

Application Form for Subscription of Units in BankDhofar Money Market Fund

Note: Please read the Prospectus before completing and submitting this Application Form



Date					
Application No.					
Applicant Information					
Applicant	☐ Individual ☐ Juristic Person ☐ Other				
Name of the Applicant	☐ Mr. ☐ Ms. ☐ HH ☐ HE ☐ M/s.				
Nationality		Date of Birth (in case of individual)			
Country of Incorporation (in case of Juristic person)		Date of Incorporation (in case of Juristic person)			
Name of the Parent/ Guardian (in case of minor)			Relation with Minor		
Proof of Identity					
☐ Passport/ ID Card No. (for individuals)		Issue Date		Expiry Date	
☐ Commercial Registration No. or Formation Decisions (for juristic persons)		Issue Date		Expiry Date	
Are you a holder of any of the following? Please specify ☐ Yes ☐ No					
☐ US Nationality ☐ Green Card ☐ Place of Birth in US ☐ US Residents					
Address in USA				Telephone No. in USA	
Are you (unitholder) tax residents in any country other than Oman? ☐ Yes ☐ No if "Yes" is selected, please fill Self-Certification CRS Form. CRS Form enclosed.					
Contact Details of Applicant					
P.O. Box.				Postal Code	
Location Address					
Telephone. No				Mobile No.	
Email					
Bank Account Details					
Bank Account Number: (this account will be used for refunds, (if any)					
Name of Bank					
Branch Name					
Name of A/C holder					
SWIFT Code					
Subscription Details					
Lump Sum Investment					
Aggregate Subscription Amount (OMR)					
Amount in words					
Payment Mode	☐ Account Debit ☐ Bank Transfer (proof of credit to be provided)				
Systematic Investment plan (SIP) [Available for Unitholders with minimum existing subscription of RO 1,000]					
Monthly SIP Amount* (OMR)					
Monthly SIP Amount in words					
Systematic Investment Plan	Date: ☐ 15 th ☐ 25 th (to choose one of the options)				
	From: To: (investing period)				

* a) SIP for Bank Dhofar customers only b) subject to exceeding minimum of RO 1,000 and minimum SIP amount of RO 100.

In case the bank above is different from Bank Dhofar S.A.O.G, please provide proof of the bank account in the form of bank statement or a letter from the Bank.

Payment to be made to following account:

Account name: BD MONEY MARKET FUND COLLECTION ACCOUNT

Bank: BankDhofar S.A.O.G

Account no.: 11001361570200

Branch: BankDhofar Head Office Branch

Swift code: BDOFOMRXXX

Politically Exposed Person (PEP) / Prominent Position

Politically Exposed Person (PEP) means a person currently or who was formerly, entrusted with a prominent public function in any country. Direct relative or "family members" includes parent, child, spouse, sibling, in law and in case of step parent- spouse, adopted child, step-child, adopted sibling, step-sibling and in laws. "Close Associates" means colleagues or personal advisors or business partners or having business relationships with PEP.

PEP may include the following:

- Head of Government, Minister, Prime Minister, and their deputies or any other equivalent position;
- Advisors/Consultants of the Head of Government, Ministers, Prime Ministers, or any other equivalent position or bodies affiliated to them;
- Important political party officials (Head, Minister, Secretary General);
- Any appointment based on Royal Decree;
- Member of the Royal Family;
- Rank of Colonel and above (Army, Navy, Air force, ROP, intelligence, investigation or law enforcement agency);
- President, Board members, Senior executive members (i.e. Vice President) of Central Banks;
- Board members, Directors (CEO), Deputy Directors of government owned company;
- Ambassador, Counsellor, First Secretary, Charges d'affairs or Embassy Attache'
- Member of parliament, Shura Council, Oman Council, State council; or any equivalent body;
- Judges of all Court levels; and
- Board members, Directors (CEO), Deputy Director of an international organization (such as UN, WHO, UNESCO. etc.)

Declaration - Individual Customer

Declaration		Primary Applicant
1.	Are you a current or a former PEP?	☐ Yes ☐ No
2.	If yes, I am/was a: ☐ Omani PEP ☐ Foreign PEP ☐ International Organization PEP ☐ Non-governmental organizations / Not for profit organization	
3.	Are you a "family member" of a current or former PEP?	☐ Yes ☐ No
	If yes, please describe the relation with the PEP: Parent, child, spouse, sibling and in-laws. In the case of Step Parent - spouse, adopted child, step child, adopted sibling, step sibling and in-laws.	
4.	Are you a "close associate" of a current or former PEP?	☐ Yes ☐ No
	If yes, please describe the association with PEP: colleague, personal advisor, business partner, or having business relationships.	

Declaration - Entity Customers

Is any of the company's beneficial owner or controller (director, authorized signatory, trustee, CEO etc.,) a current or former PEP or family member or close associate of PEP*?

☐ Yes ☐ No, If Yes, please fill PEP Declaration Form

Additional details for non-BankDhofar customers

Place of birth:

Sources of funds/Wealth:

Proof of Employment to be submitted (any one): Employee ID/ Salary Slip/ Letter from the company/ Bank Statement with salary

Monthly Income / sales (for entities):

For individuals ☐ < RO 500 ☐ Between RO 500 - 2,500 ☐ > RO 2,500

For Entities _____

Occupation (profession) / nature of business:

In case of entities, details of beneficial owners (individuals owning 25% and above) along with copy of passport:

If there is no Ultimate Beneficial Owner (UBO) owning 25% and more, provide details of Ultimate Controller i.e. CEO, Chairman etc., who exercises control.

Name	Percentage	Nationality	Country of Residence
1.			
2.			
3.			
4.			

In case of minor / student / house wife, un-employed, provide below details:

Name of fund provider:

Relationship of fund provider with applicant:

Nationality of fund provider:

Country of residence of fund provider:

Monthly Income of fund provider: ☐ < RO 500 ☐ Between RO 500 - 2,500 ☐ > RO 2,500

Occupation / profession of fund provider:

Notes

1. I/We subscribe for units in BankDhofar Money Market Fund ("Fund") set out above, I/We confirm that the money invested originates from a legitimate source.
2. Applications that are not in accordance with the terms and conditions of the Prospectus of the Fund (the "Prospectus"), articles of association of the Fund ("Articles of Association") and this subscription form are liable to be rejected.
3. I/We acknowledge that that I/We have received a copy of the Prospectus and the Articles of Association and any other information disclosed in relation to the Fund (the «Fund Documents»). I/We have read, understood and accepted the terms and contents of the Fund Documents, including the risks of, and other considerations related to, the subscription for units in the Fund ("Units") and its investment objectives, policies and strategies and the representations and warranties which I/we are giving to the Fund. I/We represent and warrant to the Fund and the investment manager to the Fund to which this subscription form is submitted, that I/we meet the eligibility requirements as set out in the Fund Documents. I/We hereby apply for the allotment of Units. I/We agree to abide by the terms, conditions, rules and regulations of the Fund.
4. I/We represent and warrant that I/we (including all of our beneficial owners) am/are not in breach of any applicable anti-money laundering, economic sanctions, anti-bribery, or anti-boycott laws or regulations or any other applicable laws and regulations relating to the prevention of money laundering or other similar applicable laws and regulations, and that I/we am/are not sanctioned persons prohibited or otherwise restricted from transacting business, am/are not owned or controlled by any such a person, and am/are not otherwise listed on any economic sanctions list.
5. I/We represent and warrant that I/we (including all of our beneficial owners) am/are not, and am/are not owned or controlled by, persons located or headquartered in jurisdictions subject to any trade embargoes, bans on trade or other similar prohibitions.
6. I/We agree to indemnify and hold harmless and keep indemnified and held harmless the Fund, the Fund Management Body, the issue manager, investment manager to the Fund, the legal advisor, the collecting bank/agent to the Fund to which this subscription form is submitted, and their respective directors, officers and employees against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result directly or indirectly from me/us applying for, acquiring or holding Units in contravention of paragraphs 3, 4, 5 and 6 above or otherwise in breach of, or non-compliance with, any other applicable provisions outlined in the Fund Documents. I/we understand and agree that this indemnity will survive the execution and delivery of this application and the issue or redemption of the Units.
7. I/We acknowledge and agree that should: (i) any of the representations and warranties given by me/us be false or misleading in whole or in part; (ii) I/we or any of my/our beneficial owners be found at any time to be in breach of applicable anti-money laundering, economic sanctions, anti-bribery or anti-boycott laws or regulations, or other applicable laws or regulations relating to the prevention of money laundering, or other similar applicable laws or regulations; (iii) I/we or any of my/our beneficial owner(s) become a US Person; (iv) I/we or any of my/our beneficial owner(s) become a Sanctioned Person (as defined in the Fund Documents) or otherwise be listed on any economic sanctions list; or (v) I/we or any of my/our beneficial owner(s) become, or be owned or controlled by, persons located or headquartered in a jurisdiction which is or becomes subject to Embargoes (as defined in the Articles of Association), then the Fund shall have the right to freeze my/our account and the right to compulsorily redeem, at its sole and absolute discretion and at any time, my/our Units at the prevailing NAV (as defined in the Prospectus) less the costs and liabilities caused to the Fund as a result of my/our breach of such representations and warranties or as a result of the relevant aforementioned circumstances existing.
8. I/We undertake to promptly provide any information and documentation that may be requested by the Fund, the Fund Administrator or the investment manager to the Fund to verify the accuracy of any representations and warranties given by me/us.
9. I/We confirm that the information given in/with this subscription form is correct, complete and truly and accurately stated. I/We agree to furnish such other information as may be required by the Fund, and I/we undertake to inform the Fund in writing about any change in the information provided, from time to time. I/We hereby indemnify and hold harmless and shall keep indemnified and held harmless the Fund, the Fund Management Body and investment manager to the Fund, the Fund administrator or to the Fund to which this subscription form is submitted, and their respective directors, officers and employees and all third parties associated with the Fund against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result directly or indirectly from or out of any dispute regarding the eligibility, validity and authorisation of my/our transactions and/or the applicant who applied on my/our behalf.
10. I/We will be responsible for any consequences for any incorrect information provided by me/us. I/We agree that the bank details provided above will be registered with the Fund and will be used for any refund, payment of dividend, return of capital or any other payment to me/us by the Fund.
11. I/We authorize the investment manager to debit my/our account for the subscription amounts indicated above. This authority is only available to the investment manager with respect to bank accounts held by investors with Bank Dhofar SAOG. Full details of the applicable fees, charges and requirements relating to subscription of Units are set out in the Prospectus.
12. I/We hereby confirm that I/We have the capacity, power and authority to execute this Application Form and undertake the investment in the Units of the Fund as set out herein. I/We further confirm that I/We have obtained all necessary approvals to authorize the execution and delivery of this Application Form and invest in the Units applied for herein.

Disclaimer:

- ☐ I/We have read the Prospectus, Articles of Association and other documents in relation to the Fund, and have understood and agree to all the terms and conditions set out therein including the risk factors.
- ☐ Past performance is NOT a guarantee of future performance. The value of any investment, including my/our investment in the Units in the Fund and the investments of the Fund, can fluctuate depending on the market value as on a transaction date. The Fund and BankDhofar S.A.O.G. being the Sponsor of the Fund are NOT responsible for any losses suffered on account of such market fluctuations.
- ☐ The investment manager to the Fund, and its directors, officers, employees, the Fund Management Body, and agents, shall be indemnified against any actions, proceedings, claims, costs, demands and expenses that they may have incurred while performing their duties, except as shall arise from their bad faith, wilful breach of duty or reckless or negligent act or omission..
- ☐ Applicant should sign as per ID copy or Passport copy.
- ☐ Applications that are not in accordance with the terms and conditions of the Prospectus, the Articles of Association or this Subscription Form are liable to be rejected.

Applicant/Guardian/Authorized Signatory (signature as per the ID copy or Passport copy)

Date	
Signature	

On behalf of the Investment Manager

We have reviewed the Application Form and have verified the completeness of the information contained herein and the documents attached with it. We have also verified the correctness of the following information:

1. Applicant's details
2. Details of the Applicant's bank account
3. Amount payable by the Applicant is compatible

Signature & Seal of
Investment Manager

Date

Address of the Collecting Agent for submission of this Application Form:

BankDhofar S.A.O.G. / Dhofar Islamic attention: Investment Backoffice Address: BankDhofar Head Office, Bank Al Markazi Street, Ruwi, postal address: P.O. Box 1507, Postal Code 112, Muscat, Sultanate of Oman, Email: investmentbackoffice@bankdhofar.com / assetmanagement@bankdhofar.com Tel: +968 22652198, Fax +968 24797246.