



Application Form – Swan Global Funds Ltd

Swan Wealth Managers Ltd,
Swan Centre,
Intendance Street,
Port Louis.

Section 1 – Application Instructions and Conditions

1. BLOCK letters should be used to complete all sections (1 to 5) of this form.
2. Copies of the Prospectus and Class Appendices are available for inspection during business hours at the office of the Manager, Swan Wealth Managers Ltd, Swan Centre, Intendance Street, Port Louis.
3. Applications may be made only by persons of 18 years of age or more. However, a parent or guardian of a child under 18 years of age may apply on behalf of the child.
4. Applications in joint names are allowed.
5. Corporate entities and Sociétés may also apply for shares of the Fund.
6. Application forms may be rejected if relevant instructions are not complied with.
7. If a subscriber is represented by a proxy, please provide a Certified copy of the signed Power of Attorney.
8. To meet the requirements of the Financial Intelligence and Anti-Money Laundering Act 2002:

(a) Applicants/Joint Applicants are required to attach the following documents:

- (i) Certified copy of your National Identity Card or first 3 pages of your valid Passport.
- (ii) Original of a recent utility bill (< 3 months old) showing your name and permanent residential address.
- (iii) Relevant document(s) evidencing your source of funds.
- (iv) Bank reference not older than 3 months or bank statement for past three months from a recognised banking institution.

NB: If an applicant is being represented, the document evidencing that the representative has been duly authorised shall also be required. This representative shall also be required to provide documents evidencing the latter's identity and residential address.

(b) Corporate Applicants are required to attach Certified Copies of the following documents:

- (i) Certificate of Incorporation or Registration or "Status" or Trust Deed
- (ii) Certificate of Current Standing
- (iii) Memorandum & Articles of Association / Constitution
- (iv) Business registration card (where applicable)
- (v) Board resolution for the appointment of authorised signatories
- (vi) Register of directors and list of shareholders
- (vii) Documents evidencing the identity and residential address of the authorised signatories [see 8 (a), (i) & (ii)].
Documents evidencing the identity and residential address of the directors [see 8 (a), (i) & (ii)].
- (viii) For significant shareholders (directly or indirectly holding 20% or more of the capital or voting rights of the corporate entity), documents evidencing the identity and residential address of the shareholders [see 8 (a), (i) & (ii)].
- (ix) Latest audited Annual Report and Financial Statements.

NB: You may hand over the Certified Copies of the above documents to the authorised sub-Distributor with whom you are dealing or you may alternatively produce the original documents and their photocopies at our office and we will be pleased to certify the latter for you.

Section 2 – Applicant(s) Details

Individuals should fill in Section 2A. Joint applicants should fill in Sections 2A and 2B. Corporate applicants should fill in Sections 2C. Applicants under Regular Investment Plan should also fill in Section 2 (whichever sub section applicable). All applicants should fill in Sections 3, 4 and 5.

A - INDIVIDUAL APPLICANT	
TITLE: Mr./Mrs./Ms./Minor	
First Name (s):	
Surname:	
Telephone Number:	
Date of Birth (DD/MM/YY):	
Nationality:	
NIC / Passport Number:	
Marital Status: Single / Married / Divorced / Widowed	
Residential Address:	
Mailing Address (if different):	
Signature:	Date:
Self / Proxy / Guardian	

B - JOINT APPLICANT	
TITLE: Mr./Mrs./Ms./Minor	
First Name (s):	
Surname:	
Telephone Number:	
Date of Birth (DD/MM/YY):	
Nationality:	
NIC / Passport Number:	
Marital Status: Single / Married / Divorced / Widowed	
Residential Address:	
Mailing Address (if different):	
Signature:	Date:
Self / Proxy / Guardian	

C - CORPORATE APPLICANT	
Name of Entity:	
Type of Entity:	
Date / Place of Incorporation	
Registration Number:	
Main Business Activity:	
Address of Registered Office (PO Box not allowed):	
Principal Place of Business:	
Telephone:	
Company Seal:	

C - CORPORATE APPLICANT (cont'd)	
i) Authorised signature:	
Signatory's name:	
Date of Birth (DD/MM/YY):	
Nationality:	
NIC / Passport Number:	
Capacity:	
Signature:	Date:
ii) Authorised signature:	
Signatory's name:	
Date of Birth (DD/MM/YY):	
Nationality:	
NIC / Passport Number:	
Capacity:	
Signature:	Date:

Swan Global Funds Ltd

Section 3(a) – Investment Option

The minimum initial subscription for any one Fund is stated in the Prospectus.

Name of Fund	Settlement Currency	Amount of Subscription	Lump Sum / Regular Investment Plan*
Swan Global Funds Ltd - Foreign Equity Fund			
Swan Global Funds Ltd – Emerging Markets Equity Fund			
Swan Global Funds Ltd – Income Fund			
TOTAL			

*If you have selected “Regular Investment Plan”, regular contributions should be effected by way of standing order and subscribers are therefore required to fill in and sign the Standing Order instruction form available from the Manager and/or the Sub-Distributor.

I/We understand that shares will be allocated to me/us at the Price calculated on the next Valuation Date following settlement of subscription payment in the bank account of the Fund and further to reception and acceptance of my/our application form, at the office of the Manager.

Cash shall not be accepted for subscription. Cheques issued in favour of Swan Global Funds Ltd may be accepted at the office of the Manager and/or the Sub-Distributor. For settlement by bank transfers, transfer forms are available at the office of the Manager and/or the Sub-Distributor.

Details for application in foreign currencies, and initial service fee are provided in the Prospectus.

Initials:.....

Section 3(b) – Dividend Distribution Option

Only complete this section if you have opted to invest in **Swan Global Funds Ltd – Emerging Markets Equity Fund** and /or **Swan Global Funds Ltd - Income Fund** in Section 3(a) above. All dividend distribution from **Swan Global Funds Ltd – Emerging Markets Equity Fund** and /or **Swan Global Funds Ltd - Income Fund** will be paid to you:

(i) Either in Species

Dividend will be reinvested in the Fund and you will receive the equivalent additional shares based on the share price calculated at the next valuation date following distribution date.

(ii) Or by Bank Transfer or Cheque

I /We wish to have my/our dividend, if any, paid by **transfer** to the following bank details:

Full name of bank account owner (s):

Account number.....

Bank:.....

Bank Address:.....

Signature of bank account owner (s):

I /We wish to have my/our dividend, if any, paid by **cheque** to the in the name of the applicant(s) as per Section 2.

Please note that we cannot make a payment into an account which is in an account name other than that of the applicant(s) as per Section 2 above.

Initials:.....

Section 4 – Employment Details and Source of Funds

1. Employment Status

Your present occupation: _____

Your/your employer's business name: _____

Your/your employer's business address (PO Box not allowed): _____

Office Phone: _____

Office Fax: _____

2. Financial Details (If joint, combined monthly income) - (Please v accordingly)

Monthly income (MUR)	
Less than MUR 25,000	
MUR 25,001 - MUR 50,000	
MUR 50,001 - MUR 75,000	
MUR 75,001 - MUR 100,000	
More than MUR 100,000	

Source of Funds Subscribed	
Salary	
Rental/Property sale	
Inheritance/Gift	
Dividend/Interest/ Maturing investment/Sale of shares	
Retirement benefit / Pension	
Lottery / Casino / Betting	
Others (Specify)	

I / We declare that I am / we are a "US Person"* / I am not / we are not a "US Person"* within the meaning of US tax regulations.

If I / we should become a "US Person"*, I / we undertake to inform the Manager immediately and to provide all necessary documentation required under the US tax regulations.

*US citizen, a resident in the United States or holder of a Green Card within the meaning of the Intergovernmental agreement signed on 27 December 2013 between the Government of the Republic of Mauritius and the Government of the United States of America and more generally within the meaning of US legislation.

HAVE YOU EVER BEEN CONVICTED OF ANY OFFENCE IN MAURITIUS OR ELSEWHERE OR ARE THERE ANY PROCEDURES NOW PENDING AGAINST YOU WHICH MAY LEAD TO SUCH A CONVICTION? YES / NO Initials: _____

If Yes, please specify: _____

Section 5 – Declaration

1. I/We hereby acknowledge that (i) I/We have read and understood the Prospectus and Class Appendices of Swan Global Funds Ltd, (ii) to the best of my/our knowledge and belief, the statements made in this application and any related documents are true and complete and (iii) authorize Swan Wealth Managers Ltd to obtain independent verification of any data provided.

2. This application is made on the basis of and subject to the terms and conditions as set out in the Prospectus and Class Appendices of Swan Global Funds Ltd. These terms and conditions are indicative and may change with market fluctuations. Structured transactions are complex in nature and I/we understand that I/we should make my/our own appraisal of the risks arising from the subscription to or acquisition of this instrument, and should consult to the extent necessary my/our own legal, financial, tax, accounting and other professional advisors in this respect prior to making such investments.

3. I/We acknowledge that neither the Manager nor the Board of Directors or any other functionary of the Fund guarantees the performance of the Fund or the repayment of capital or any particular rate of return or any distribution.

4. I/We acknowledge that the monies I/we are hereby investing are not proceeds of illegal/criminal activities and my/our investment is not designed to conceal such proceeds and to avoid prosecution for an offence.

5. I/We undertake to promptly notify the Manager of any change in the information and details provided above.

6. I/We authorize the Manager to send statement of accounts, advices or any other correspondence at the address given above at my/our own risk and perils.

7. I/We agree that Swan Wealth Managers Ltd may request further documentary evidence to be provided with respect to information given by me/us in this application form.

Date:

Date:

Signature:

Signature:

APPLICANT (Self/Proxy/Guardian)

APPLICANT (Self/Proxy/Guardian)

Swan Global Funds Ltd

Once completed, this form, together with the remittance and the documents mentioned at "SECTION 1" above should be forwarded to the Manager, whose mailing address is found above.

FOR OFFICE USE

Investment through Referrer / Direct Investment			
REFERRER's Name:			PEP: Yes /No
		Received (MuR / EUR / USD)	
Initial service fee (%):		Received By	
<i>First payment received in / by: (complete below)</i>			
Receipt No.		Date received	
Cheque no.		Cheque date	
Account no.		REFERRER's Signature	
Bank			
Lodgement date			

For Swan Wealth Managers Ltd			
Shareholder's Reference			
Fund Selected :			
	Foreign Equity Fund <input type="checkbox"/>	Emerging Market Equity Fund <input type="checkbox"/>	Income Fund <input type="checkbox"/>
Processed By		Initials	
Valuation Date			
Approved Date		Signature	
Approved by			
Received (in FCCY)		Equivalent in MUR	

The Manager,
Swan Wealth Managers Ltd,
Swan Centre,
10 Intendance Street,
Port Louis.

I/We apply to purchase shares of the following sub-funds of Swan Global Funds Ltd (the "Fund")

- Swan Global Funds Ltd – Foreign Equity Fund
- Swan Global Funds Ltd – Emerging Markets Equity Fund
- Swan Global Funds Ltd – Income Fund

as per Section 3 of the application form of the Fund with a full understanding that the sub-funds have the following main features:

- They are well-diversified over renowned international fund houses such as Allianz, AXA, Blackrock, Schroders, Fidelity, JP Morgan, Goldman Sachs, Franklin Templeton, Henderson, Vanguard etc., and/ or fixed income instruments issued by sovereigns and/or corporates
- The weekly NaV per share and the monthly factsheets are available on the website on the following link: <http://www.swanforlife.com/en/for-you/prosper/wealth-management/investment-solutions/>.
- Flexibility: Profits, part of the investment or the whole investment can be cashed in anytime without exit fees.
- Past performance is not indicative of future performance. Investment in the Foreign Equity Fund, Emerging Markets Equity Fund and Income Fund involves an element of risk as the performance of the fund depends on performance of international stock markets which are subject to volatility. Therefore, the value of investment and the income derived from it may rise as well as fall and the initial investment amount cannot be guaranteed. Changes in the rates of exchange between currencies may cause the value of investments to go up and down.

My / our initial / additional investment amounts to and, I / we agree that an initial service charge ofshall be applied.

I/We acknowledge that the monies I/we are hereby investing are not proceeds of illegal/criminal activities and my/our investment is not designed to conceal such proceeds and to avoid prosecution for an offence.

Signed this.....

Signature:

Capacity:

Name:

Corporate Seal: