

## CUSTOMER DUE DILIGENCE QUESTIONNAIRE

To comply with applicable anti-money laundering laws and regulatory requirements and the Fund's corresponding policies and procedures, please read the instructions and provide all such information and documentation as required by this document.

Please note that:

- (1) The Fund may request additional documentation as required by law or its internal policies.
- (2) Any deviation from the requirements will be subject to the approval of the Fund or its delegate at its sole discretion.
- (3) If a prospective investor delays in producing or fails to produce any information required, the Fund (or its delegate) may refuse to accept any application to subscribe. In such event, any funds received will be returned only to the source from which they came and without interest.

In addition, please promptly notify the Fund (or its delegate) in writing of any changes from time to time to its business activities, directors, officers, shareholders, beneficial owners<sup>1</sup>, partners, trustees, settlors, controllers or other documents, data or information provided during this due diligence process.

### Part 1 - Exempted Customers, Nominees, Agents or Eligible Introducers

**1.1** If you belong to one of the categories below, please (1) "✓" in the appropriate box, (2) provide evidence of regulated/listed/governmental/registration status, (3) Powers of Attorney or other authority and specimen signatures of all individuals that are authorised to act on the customer's behalf in relation to its investment, (4) provide ownership structure (only if you are a majority owned subsidiary as stated in Category a. to c.) and (4) go to 1.2.

If no, please go to Part 2.

- |   |     |                          |
|---|-----|--------------------------|
| a. Is carrying out relevant financial business <sup>2</sup> and is required to comply with Regulation 5 of the Anti-Money Laundering Regulations of the Cayman Islands or is a majority owned subsidiary <sup>3</sup> of such entity; | Yes | <input type="checkbox"/> |
| b. Subject to regulatory oversight ("Regulated Entity") or is a majority owned subsidiary <sup>3</sup> of the Regulated Entity;   | Yes | <input type="checkbox"/> |
| c. Listed on a recognized stock exchange <sup>4</sup> ("Listed Entity") or is a majority owned subsidiary <sup>3</sup> of the Listed Entity;  | Yes | <input type="checkbox"/> |
| d. A central or local government organization, statutory body or agency of government (e.g. sovereign wealth fund); or  | Yes | <input type="checkbox"/> |
| e. A pension fund for a professional association or trade union or is acting on behalf employees of an entity of the categories above.  | Yes | <input type="checkbox"/> |

**1.2** Please (1) "✓" in the appropriate box of the category you belong to, (2) if you are acting as a nominee or agent for a principal or if you are an Eligible Introducer<sup>5</sup> introducing customers, provide the written assurance (see the AML/CFT Attestation Letter attached) and (3) go to 1.3.

- |                                       |     |                          |
|---------------------------------------|-----|--------------------------|
| a. An exempted customer               | Yes | <input type="checkbox"/> |
| b. A nominee or agent for a principal | Yes | <input type="checkbox"/> |
| c. A Eligible Introducer              | Yes | <input type="checkbox"/> |

**1.3** Please select in the following question and go to Part 3.

<p>The jurisdiction:</p> <p>(1) where you are subject to regulatory oversight (Category a. &amp; b.);</p> <p>(2) where the Listed Entity is listed (Category c.); or</p> <p>(3) where your operation is based (Category d. &amp; e.).</p>	
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<sup>1</sup> Beneficial owners are defined in the Notes and Instructions Section

<sup>2</sup> Relevant financial business is defined under the Proceeds of Crime Law (2020 Revision) of the Cayman Islands

<sup>3</sup> A majority owned subsidiary is defined as a subsidiary being more than 50% owned by the subsidiary's parent directly or indirectly

<sup>4</sup> The list of stock exchanges approved/recognized by the Cayman Islands Monetary Authority can be found at: [www.cima.ky/trusts-regulatory-measures - Policy - List of Approved Stock Exchanges](http://www.cima.ky/trusts-regulatory-measures-Policy-List-of-Approved-Stock-Exchanges)

<sup>5</sup> The Fund (or its delegate) may request additional information for any introducer to satisfy the requirements of being an Eligible Introducer, even if he/she has been previously recognized so

## Part 2 – Regular Customers

If none of the categories listed under 1.1 above applies to you, please (1) “✓” in the appropriate box of the categories below, (2) provide the documentation according to the checklist and (3) go to Part 3.

### 2.1 Individual Customers (i.e. natural persons):

Yes ☐

- a. Current valid passport, identification card or driving license that bears the photograph, the signature and the nationality, date of birth and place of birth information of the customer; and
- b. Recent utility bill, bank statement, reference letter that is issued by an independent party and bears both the name and residential address of the customer.

### 2.2 Corporate Customers:

Yes ☐

- a. Certificate of incumbency or equivalent issued within the last 6 months showing the status of the corporate;
- b. Certificate of incorporation or equivalent;
- c. Constitutional documents (e.g. memorandum and articles of association, by-laws);
- d. Register of directors;
- e. Register of members;
- f. Powers of Attorney or other authority<sup>1</sup>, identification information<sup>2</sup> and specimen signatures of all individuals that are authorised to act on the customer's behalf in relation to its investment;
- g. Identification information<sup>2</sup> of all directors, including the executive director(s); and
- h. Identification information<sup>2</sup> of all natural persons owning more than 10% interest in the corporate directly or indirectly (Note: Where there are one or more entities in a chain of ownership meeting this criterion, please provide the ownership structure of these entities in the chain in addition to the identification information).

### 2.3 Partnership/Unincorporated Business Customers:

Yes ☐

- a. Certificate of incumbency or equivalent issued within the last 6 months showing the status of the partnership;
- b. Certificate of registration or equivalent;
- c. Partnership agreement or equivalent;
- d. Register of limited partners;
- e. Powers of Attorney or other authority<sup>1</sup>, identification information<sup>2</sup> and specimen signatures of all individuals that are authorised to act on the customer's behalf in relation to its investment;
- f. Identification information<sup>2</sup> of the general partner and the controllers; and
- g. Identification information<sup>2</sup> of all natural persons owning more than 10% interest in the partnership directly or indirectly (Note: Where there are one or more entities in a chain of ownership meeting this criterion, please provide ownership structure of these entities in the chain in addition to the identification information); and

### 2.4 Trust, NPO and Other Customers (e.g. family trusts, charities, foundations, etc.):

Yes ☐

- a. Trust deed, declaration or equivalent;
- b. Powers of Attorney or other authority<sup>1</sup>, identification information<sup>2</sup> and specimen signatures of all individuals that are authorised to act on the customer's behalf in relation to its investment in the Fund; and
- c. Identification information<sup>2</sup> of the trustees, the settlors, the protector, the enforcer, the beneficiaries (with a fixed and vested interest), the principal/officer (as applicable) and any other natural person exercising ultimate effective control over the trust or legal arrangement (Note: Where there are one or more entities in a chain of ownership meeting this criterion, please provide ownership structure of these entities in the chain in addition to the identification information).

<sup>1</sup> The Powers of Attorney or other authority should provide (1) evidence of the authority to enter into the business relationship with the Fund and (2) the list of the individuals that are authorised to act on the customer's behalf in relation to its investment in the Fund

<sup>2</sup> Requirements of identification information should refer to the respective section set out in this guidance

### Part 3 – Politically Exposed Persons Declaration

Please “✓” in the appropriate box below and go to Part 4.

Is the customer or any of its beneficial owners or controllers a Politically Exposed Person (“PEP”)<sup>1</sup>, a Family Member<sup>1</sup> of a PEP or a Close Associate<sup>1</sup> of a PEP, or is acting on the behalf of a PEP?

Yes

☐

No

☐

### Part 4 – Ethical Standing

Please “✓” in the appropriate box below and go to Part 5.

Is or has been the customer, or principals of the customer, the subject of criminal / civil or regulatory proceedings for crime, corruption, misuse of public funds or associated with such persons?

Yes

☐

No

☐

### Part 5 – Source of Funds of the Customers<sup>2</sup>

Please (1) “✓” in the appropriate box of the categories below, (2) follow the instructions under the appropriate category and (3) go to Part 6.

#### 5.1 Individual Customers (i.e. natural persons):

Yes

☐

Please follow all of the following questions below and select or fill in the information.

Source of Funds:			
Employment Status:		Employment Start Date (MM/YYYY):	
Job Nature:		Job Level:	
Name of Employer/Business:			
Address of Employer/Business:			

#### 5.2 Corporate and other legal form customers:

Yes

☐

a. Please “✓” in the appropriate box below.

The investment is to be made on behalf of and in the interest of the customer itself

Yes

☐

The investment is to be made on behalf of the customer’s customer

Yes

☐

b. Please select.

Source of Funds:	
Business Industry:	

<sup>1</sup> The Politically Exposed Person and their family members and close associates are defined in the Notes and Instructions Section

<sup>2</sup> Source of funds of the principals in the case of nominees or agents

5.2 Corporate and other legal form customers (Cont'd):

c. Please “✓” in the appropriate box below.

Is your business/organization engaged in any of the following businesses/activities?

- (1) Arms, defense, military, atomic power, marijuana;

Yes

☐
- (2) Extractive industries, precious metals and stones, virtual currencies;

Yes

☐
- (3) Money or value transfer, payment service, gambling;

Yes

☐
- (4) Regulated charities, non-government organisation;

Yes

☐
- (5) Unregulated charities, embassy/consulate;

Yes

☐
- (6) Adult entertainment, shell bank<sup>1</sup>; or

Yes

☐
- (7) None of the above.

Yes

☐

d. Please “✓” in the appropriate box below.

- We confirm there is no natural person who qualifies as a beneficial owner<sup>2</sup> of the customer.

Yes

☐
- We confirm the following table includes all natural persons who qualifies as a beneficial owner<sup>2</sup> of the customer.

Yes

☐

e. Please select or fill in the information in the table below.

Beneficial Owner<sup>2</sup> Details

Full Name (as shown on passport/ identification card)	Employment Status	Job Nature

<sup>1</sup> A shell bank is defined as a bank that has no physical presence in the country in which it is incorporated and licensed, and which is unaffiliated with a regulated financial group that is subject to effective consolidated supervision ("physical presence" means management located within a country; the existence simply of a local agent or low level staff do not constitute physical presence)

<sup>2</sup> Beneficial owners are defined in the Notes and Instructions Section

**Part 6 – Declaration**

Please (1) read the declaration and (2) provide your name and sign off.

I/we declare that the information and documentation provided in this document and as required by this document are, to the best of my/our knowledge, and belief, true, correct, updated and complete.

Signature			
Individual Customers (i.e. natural persons)		Corporate or Other Legal Form Customers, Nominees or Agents, or Eligible Introducers	
Signature:		Signature of Authorized Signor:	
Name: (as shown on passport/ identification card)		Name of Authorized Signor: (as shown on passport/ identification card)	
Date (MM/DD/YYYY):		Capacity of Authorized Signor:	
		Date (MM/DD/YYYY):	

Please remember to save the file after all the applicable options are checked and all the information are provided.

## NOTES AND INSTRUCTIONS

### Identification Documents and Certification

- The copies of identification documents, especially the identification card, must be legible. The photograph must be clear and the person identifiable from the photograph.
- The copies of identification documents can only be accepted where they have been certified by suitable certifiers within the last 3 months.
  - The certifiers should be suitable persons, such as, lawyers, accountants, directors or managers of regulated financial institutions, a notary public, a member of the judiciary or a senior civil servant/government official. No individuals should certify their own documents.
  - The certifier should print and sign his/her name, indicate his/her professional designation and designation number, institution name & position, phone number, contact email.
- Preferably, the certification should read: "The document is certified by me as a true and accurate copy of the original". The certification should also confirm that the photograph bears a true likeness to the individual requesting the certification.
- In cases where the certification is attached to the copy document page, the wording should clearly identify what documentation is being certified including specific references to the name, passport number and date of birth of the person.
- In cases where the identification card does not bear a signature, the bearer of the document should sign the copy and the signature should be certified together with the document itself (i.e. the certifier should state: "and the bearer of the document has signed in my presence").
- Where documents or certification is in a language other than English or Chinese, certified translation is required.
- If a document is presented in an electronic form, it may be regarded as an original if it is evident that it was issued or created in such an electronic form. However, the Fund (or its delegate) reserves the right to request hard copy documents, certification and/or additional information as it sees necessary.

### Beneficial Owners

- A beneficial owner means the natural person who ultimately owns or controls the customer or on whose behalf a transaction or activity is being conducted and includes but is not restricted to:
  - In the case of a legal person other than a company whose securities are listed on a recognised stock exchange<sup>4</sup>, a natural person who ultimately owns or controls, whether through direct or indirect ownership or control, 10% or more of the shares or voting rights in the legal person;
  - In the case of any legal person, a natural person who otherwise exercises ultimate effective control over the management of the legal person; or
  - In the case of a legal arrangement, the trustee or other person who exercises ultimate effective control over the legal arrangement.

### The Politically Exposed Persons and their Family Members and Close Associates

- A Politically Exposed Person ("PEP") is an individual who holds an important public position, including a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official, or an individual who holds a prominent position of an international organization, including a director, deputy director and member of the board or equivalent function.
  - The PEP defined here does not include a middle-ranking or more junior official of any of the categories mentioned above.
- A family member of a PEP is an individual who is related to the PEP either directly (consanguinity) or through marriage or similar (civil) forms of partnership, including a spouse, a partner, a child or a parent of the PEP, or a spouse or a partner of a child of the PEP.
- A close associate to a PEP is an individual who is closely connected to the PEP, either socially or professionally, including an individual who is a beneficial owner of a legal person or trust of which the PEP is also a beneficial owner, or an individual who is the beneficial owner of a legal person or trust that is set up for the benefit of the PEP.

## AML/CFT ATTESTATION LETTER

(Applicable to Nominees, Agents, Eligible Introducers only)  
(To be completed on the letterhead of the Nominee, Agent, or Eligible Introducer)

NuBright Fund Services Limited  
Room 1903, 19/F Chinachem Tower  
34-37 Connaught Road  
Central Hong Kong  
Email: [taservice@nubright.com](mailto:taservice@nubright.com)  
Attn: Account Manager

To Whom It May Concern,

**RE: [name of principal] (the “Principal”)**

1. We, [name of Nominee/Agent/Eligible Introducer], a company incorporated in [name of jurisdiction] and having a registered address at [registered address], are regulated by [name of regulator] ([Registration no.]) and are compliant with the anti-money laundering requirements of [name of jurisdiction]. We confirm we have adequate AML/CFT measures in place to comply with the relevant requirements.
2. We confirm that the Principal is [incorporated/established (please amend as appropriate if the entity is not a company)] in accordance with the laws of [name of jurisdiction], on [date], having a registered address at [registered address].
3. We confirm that we have acted as the [Trustee/Nominee/Manager/Fund Administrator/Registrar] of the Principal since [date].
4. We confirm that we have performed verification of the identity of the Principal based on the initial risk assessment, and, where applicable, their beneficial owners, other controlling parties and proxy holders, such that the ownership and control structure of the underlying customer(s), in particular the legal person(s), trust(s) and similar legal arrangement(s), is/are understood and the risks associated with the Principal are assessed. We confirm that we have identified the source of funds of the Principal.
5. We confirm that we have performed enhanced due diligence on the underlying customers with higher risks and their beneficial owners, including, where applicable, politically exposed persons (“PEP”), and, where a relationship being established with countries or territories which do not or insufficiently apply AML/CTF/CPF measures and that we will continue to do so on an on-going basis.
6. All relevant documents of the Principal and, where applicable, the beneficial owners, will be retained on file. We confirm that we will provide to you a copy of the evidence of the identity of the Principal and, where applicable, their beneficial owners, promptly upon your request and will not destroy such evidence without prior notice.
7. We confirm that all names of customers and beneficial owners are screened against the lists prescribed by the United Nations Security Council, the European Union and the United States Office of Foreign Assets Control, as well as, the sanctions lists prescribed by the regulations in the jurisdiction(s) applicable to the Principal (collectively referred to as ‘sanctions’). We confirm that the Principal does not accept investments from, or conduct business with, a person or entity which it is aware is a party subject to these sanctions.
8. We confirm that the reasonable measures are in place to detect transactions which are suspicious and potentially linked to money laundering and sanctions.
9. We confirm that we are NOT aware that (i) the Principal has been found to be, or has been suspected of, conducting any activity that would presently constitute a money laundering and/or terrorist financing offence; or (ii) the source of funds is not legitimate; or (iii) the Principal is, or is associated with, a politically exposed person.
10. We confirm that we do not enter into business relationship with any company using bearer shares or bearer instruments. We confirm that we do not enter into business relationship with any shell bank or accept any shell bank as the underlying customer or beneficial owner.

Yours faithfully,

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Authorised signatory name:

Job/position title:

Date:

Contact details of signatory

Address:

Email:

Telephone: