

Before completing this form, please read the statement on the use of customer information and the Notes under section 5 and Declaration under section 5. Please ensure that you complete all relevant sections on this form, including the reverse. (\*Optional fields, in the case of daytime or evening telephone numbers at least one number must be provided). Return the form to First State Investments (UK) Limited, PO BOX 404, Darlington, DL1 9UZ, UK, with your cheque for lump sum investments and/or completed direct debit mandate for regular savings; or telephone 0800 587 3388 (UK investors only) or +44 (0) 203 528 4102. Terms defined in the prospectus of the Company (“Prospectus”) shall, unless the context requires otherwise, bear the same meaning herein.

Important Information

First State Investments ICVC offers a range of Class B shares that do not pay commission and therefore generally have a lower annual management charge than the equivalent Class A shares.

Notes

- No application (including any transfer application) will be processed until all required information has been provided by the applicant. The Authorised Corporate Director reserves the right to reject any application at its sole discretion.
- All prospective investors should consult with their own advisors regarding the possible implications and classifications under the AEOL regimes of an investment in the Company.
- The Company, Administrator and the Distributor reserve the right to request additional documents as are necessary to verify the identity of the applicant(s) for the propose of anti-money laundering, counter terrorist financing and any other laws or regulations.
- If you sign this form and dealing instruction, you will be bound to pay for the shares within 4 business days of the valuation point.

If there are more than two joint applicants (up to a maximum of four) all names and addresses must be supplied and all applicants must sign the “Multi Applicant Addendum”. All payments and correspondence will be sent to the first address unless you specify otherwise. Applicants must be over 18 years of age.

1A. Client details

Please provide your full name and address.

First applicant

Title

Surname

Forename(s) in full

Nationality

Citizenship

(Please detail all countries of Citizenship)

Permanent address

Postcode

Country

Correspondence address (if different from above)

Postcode

Country

\*Telephone (daytime)

Country Code

Area Code

Tel

\*Telephone (evening)

Country Code

Area Code

Tel

Date of birth

Country of Birth

City/Town of Birth

National Insurance No.

(To be completed by Nationals/Citizens of the Isle of Man, Gibraltar, Jersey or Guernsey)

Email address

Existing client no. (if applicable)

Designation

Tax residency

Please list below your country/ies of tax residency and applicable Tax ID/TIN

Tax Resident Country

Tax ID/TIN\*\*

Tax Resident Country

Tax ID/TIN\*\*

Tax Resident Country

Tax ID/TIN\*\*

\*\* A Tax ID/TIN is a Tax Identification Number which is issued by your country of residence for tax purposes.

I am a Specified United States Person per the FATCA definition (per the guidance under the declaration section of this form) Yes No

Second applicant

Title

Surname

Forename(s) in full

Nationality

Citizenship

(Please detail all countries of Citizenship)

Permanent address

Postcode

Country

Correspondence address (if different from above)

Postcode

Country

\*Telephone (daytime)

Country Code

Area Code

Tel

\*Telephone (evening)

Country Code

Area Code

Tel

Date of birth

Country of Birth

City/Town of Birth

National Insurance No.

(To be completed by Nationals/Citizens of the Isle of Man, Gibraltar, Jersey or Guernsey)

Email address

Existing client no. (if applicable)

Designation

Tax residency

Please list below your country/ies of tax residency and applicable Tax ID/TIN

Tax Resident Country

Tax ID/TIN\*\*

Tax Resident Country

Tax ID/TIN\*\*

Tax Resident Country

Tax ID/TIN\*\*

\*\* A Tax ID/TIN is a Tax Identification Number which is issued by your country of residence for tax purposes.

I am a Specified United States Person per the FATCA definition (per the guidance under the declaration section of this form) Yes No

Name	<input type="text"/>			Place of incorporation	<input type="text"/>
Contact person (full name)	<input type="text"/>			Correspondence address	<input type="text"/>
	<input type="text"/>				
Telephone	Country Code	Area Code	Tel	<input type="text"/>	
Email address	<input type="text"/>			<input type="text"/>	
Existing client no. (if applicable)	<input type="text"/>			Postcode	<input type="text"/>
Designation	<input type="text"/>			Country	<input type="text"/>

If there was a face-to-face meeting between the retail customer and you as IFA, and you have offered to that customer the right to withdraw (i.e. cooling-off) this box must be ticked (if the box is not ticked, the customer will not have the right to withdraw): ☐

Where there is an Agent attached to an investment we will assume that an advice event has taken place, and therefore no commission will be payable unless you declare otherwise (commission payments are only applicable to Class A shares). Please tick the box if you wish to declare that an advice event has not taken place and that you are entitled to receive commission on this investment. You must inform us if you are no longer entitled to receive commission. ☐

If an advice event has **not** taken place and you are entitled to commission, please indicate the amounts below:

Name/address (including Country and Post Code)	
Adviser's stamp	
Adviser's Signature	
IF YOU HAVE NOT COMPLETED A TERMS OF BUSINESS AGREEMENT PLEASE COMPLETE THE AGENT'S DISCLOSURE OVERLEAF	
UK Reg. no.	Agent no.

Signature:	Date:
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Fund Name	GBP Fund Identifier: ISIN (ISIN can be located on fund share class Key Investor Information Document – KIID)	Lump sums (min £1,000)	Regular savings (min £50 per month)
		£	£
		£	£
		£	£
		£	£
Total Investment		£	£

Fund Name	EUR Fund Identifier: ISIN (ISIN can be located on fund share class Key Investor Information Document – KIID)	Lump sums (min €1,000)
		€
		€
		€
		€
Total Investment		€

### 3. Investment details (continued)

Fund Name	USD Fund Identifier: ISIN (ISIN can be located on fund share class Key Investor Information Document – KIID)	Lump sums (min \$1,000)
<input type="text"/>	<input type="text"/>	\$ <input type="text"/>
<input type="text"/>	<input type="text"/>	\$ <input type="text"/>
<input type="text"/>	<input type="text"/>	\$ <input type="text"/>
<input type="text"/>	<input type="text"/>	\$ <input type="text"/>
Total Investment		\$ <input type="text"/>

### 4. Income (if applicable)

We can pay income where you have chosen income shares and the fund is making a distribution to its shareholders. If you would like any income to be paid directly to your bank or building society account, please complete this section. If you do not request to have income paid to you, or do not complete this section, any income will be automatically reinvested for you. If you have chosen accumulation shares you will not receive payments of income. Any income in respect of accumulation shares is accumulated and reflected in the share price.

Name of Bank or Building Society	<input type="text"/>	Name of account holder	<input type="text"/>
Bank/Building Society address	<input type="text"/>	Account no.	<input type="text"/>
		Sort code	<input type="text"/>
	Postcode	Building society roll number	<input type="text"/>

### The Direct Debit Guarantee

- This Guarantee is offered by all Banks and Building Societies that take part in the Direct Debit Scheme. The efficiency and security of the Scheme is monitored and protected by your own Bank or Building Society.
- If the amounts to be paid or the payment dates change First State Investments (UK) Limited will notify you seven working days in advance of your account being debited or as otherwise agreed.
- If an error is made by First State Investments (UK) Limited or your Bank or Building Society, you are guaranteed a full and immediate refund from your branch of the amount paid.
- You can cancel a Direct Debit at any time by writing to your Bank or Building Society. Please also send a copy of your letter to us.

### 5. Your signature and declaration

Please read the declaration below before you sign and date this OEIC application form. By signing you make the declaration shown below and confirm that you have read this form and the separate key investor information document (“KIID”) for the fund(s) in which you have chosen to invest.

Please refer to the prospectus for the full terms and conditions governing your investment with us. The prospectus can be obtained from our website or free of charge on request.

#### Declaration: To First State Investments (UK) Limited

##### I/We declare that:

- I am/We are aged 18 or over;
- I/We have checked the information about me in this form and otherwise provided by me and it is correct to the best of my knowledge and belief. I will notify First State Investments (UK) Limited of any changes to the information without delay;
- I am/We are not US Person(s) (as defined in the Prospectus) or acting for the account or benefit of a US Person;
- I am/We are not an ERISA Plan asset (ERISA Plan being defined in the prospectus).
- Unless otherwise specified I am/we are not a “Specified United States Person” under the tax laws of the U.S.\* or a non-U.S. entity with one or more Specified United States Persons as “substantial United States owners” or “Controlling Persons”.  
\*For this purpose, a “Specified United States Person” will include, subject to certain exceptions, (A) an individual who is a citizen or resident of the U.S., (B) a partnership or corporation (including any entity treated as a partnership or corporation for U.S. tax purposes, such as a limited liability company) organised in or under the laws of the U.S. or any state of the U.S. thereof (including the District of Columbia), (C) any estate the income of which is subject to U.S. tax regardless of its source, and (D) any trust if (i) a court within the U.S. is able to exercise primary supervision over the administration of the trust and (ii) one or more United States persons have the authority to control all substantial decisions of the trust.
- I/We declare that I/we do not intend to sell or transfer any Shares which I/we may purchase to any person who is a Specified United States Person.
- I am/We are not a person resident or otherwise located in Canada.

##### I/We agree and consent:

- to First State Investments (UK) Limited contacting me/us at the email address stated overleaf;
- to notify First State Investments (UK) Limited immediately on becoming a US Person or holding on behalf or for the benefit of a US Person;
- to notify First State Investments (UK) Limited immediately on becoming a specified United States person;
- to notify First State Investments (UK) Limited immediately on becoming a person resident or otherwise located in Canada;
- to notify First State Investments (UK) Limited immediately in the event that the investor pursuant to this application becomes an ERISA Plan asset;
- not to transfer Shares to a US Person or a person who will hold the Shares on behalf or for the benefit of a US Person;
- to indemnify and hold harmless First State Investments (UK) Limited, the Investment Manager and First State Investments ICVC and their respective agents from time to time for any costs or losses incurred, suffered or arising in connection with a breach of the above declarations and agreements and/or in relation to any late or non-payment of the settlement amount and/or my/our actions or failure to provide any information or documents requested by any of them to comply with the AEOI regimes or other laws or regulations.

##### I/We declare and agree:

- I/We agree to provide on request in a timely manner any information or documentation in relation to myself/ourselves as may be necessary or desirable for the Company (or its agents) to comply with any reporting or other obligations and/or prevent the withholding of tax under the AEOI regimes.
- I/We acknowledge that the Company may, in accordance with the provisions of the Prospectus compulsorily redeem my/our shares in the Fund(s) if I/We acquire or are holding such units in breach of the requirements or in the circumstances detailed in the Prospectus of the Fund(s), whether at the point of my/our investment or thereafter; and I/We undertake to observe and be bound by any such decision by the Company and agree that the Company/Investment Manager shall not assume liability for any losses arising from a compulsory redemption of any of my/our shares in the Fund.
- I/We confirm that all the information made by me/us in this Application Form and as otherwise provided by me/us to the Company/Investment Manager shall remain valid and I/We also undertake to immediately notify the Company/Investment Manager on any changes to such information.
- I/We acknowledge that if I/we provide information and documentation that is in any way misleading, or fail to provide the Company (and/or its agents) with the requested information and documentation necessary in either case to satisfy the Company's obligations under the AEOI regimes, the Company reserves the right: to take any action and/or pursue all remedies at its disposal.
- I/we acknowledge that the Prospectus (General Information, Protection of client money) describes how you will settle purchases and redemptions of Shares with me/us, including where you will do so on a delivery versus payment basis and will not be required to treat the money as client money (provided you settle with me/us within the time frames required by the FCA Rules). I/we agree to you not treating my/our money as client money in those circumstances.

- I/we acknowledge that FSI UK will treat me/us as a retail client under the FCA's categorisation rules.
- I/We confirm that all the information made by me/us in this Application Form shall remain valid and I/We also undertake to immediately notify you in writing if there is any change in my/our registration details above in the subsequent years.
- I/We acknowledge that the KIID can be obtained from the website [www.firststateinvestments.com](http://www.firststateinvestments.com) or hard copies can be obtained by contacting Client Services on 0800 587 4141 (+44 131 525 8870) and consent to being provided with the KIID in this form via the website.
- I/We have received and read the KIID for the relevant share class.

#### If you wish to write to us:

Dealing Services  
First State Investments (UK) Limited  
PO BOX 404  
Darlington  
DL1 9UZ

#### If you wish to call us:

Regarding placing a deal or have a deal query:  
Telephone: 0800 587 3388 (UK Investors) or +44 203 528 4102 Fax: +44 207 964 2727  
Regarding a general query:  
Telephone: 0800 587 4141 (+44 131 525 8870) Fax: +44 131 272 2505  
9.00 am to 5.00 pm (UK time) Monday to Friday except for bank holidays in England and Wales, the last business day before Christmas and other days at the ACD's discretion.

#### Complaints

You should refer complaints to our complaints officer, who will investigate and take such action as may be considered appropriate. You may also complain direct to The Financial Ombudsman Service ([www.financial-ombudsman.org.uk](http://www.financial-ombudsman.org.uk)). If we default you may be entitled to compensation under the Financial Services Compensation Scheme. We can send you a statement summarising the Scheme if you ask for it.

### Use of customer information

First State Investments (UK) Limited or its agents or third party administrators may process the information contained within this application form and may provide the information to other First State group companies and/or any third party appointed for a number of purposes including but not limited to account administration and other general business purposes. You understand that all information provided by you and any other information relating to this application may be held on computer and will be treated in confidence. It will be disclosed to third parties, including but not limited to other financial organisations to protect First State group companies and their clients against fraud. Enquiries about you may also be made with licensed credit reference agencies for verification of identity and fraud checking purposes and in such cases, the agencies will keep a record of the enquiry.

Please refer to the privacy notice provided alongside this application form for further information on how your personal information will be processed (the "Privacy Notice"). In the event of an inconsistency between the content of this application form and the content of the Privacy Notice, the Privacy Notice will prevail.

### Consent to Marketing

**From time to time we and other First State group companies and their representatives may wish to send you information about other products and services available from First State Investments by telephone, mail or email.**

**If you would like to receive such information, please tick this box.** ☐

I/We agree that the information supplied on the application form and through other (written or oral) communications from time to time in connection with my/our subscription for Shares or as Shareholder(s) of the Fund(s) including any information which I/we supply, by whatever means, that relates to me/us or a third party individual ("Personal Data") may be held by the Company, the Fund(s), the Investment Manager, the Sub-Investment Managers, the UK Representative and other relevant service providers appointed in respect of the Company and/or the Fund(s) (including the Custodian, the Administrator and the Registrar) and their duty appointed delegates (including their employees, officers, directors or agents) and will be used for the purposes of providing me/us with various services in relation to my/our Shares including without limitation, matching for the purpose of processing or verifying my/our data, processing my/our subscriptions and investments in the Fund(s), the completion/maintenance of information on the investor registers, carrying out my/our instructions and/or responding to enquires purported to be given by me/us on my/our behalf, performance of anti-money laundering, counter terrorist financing and know-your-client checks and related processes, dealing with any matters in relation to my/our holdings of Shares investor communications (including the mailing and/or emailing of financial reports and notices), and observing any legal, governmental or regulatory requirements of any relevant jurisdictions. All such information may be retained after my/our Shares in the Fund(s) have been transferred/redeemed or upon the termination of the relevant Fund(s) and/or the Company in accordance with applicable laws. I/we acknowledge that, even if I/we withdraw my/our agreement to the activities above, the Company, the Fund(s), the Investment Manager, the Sub-Investment Managers, the UK Representative and other relevant service providers appointed in respect of the Company and/or the Fund(s) (including the Custodian, the Administrator and the Registrar) and their duty appointed delegates (including their employees, officers, directors or agents) may have other grounds on which to process my/our Personal Data, as further set out in the Privacy Notice.

I/We hereby authorise the Company/Investment Manager and any other relevant person to disclose to any relevant tax authority, competent department or authority of the government or administration of the United Kingdom or other countries any information (including regarding our tax status, identity or residency or other personal and payment information), documents or self-certifications provided by me/us to the Company/Investment Manager. To the extent permitted by law, I/we agree to waive any provision of any data protection, privacy, banking secrecy or other law or regulation of any jurisdiction and/or the terms of any confidentiality agreement, arrangement or understanding that would otherwise prevent the Company's compliance with the AEOI regimes or any other laws, including, but not limited to, my/our provision of any requested information and/or documentation, I/we shall have no claim against the Company, First State Investments (UK) Limited, the Investment Manager (or their respective agents from time to time) for any losses, liabilities, costs or expenses suffered by me/us as a result of the use or disclosure of such information or documentation or any actions or omissions taken by any of them in connection with the Company's compliance with the AEOI regimes. I/we acknowledge that, even if I/we withdraw my/our agreement to the activities above, the Company, the Fund(s), the Investment Manager, the Sub-Investment Managers, the UK Representative and other relevant service providers appointed in respect of the Company and/or the Fund(s) (including the Custodian, the Administrator and the Registrar) and their duty appointed delegates (including their employees, officers, directors or agents) may have other grounds on which to process my/our Personal Data, as further set out in the Privacy Notice.

### Instruction to your Bank/Building Society to pay Direct Debits (for investors in Sterling classes only)

Name and postal address of your Bank/Building Society Branch

To the Manager, Bank/Building Society

Address

Postcode

Name/s of account holder/s

Bank/Building Society account no.

Branch sort code

-    -

Signature/s:

Please note that Banks and Building Societies may not accept Direct Debit instructions for some types of account.

Originator's identification no.



Reference no. (for office use only)

Instruction to your Bank or Building Society  
**Please pay First State Investments (UK) Limited Direct Debits from the account detailed on this instruction subject to the safeguards assured by the Direct Debit Guarantee. I understand that this instruction may remain with First State Investments (UK) Limited and, if so, details will be passed electronically to my Bank or Building Society.**

Date:

Notes

1. No application (including any transfer application) will be processed until all required information has been provided by the applicant. The Authorised Corporate Director reserves the right to reject any application at its sole discretion.
2. UK regulations require the Company to collect and disclose certain information about each investor and certain related persons and their investments in the Company to HM Revenue & Customs and/or other tax authorities overseas. These regulations (as amended or replaced from time to time) were enacted pursuant to an intergovernmental agreement signed by the UK with the United States to implement the US Foreign Account Tax Compliance Act ("FATCA"), similar bilateral agreements the UK signed with each of the British Crown Dependencies and Gibraltar ("UK FATCA") and a multilateral agreement with the UK signed with various jurisdictions to implement a similar regime known as the OECD Common Reporting Standard ("CRS", and together with FATCA and UK FATCA and similar regimes, the "AEOI regimes"). The Company may have further future obligations under the CRS and similar AEOI regimes.  
  
All prospective investors should consult with their own advisors regarding the possible implications and classifications under the AEOI regimes of an investment in the Company.
3. The Company, Administrator and the Distributer reserve the right to request additional documents as are necessary to verify the identity of the applicant(s) for the purpose of anti-money laundering, counter terrorist financing and any other laws or regulations.

By signing below you confirm your consent to the above use of your information.

First applicant

Signature:

Date:

Second applicant

Signature:

Date:

First State Investments (UK) Limited is authorised and regulated by the Financial Conduct Authority. Registered as a company in England and Wales with number 2294743. Registered office: Finsbury Circus House, 15 Finsbury Circus, London EC2M 7EB, (FCA registration number 143359).

# Privacy Notice

## First State Investments ICVC

### Background

This Notice gives information on how the First State Investments (UK) group of companies collect, use and protect the personal data held about investors.

This Notice describes how we will fulfil our obligations under applicable data protection laws, including Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 (the **General Data Protection Regulation** or **GDPR**).

### Information about us

References in this Notice to First State Investments (UK) will include the following companies:

#### First State Investments ICVC\*

#### First State Investments (UK) Limited\*

(together “**we**”, “**us**” or “**our**”)

\*Authorised and regulated by the Financial Conduct Authority of the United Kingdom

### Information we may collect

First State Investments (UK) collects from time to time, personal data on investors from a number of sources, including from: investor application forms; other First State Investments (UK) forms (including website forms); correspondence, conversations with clients, advisers, intermediaries; business cards; third party service providers to our funds (for example, transfer agents, administrators, distributors, custodians, paying agents); client advisers; other third parties; and from public sources. This information may be collected directly from investors or indirectly from third parties, as follows:

#### From you

We may collect from you and process the following personal data:

- Your name; address (including proof of name and address); photo identification; contact details both personal and work (for example, your email and phone numbers); job title and company; nationality; citizenship; tax residency; date of birth; passport details; national insurance number and other tax details; adviser details; investment details; banking details; signed contracts with you; business cards, contact sheets and biographies; financial dealings; family connections; details of your company's directors, secretaries, authorised signatories and identification documents; details of any complaints made; data received from due diligence activities (such as anti-money laundering, politically exposed persons and sanctions checks); responses to surveys and competitions; fraud enquiries (for example, information from police reports); images captured by CCTV cameras on our premises; recordings of telephone conversations and electronic communications with our staff.

#### From third parties

We may collect personal data about you from third parties in particular:

- **Third party service providers to our funds** (for example, transfer agents, registrars, administrators, distributors, custodians and paying agents) – information received includes personal details of investors obtained from fund application forms such as: name; address; contact details; nationality; national insurance number; date of birth; tax residency; adviser details; investment details; bank account details.
- **Your advisers (including independent financial advisers)** – information received may include your name, address, gender, date of birth; bank details
- **Our vendors** such as Experian and World-Check – information received includes the results of “Know Your Client”, anti-money laundering, politically exposed persons and sanctions checks.
- **Publicly available sources** such as MandateWire and LinkedIn – information available includes contact details of institutional investors (MandateWire) and details of job title, company, former employers and roles, and connections (LinkedIn).

### How we will use the information we collect

The information we collect and use will depend on the nature of our business relationship with you, as follows:

- In relation to **prospective investors**, we may process personal data for identification purposes (prior to becoming an investor in our funds), for the purposes of anti-money laundering, counter terrorist financing, suitability and appropriateness assessments, “Know Your Client” and credit-worthiness checks, and for any other applicable legal or regulatory reasons. Failure to provide relevant information will mean that we will not be able to on-board a potential investor.
- In relation to **investors in our funds**, we may process information collected for the purpose of account administration and other general business purposes (for example, for processing subscriptions and investments; maintaining the share register of investors, carrying out investor instructions; handling any complaints and enquiries; sending investor communications, including financial reports, valuations, corporate actions). In addition, in order to comply with regulatory obligations, we may collect and disclose certain information about our investors and certain related persons and their investments to HM Revenue & Customs and/or other relevant tax authorities overseas.
- In connection with a proposed **scheme of arrangement** under which shares in one of our funds may be exchanged for shares in another of our funds, we may process information by providing it to the other fund and its service providers in order to allow that other fund to carry-out know-your-client and anti-money laundering checks in preparation for the scheme (including in relation to investors who do not decide to transfer), to issue shares under the scheme and to act on instructions given by the holders of those shares.
- We may from time to time process personal data of **investors** to comply with legal and regulatory requirements impacting our business. In particular, we may need in the context of our business: to obtain legal advice on legal and regulatory requirements; to report to relevant regulators; to comply with market opening and registration requirements in the conduct of our business.
- In relation to **intermediaries who introduce investors into our funds** (such as distributors, platforms and independent financial advisers), we may process personal data to conduct market research, gauge product sales or product performance or assess the creditworthiness of intermediaries. In addition, we may process the personal data of investors introduced to our funds, as outlined above.
- **Monitoring purposes:** we may process personal data to analyse the performance of IT systems, monitor usage of resources and systems and to improve products, services and usability of our technology platform, including telephone calls and electronic communications with our staff which may be recorded for the purposes of retaining a record of communications, in the interests of security, for training and compliance monitoring purposes and/or to comply with legal or regulatory obligations.
- **Where you have provided your consent, we may process your personal data for the purposes of informing you (for example, by telephone, mail and email) about other products and services available from the First State Investments (UK) group of companies and of marketing campaigns and event invitations.**

We are entitled to use your personal data in these ways because:

- We have legal and regulatory obligations that we have to discharge;
- We may need to in order to establish, exercise or defend our legal rights or for the purpose of legal proceedings;
- The use of your personal data as described is necessary for our legitimate business interests (or the legitimate interests of one or more of our affiliates);
- The use of your personal data is necessary for the performance of a contract with you;
- You have provided your consent to us processing your personal data (other than for marketing purposes); or
- **You have provided your consent to us processing your personal data for the purposes of informing you (for example, by telephone, mail or email) about other products and services available from the First State Investments (UK) group of companies and of marketing campaigns and event invitations.**

## Disclosure of your information

- We may disclose your personal data to any member of the First State Investments (UK) group, which means our affiliates, for internal business and administrative purposes (including to administer our products and services and for prudential and risk management purposes) and, **where you have given your consent**, to provide you with information on related products and services. We may also disclose personal data relating to our clients to members of our group to whom we sub-delegate our services (for example, trade order execution and portfolio management).
- We may disclose your personal data to third parties that are specifically engaged by us to provide services to us, in which case we will require those parties to keep that information confidential and secure and to use it solely for the purpose of providing the specified services to us. The following is a list of the types of third parties who process your personal data on our behalf:
  - third party service providers to our funds (for example, transfer agents, administrators, distributors, custodians, paying agents and researchers)
  - credit reference agencies, debt collection agencies and other companies for use in credit decisions, for fraud prevention, to pursue debtors and for the verification of identity
  - document execution vendors in relation to the execution of contracts with our clients;
  - insurance brokers;
  - professional advisers (for example, accountants/tax advisors and legal advisors).
- If you use a financial adviser (as indicated on your investor application form), then details of your investments and valuations may also be provided to such financial adviser.
- We may disclose to relevant tax authorities, regulators, government departments or competent authorities of the UK or of other countries, any personal data (including tax status, identity or residency or other personal and payment information, documents or self-certifications) in order to comply with a court order or to meet legal and regulatory requirements arising in the conduct of our business. Such disclosure may be made directly to such regulators or competent authorities or made indirectly to our advisers or providers who will make such filings or disclosures on our behalf.

## Transfers outside the EEA

We may transfer your personal data to our overseas affiliates (including outside the EEA) and/or allow the information to be accessed by our affiliates and their employees outside the EEA as well as within in. It may also be processed by personnel operating outside the EEA who work for us or for one of our third party service providers.

Where we transfer your personal data outside the EEA, we will ensure that it is protected in a manner that is consistent with how your personal data will be protected by us in the EEA or that the transfer is otherwise compliant with data protection laws. This can be done in a number of ways, for example:

- the country that we send the data to might be approved by the European Commission;
- the recipient might have signed up to a contract based on “model contractual clauses” approved by the European Commission, obliging them to protect your personal data;
- where the recipient is located in the US, it might be a certified member of the EU-US Privacy Shield Scheme;
- where data protection laws permit us to transfer your personal data outside the EEA.

You can obtain more details of the protection given to your personal data when it is transferred outside the EEA (including a copy of any standard data protection clauses which we have entered into with recipients of your personal data) by e-mailing us at [enquiries@firststate.co.uk](mailto:enquiries@firststate.co.uk) or writing to us at *First State Investments (UK) Ltd, PO Box 404, Darlington, DL1 9UZ*.

## How long will we store your data?

Personal data held by us will be kept confidential. How long we hold your personal data for will vary and will be determined by various criteria, including:

- the purpose for which we are using it – we will need to keep the data for as long as is necessary for that purpose; and
- legal obligations – laws or regulation may set a minimum period for which we have to keep your personal data.

## Your rights in relation to your data

**If you wish to contact us for any of the reasons below, please e-mail us at [enquiries@firststate.co.uk](mailto:enquiries@firststate.co.uk) or write to us at *First State Investments (UK) Ltd, PO Box 404, Darlington, DL1 9UZ*:-**

- You have a **right to access** the information which we hold about you. If you wish to make an application to access or obtain this information, please contact us. In some circumstances, you have the right to receive some personal data in a structured, commonly used and machine-readable format and/or request that we transmit that data to a third party where this is technically feasible. Please note that this right only applies to personal data which you have provided to us.
- We take reasonable steps to ensure that the personal data we collect, use or disclose is **accurate, complete and up to date**. Please contact us if any of the details you have provided change. Please also contact us if you believe that the information we have about you is not accurate, complete or up to date.
- If you wish us to **erase or restrict** using your data, please contact us. We may need to discuss with you the basis of your request as there may be circumstances where we are legally entitled to continue processing your personal data/refuse your request.
- If you have previously provided your consent to our use of your data (other than for marketing purposes) and you wish to **withdraw such consent**, please contact us. We may need to discuss with you whether our use of your data needs to continue for lawful purposes (i.e. because we have another legitimate reason (other than your consent) for doing so).
- **If you have previously consented to being sent information about other products and services available from the First State Investments (UK) group of companies, you may withdraw such consent by contacting us.**
- If you have any **complaints** in relation to the way we have used your information, please contact us in the first instance. You also have the right to lodge a complaint with the **Information Commissioner's Office** at *Wycliffe House, Water Lane, Wilmslow, Cheshire, SK9 5AF (Tel: 0303 123 1113)*, if you think that any of your rights have been infringed by us.

## Other Products and Services

If you would like to receive further information from us about other products or services offered by First State Investments (UK) Group, please ensure you tick the relevant box on the appropriate application form or contact us by e-mailing us at [enquiries@firststate.co.uk](mailto:enquiries@firststate.co.uk) or writing to us at *First State Investments (UK) Ltd, PO Box 404, Darlington, DL1 9UZ*.

## Changes to our Privacy Notice

This Notice was updated on 05/10/2018. We reserve the right to change this Notice at any time.