

AUTHORIZATION REQUIREMENTS: IDENTIFICATION

Governments and regulatory agencies in jurisdictions globally impose specific requirements on financial institutions to combat money laundering, terrorist financing, tax evasion, and other criminal activities (collectively, these activities are referred to herein as "money laundering"). State Street sets out minimum corporate standards which must be applied to Investor Authorization Services, contractual AML services, which include but are not limited to identification, verification and screening that State Street performs on behalf of its Customer.

N.B. – completion of the below mandatory data points is required prior to the submission of the subscription document, as per State Street Corporate minimum identification standards.

If the Investor is a non-individual ("entity"):

1. Full Business or Legal Entity Name: **(Must be completed)**

2. Physical address and country: **(Must be completed)**

- (a) *Principal place of business/trading address (if different to 2 above);*

- (b) *Local office or other physical location (if different to 2(a) above)*

3. Identification Number ¹: **(Must be completed)**

¹ For a U.S. legal entity, this will typically be an Employer Identification Number ("EIN") and legal registration document. Alternatively, a Tax Identification Number ("TIN"), used in many jurisdictions, is sufficient.

For a non-U.S. business that does not have an identification number, an alternative government issued document certifying the existence of the business must be obtained or validated via a government sponsored source or other reliable source. For an entity that has applied for and has not received an EIN, or for non-U.S. businesses which have been incorporated/formally established but have not yet been issued with an identification number or equivalent, an account may be opened after the Business Unit confirms that the application has been filed before the customer opens the account and obtains the identification number within a reasonable period of time after the account is opened.