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect or incomplete, and to provide *Wafra International Investment Company* with a suitably updated self-certification and Declaration within up to **30** days of such change in circumstances.

Signature: * _____

Print name: * _____

Date:* _____

Note: If you are not the Account Holder, please indicate the capacity in which you are signing the form. If signing under a power of attorney please also attach a certified copy of the power of attorney.

Capacity: * _____

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Appendix – Summary Descriptions of Select Defined Terms

Note: These are selected summaries of defined terms provided to assist you with the completion of this form. Further details can be found within the OECD *"Common Reporting Standard for Automatic Exchange of Financial Account Information"* (the "CRS"), the associated "*Commentary*" to the CRS, and domestic guidance. This can be found at the OECD automatic exchange of information portal.

If you have any questions then please contact your tax adviser or domestic tax authority.

"Account Holder"

The "Account Holder" is the person listed or identified as the holder of a Financial Account by the Financial Institution that maintains the account. This is regardless of whether such person is a flow-through Entity. Thus, for example, if a trust or an estate is listed as the holder or owner of a Financial Account, the trust or estate is the Account Holder, rather than the trustee or the trust's owners or beneficiaries. Similarly, if a partnership is listed as the holder or owner of a Financial Account, the partnership is the Account Holder, rather than the partners in the partnership. A person, other than a

Financial Institution, holding a Financial Account for the benefit or account of another person as agent, custodian, nominee, signatory, investment advisor, or intermediary, is not treated as holding the account, and such other person is treated as holding the account.

"Active NFE"

An NFE is an Active NFE if it meets any of the criteria listed below. In summary, those criteria refer to:

- active NFEs by reason of income and assets;
- publicly traded NFEs;
- Governmental Entities, International Organizations, Central Banks, or their wholly owned Entities;
- holding NFEs that are members of a nonfinancial group;
- start-up NFEs;
- NFEs that are liquidating or emerging from bankruptcy;
- treasury centers that are members of a nonfinancial group; or
- non-profit NFEs.

An entity will be classified as Active NFE if it meets any of the following criteria:

a) less than 50% of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50% of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;

b) the stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity of an Entity the stock of which is regularly traded on an established securities market;

c) the NFE is a Governmental Entity, an International Organization, a Central Bank, or an Entity wholly owned by one or more of the foregoing;

d) substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an Entity does not qualify for this status if the Entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;

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e) the NFE is not yet operating a business and has no prior operating history, (a " start-up NFE") but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE does not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;

f) the NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;

g) the NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution; or

h) the NFE meets all of the following requirements (a "non-profit NFE") :

i) it is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;

ii) it is exempt from income tax in its jurisdiction of residence;

iii) it has no shareholders or members who have a proprietary or beneficial interest in its income or assets;

iv) the applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and

v) the applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a Governmental Entity or other non-profit organization, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision.

Note: Certain entities (such as U.S. Territory NFFEs) may qualify for Active NFFE status under FATCA but not Active NFE status under the CRS.

"**Control**"

"Control" over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest (typically on the basis of a certain percentage (e.g. 25%)) in the Entity. Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person(s) is/are identified as exercising control of the Entity through ownership interests, then under the CRS the Reportable Person is deemed to be the natural person who hold the position of senior managing official.

"Controlling Person(s)"

"Controlling Persons" are the natural person(s) who exercise control over an entity. Where that entity is treated as a Passive Non-Financial Entity ("Passive NFE") then a Financial Institution is required to determine whether or not these Controlling Persons are Reportable Persons. This definition corresponds to the term "beneficial owner" described in Recommendation 10 and the Interpretative Note on Recommendation 10 of the Financial Action Task Force Recommendations (as adopted in February 2012).

In the case of a trust, the Controlling Person(s) are the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiaries, or any other natural person(s) exercising ultimate effective control over the trust (including through a chain of control or ownership). Under the CRS the settlor(s), the trustee(s), the protector(s) (if any), and the

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beneficiary(ies) or class(es) of beneficiaries, are always treated as Controlling Persons of a trust, regardless of whether or not any of them exercises control over the activities of the trust.
Where the settlor(s) of a trust is an Entity then the CRS requires Financial Institutions to also identify the Controlling Persons of the settlor(s) and when required report them as Controlling Persons of the trust.
In the case of a legal arrangement other than a trust, "Controlling Person(s) means persons in equivalent or similar positions.

"Custodial Institution"

The term "Custodial Institution" means any Entity that holds, as a substantial portion of its business, Financial Assets for the account of others. This is where the Entity's gross income attributable to the holding of Financial Assets and related financial services equals or exceeds 20% of the Entity's gross income during the shorter of: (i) the three-year period that ends on 31 December (or the final day of a non-calendar year accounting period) prior to the year in which the determination is being made; or (ii) the period during which the Entity has been in existence.

"Depository Institution"

The term "Depository Institution" means any Entity that accepts deposits in the ordinary course of a banking or similar business.

"FATCA"

FATCA stands for the U.S. provisions commonly known as the Foreign Account Tax Compliance Act, which were enacted into U.S. law as part of the Hiring Incentives to Restore Employment (HIRE) Act on March 18, 2010. FATCA creates a new information reporting and withholding regime for payments made to certain non-U.S. financial institutions and other non-U.S. entities.

"Entity"

The term "Entity" means a legal person or a legal arrangement, such as a corporation, organisation, partnership, trust or foundation. This term covers any person other than an individual (i.e. a natural person).

"Financial Institution"

The term "Financial Institution" means a "Custodial Institution", a "Depository Institution", an "Investment Entity", or a "Specified Insurance Company". Please see the relevant domestic guidance and the CRS for further classification definitions that apply to Financial Institutions.

"Investment Entity"

The term "Investment Entity" includes two types of Entities:
(i) an Entity that primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer:

- Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;
- Individual and collective portfolio management; or
- Otherwise investing, administering, or managing Financial Assets or money on behalf of other persons.

Such activities or operations do not include rendering non-binding investment advice to a customer.

(ii) "The second type of "Investment Entity" ("Investment Entity managed by another Financial Institution") is any Entity the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets where the Entity

is managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or the first type of Investment Entity.

"Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution"

The term "Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution" means any Entity the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets if the Entity is (i) managed by a Financial Institution and (ii) not a Participating Jurisdiction Financial Institution.

"Investment Entity managed by another Financial Institution"

"An Entity is "managed by" another Entity if the managing Entity performs, either directly or through another service provider on behalf of the managed Entity, any of the activities or operations described in clause (i) above in the definition of 'Investment Entity'.

An Entity only manages another Entity if it has discretionary authority to manage the other Entity's assets (either in whole or part). Where an Entity is managed by a mix of Financial Institutions, NFEs or individuals, the Entity is considered to be managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or the first type of Investment Entity, if any of the managing Entities is such another Entity.

"NFE"

An "NFE" is any Entity that is not a Financial Institution.

"Non-Reporting Financial Institution"

- A Non-Reporting Financial Institution" means any Financial Institution that is:
- a Governmental Entity, International Organisation or Central Bank, other than with respect to a payment that is derived from an obligation held in connection with a commercial financial activity of a type engaged in by a Specified Insurance Company, Custodial Institution, or Depository Institution;
- a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; a Pension Fund of a Governmental Entity, International Organisation or Central Bank; or a Qualified Credit Card Issuer;
- an Exempt Collective Investment Vehicle; or
- a Trustee-Documented Trust: a trust where the trustee of the trust is a Reporting Financial Institution and reports all information required to be reported with respect to all Reportable Accounts of the trust;
- any other defined in a countries domestic law as a Non-Reporting Financial Institution.

"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.

"Participating Jurisdiction Financial Institution"

The term "Participating Jurisdiction Financial Institution means (i) any Financial Institution that is tax resident in a Participating Jurisdiction, but excludes any branch of that Financial Institution that is located outside of that jurisdiction, and (ii) any branch of a Financial Institution that is not tax resident in a Participating Jurisdiction, if that branch is located in such Participating Jurisdiction.

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"Passive NFE"

Under the CRS a "Passive NFE" means any NFE that is not an Active NFE. An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution is also treated as a Passive NFE for purposes of the CRS.

"Related Entity"

An Entity is a "Related Entity" of another Entity if either Entity controls the other Entity, or the two Entities are under common control. For this purpose control includes direct or indirect ownership of more than 50% of the vote and value in an Entity.

"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 Jurisdiction Person"

A Reportable Jurisdiction Person is an Entity that is tax resident in a Reportable Jurisdiction(s) under the tax laws of such jurisdiction(s) - by reference to local laws in the country where the Entity is established, incorporated or managed. An Entity such as a partnership, limited liability partnership or similar legal arrangement that has no residence for tax purposes shall be treated as resident in the jurisdiction in which its place of effective management is situated. As such if an Entity certifies that it has no residence for tax purposes it should complete the form stating the address of its principal office.

Dual resident Entities may rely on the tiebreaker rules contained in tax conventions (if applicable) to determine their residence for tax purposes.

"Reportable Person"

A "Reportable Person" is defined as a "Reportable Jurisdiction Person", other than:

- a corporation the stock of which is regularly traded on one or more established securities markets;
- any corporation that is a Related Entity of a corporation described in clause (i);
- a Governmental Entity;
- an International Organization;
- a Central Bank; or
- a Financial Institution (except for an Investment Entity described in Sub Paragraph A(6) b) of the CRS that are not Participating Jurisdiction Financial Institutions. Instead, such Investment Entities are treated as Passive NFE's.)

"Resident for tax purposes"

Each jurisdiction has its own rules for defining tax residence, and jurisdictions have provided information on how to determine whether an entity is tax resident in the jurisdiction on the OECD automatic exchange of information portal. Generally, an Entity will be resident for tax purposes in a jurisdiction if, under the laws of that jurisdiction (including tax conventions), it pays or should be paying tax therein by reason of his domicile, residence, place of management or incorporation, or any other criterion of a similar nature, and not only from sources in that jurisdiction. Dual resident Entities may rely on the tiebreaker rules contained in tax conventions (if applicable) to solve cases of double residence for

determining their residence for tax purposes. An Entity such as a partnership, limited liability partnership or similar legal arrangement that has no residence for tax purposes shall be treated as resident in the jurisdiction in which its place of effective management is situated. For additional information on tax residence, please talk to your tax adviser or see the OECD automatic exchange of information portal.

“Specified Insurance Company"

The term “Specified Insurance Company” means any Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

“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 OECD automatic exchange of information portal.

Some jurisdictions do not issue a TIN. However, these jurisdictions often utilize some other high integrity number with an equivalent level of identification (a “functional equivalent”). Examples of that type of number include, for Entities, a Business/company registration code/number.

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WAFRA INTERNATIONAL INVESTMENT CO.

العميل المحترف المؤهل Qualified Professional Clients

A qualified professional client is someone who falls under one of the following criteria:

1. The Client has carried out Securities' transactions, in significant size, at an average no less than KD 250,000 perquarter over the previous two years.
2. The size of the Client's funds and assets with the Licensed Person is no less than KD 100,000.
3. The Client 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.

Implication on your Qualified Professional Client classification:

• Classified as a Qualified Professional Client qualifies the Client to participate in all products concerning Professional Clients such as:

1. Subscribe to units of investment funds managed by Wafra which include private offerings. Private Offerings include privately placed funds and offshore funds marketed in Kuwait, which are restricted to Professional and Qualified Clients only.
2. Participate in private offerings limited to the qualified professional clients.

•Professional Clients are considered to have sufficient experience, knowledge, and understanding of its risk appetite.

The applicable regulations don't require Wafra to:

1. Identify the Client's abilities to take risks (low/medium/high).
2. Identify the investment experience available and its suitability and relation to the areas of investment, the duration of the activities in the relevant financial markets, and the extent of reliance on investment consultancy.

I hereby confirm my desire to be categorized as a Qualified Professional Client:

Client Name : .....

Date : .....

Signature : .....

Failing to complete, sign and return this form to us within fifteen days from the date of receipt of this Notification of Client Classification will result in classifying as a Retail Client.

العميل المحترف المؤهل هو كل من استوفى أحد المعايير التالية:

١. أن يكون العميل لديه تعاملات في الأوراق المالية بأحجام كبيرة وبمتوسط لا يقل عن ٢٥٠٠٠٠ دك في كل ربع سنة على مدار السنتين السابقتين.

٢. ألا يقل حجم أموال وأصول العميل لدى الشخص المرخص له أو أكثر عن قيمة ١٠٠٠٠٠ دك.

٣. أن يعمل العميل أو سبق له العمل في القطاع المالي لمدة سنة على الأقل في منصب مهني محترف، يتطلب معرفة بالمعاملات أو الخدمات التي ستقم له.

• الأثار المترتبة على تصنيفكم كعميل محترف مؤهل:

• تصنيفكم كعميل محترف مؤهل لدينا يؤهلكم للاشتراك في المنتجات الاستثمارية الخاصة بالعميل المحترف وعلى سبيل المثال:

١. الاشتراك في جميع وحدات الصناديق الاستثمارية المدارة من الشركة المطروحة عن طريق الاكتتاب الخاص. تشمل عروض الاكتتاب الخاص صناديق الاستثمارات الخاصة وصناديق الاستثمارات الخارجية التي يتم تسويقها في الكويت والتي تقتصر على العملاء المحترفين بطبيعتهم والعملاء المحترفين المؤهلين فقط.

٢. الاشتراك في الاكتتابات الخاصة المقتصرة على العملاء المحترفين.

• يُعتبر العملاء المحترفين ذو خبرة ومعرفة وفهم كاف لقدرتهم على تحمل المخاطر, لذا فإن شركة وفرة وبحسب اللائحة التنفيذية لهيئة أسواق المال غير ملزمة بالآتي:

١. التعرف على قدرة العميل في تحمل المخاطر سواء (منخفضة / متوسطة / مرتفعة).

٢. التعرف على الخبرة المتوفرة لدى العميل ومدى ملاءمتها وارتباطها بالمجالات الاستثمارية. ومدة نشاط العميل في الأسواق المالية ذات العلاقة ومدى اعتماد العميل على الاستشارات الاستثمارية.

أكد بموجب هذه الوثيقة على رغبتي في ان يتم تصنيفي كعميل محترف مؤهل:

اسم العميل : .....

التاريخ : .....

التوقيع : .....

إن عدم قيامكم بتعبئة هذا النموذج بالبيانات اللازمة وتوقيعه وإعادته إلينا خلال خمسة عشر يوماً من تاريخ استلام اشعار تصنيف العميل هذا، سيترتب عليه تصنيفكم كعميل عادي.