

# Northern Trust Global Funds plc (the “Company”)

## SUBSCRIPTION/REDEMPTION FORM

Note: The Administrator will not process any subscriptions until the relevant account opening process has been completed and an account number confirmation has been issued by the Administrator. The account number must be specified on all subscription instructions. Subscription instructions and proceeds must not be forwarded until the account number confirmation is issued by the Administrator.

This Subscription Form constitutes your agreement to subscribe for Shares in the Fund. Please note the Administrator does not require the original of this document to be posted to them.

Please complete this form in blue or black ink using BLOCK CAPITALS:

### PLEASE RETURN TO

#### FOR THE EURO AND STERLING FUNDS PLEASE RETURN TO:

Northern Trust Global Funds plc, c/o The Administrator, George’s Court, 54-62 Townsend Street, Dublin 2, Ireland

Tel: + 353 1 542 2909 | Fax: + 353 1 434 5286

#### FOR THE U.S. DOLLAR FUNDS PLEASE RETURN TO:

Between the hours of 09.00 and 15.00 (Irish time) please contact:

Tel: +353 1 542 2909 | Fax: +353 1 434 5286

Between the hours of 15.00 and 20.00 (Irish time) (09.00 to 14.00 Central Standard Time) please contact:

Tel: +1 877 651 9145 | Toll free: +1 312 557 5509 | Fax: +1 312 557 6952

If an option is not selected the form will not be processed. It is your responsibility to ensure that the form is fully completed.

Any queries can be sent to [NTfundservice@NTRS.com](mailto:NTfundservice@NTRS.com).

Subscription/Redemption Forms can be sent to [NTAMTAInstructions@ntrs.com](mailto:NTAMTAInstructions@ntrs.com). (See Appendix for terms and conditions of service for instructions issued to the Administrator via email.)

### DEALING DEADLINES

This form must be received by the Administrator before the Fund’s daily Dealing Deadline (Irish time). Please see the table below for Dealing Deadlines. Any application received by the Administrator after the relevant Dealing Deadline shall be held until the next subsequent Dealing Day.

FUND	DEALING CUT-OFF FOR RECEIPT OF INSTRUCTIONS BY ADMINISTRATOR
The Sterling Fund	14.00 (Irish Time) on the Dealing Day
The U.S. Dollar Fund	20.00 (Irish Time) on the Dealing Day
The Euro Liquidity Fund	14.00 (Irish Time) on the Dealing Day
The Sterling Conservative Ultra Short ESG Fund	14.00 (Irish Time) on the Dealing Day
The Sterling Ultra Short ESG Fund	14.00 (Irish Time) on the Dealing Day

### REGISTERED INFORMATION

Registered Account Name

Account Number

## CONTACT DETAILS

Contact name

Address

Town/City

Postcode

Country

Tel

Fax

Email

## FUND SELECTION

I/We wish to invest/redeem the amount/s in the following funds set out below:

DEALING DATE

TOTAL AMOUNT BEING INVESTED IN WORDS

TOTAL AMOUNT BEING REDEEMED IN WORDS

Please select one option:

☐ SUBSCRIPTION
 ☐ REDEMPTION
 ☐ REDEEM ALL SHARES

FUND	CURRENCY	SHARE CLASS	AMOUNT	OR % ALLOCATION	OFFICE USE
			MILLIONS	CENTS	
The Sterling Fund	GBP		<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"/>	
The U.S. Dollar Fund	USD		<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"/>	
The Euro Liquidity Fund	EUR		<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"/>	
The Sterling Conservative Ultra Short ESG Fund	GBP		<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"/>	
The Sterling Ultra Short ESG Fund	GBP		<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"/>	

Please contact your relationship manager for guidance on which class to select. Your Prospectus contains details of limits for certain classes.

## SUBSCRIPTIONS

Shareholders should transmit the completed Subscription/Redemption Form prior to the Dealing Deadline indicated above. Cleared Funds representing the subscription monies must be received by the following time limits:

FUND

FUND DEADLINE FOR RECEIPT OF SUBSCRIPTION MONIES

The Sterling Fund

Close of business on the Dealing Day

The U.S. Dollar Fund

The Euro Liquidity Fund

The Sterling Conservative Ultra Short ESG Fund 2 Business Days after the Dealing Day

The Sterling Ultra Short ESG Fund

Applications for the purchase of Shares should be submitted in writing, by fax, electronic means or telephone to the Administrator, provided that a complete Account Opening Form and supporting documentation in relation to anti-money laundering prevention checks has been received and verification of the Shareholder's identity has been completed by the Administrator.

Any subscription proceeds paid in currencies other than the Base Currency of the relevant Fund or the designated currency of the relevant Share Class will be converted into that currency, at prevailing exchange rates. This foreign exchange transaction will be arranged by the Administrator at the cost and risk of the relevant investor.

## PAYMENT SETTLEMENT INFORMATION

Please specify your details for subscriptions:

Currency	Correspondent Bank	
Sort Code	Swift code	ABA
Account name		

Payment Settlement monies must originate from the account of the Shareholder and sent via electronic transfer. Funds must be received into the bank accounts below and within the time limits set out above.

Payment can be made by either CHAPS or telegraphic transfer to the appropriate account (details of which are set out below).

The instructions contained below for GBP settlement do not quote an IBAN as IBAN's are not required when making CHAPS payments. However, if your bank requires an IBAN please use the following:

IBAN GB35CNOR23286310000119

Please note that the 5 digit Ref Account Number 'OSGB1' should also be included as this will ensure that your subscription proceeds can be applied.

	For GBP Settlement	For USD Settlement	For EURO Settlement excluding SEPA Credit Transfer	For Euro settlement via SEPA Credit Transfer
To	Northern Trust Company, London Branch	The Northern Trust Company	Societe Generale, Paris	Northern Trust Company, London Branch
Address	50 Bank Street London E14 5NT England	50 S. La Salle Street Chicago Illinois 60675 USA	8, Avenue des Olympiades 94727 Fontenay Sous Bois Cedex Paris France	50 Bank Street London E14 5NT England
ABA/Sort Code	23-28-63	(ABA No.) 071-000-152		
Swift	CNORGB22	CNORUS44	SOGEFRPP	
IBAN			FR7630003069900010110236721	GB02CNOR23286310065024
BIC	CNORGB22	CNORUS44		CNORGB22
Account Name	Northern Trust Global Cash Funds		The Northern Trust Company AVFC	Northern Trust Global Funds plc
Account Number	10000119	Ref. Wire A/C No. 5186061000	001011023670	
Ref Account Number	OSGB1	17-47321	OSEU1 (17-76636)	OSEU1
Ref Fund Name & NT TA Register number	"Name of Fund" TA Reg Number e.g. The Sterling Fund TA Reg. 12345	"Name of Fund" TA Reg Number e.g. The U.S. Dollar Fund TA Reg. 12345	"Name of Fund" TA Reg Number e.g. The Euro Liquidity Fund TA Reg. 12345	"Name of Fund" TA Reg Number e.g. The Euro Liquidity Fund TA Reg. 12345

## REDEMPTIONS

Shareholders should transmit the completed Subscription/Redemption Form prior to the Dealing Deadlines indicated above.

Requests for redemption of shares should be made to the Administrator in writing, by fax, by electronic means or by telephone and must, in the case of requests by fax or electronic means, quote the relevant account number, the relevant Fund(s) and Share Class. Redemption requests made by fax or electronic means must be followed by subsequent confirmation in writing. A request by telephone or electronic means may only be made if such method of dealing is designated by the Shareholder at the initial purchase of Shares or in a subsequent request.

No redemption monies will be payable to the Shareholder until receipt of a complete Account Opening Form from the Shareholder, and the Administrator is satisfied that all relevant completed documents and necessary anti-money laundering documents have been provided by the Shareholder and the anti-money laundering procedures have been completed by the Administrator.

Any redemption proceeds paid in currencies other than the Base Currency of the relevant Fund or the designated currency of the relevant Share Class will be converted into that currency at prevailing exchange rates. This foreign exchange transaction will be arranged by the Administrator at the cost and risk of the relevant investor.

No third party payments will be accepted. Payment should come from the applicant(s). Please note that if your bank details differ from those provided in the completed Account Opening Form held by the Administrator on file, and indicate by ticking the box below to notify the Administrator that you wish to change your bank details.

Proceeds cannot be released to new wiring instructions until a validated instruction has been received. Until these are provided, monies will be paid to details held on file.

☐ I wish to change my bank account details held on file

## PLEASE NOTE

1. Monies must originate from the account of the investor. Failure to complete these details accurately and in accordance with the signed Account Opening Form, and forward monies within the settlement time scale, will result in the loss of good value and an interest claim from the Fund.
2. I/We confirm that I/we have the authority to make this investment.
3. I/We confirm and declare that the KIID has been provided to us in good time prior to making this application for Shares and that I/we have read and reviewed same. I/ We hereby acknowledge and agree that the updated KIID for each share class is available at the Investment Manager's website at [www.northerntrust.com/pooledfunds](http://www.northerntrust.com/pooledfunds) and that I/ we will read and review the most up-to-date version of the relevant KIID prior to making any subsequent applications for Shares in the Fund. I/We are aware that copies of the Prospectus, latest annual and semi-annual reports, KIID and other information may be obtained from the Fund's Administrator at George's Court, 54-62 Townsend Street, Dublin 2, Ireland. I/We give full consent to receiving this information by means of electronic communication.
4. I/We acknowledge as part of this application that we have been offered the Prospectus and Fund Supplement and where applicable the most recent annual or half-yearly reports and accounts and furthermore hereby confirm and declare that this application is made on the terms thereof and subject to the provisions of the Prospectus and the Memorandum & Articles of Association, and acknowledge that I/we are bound by the terms therein, including without limitation, the provisions providing for the reinvestment of all dividends declared. I/we agree that subscription for Shares will be governed and construed in accordance with Irish law and we confirm that by subscribing for Shares, I/We are not relying on any information or representation other than such as may be contained in the Prospectus, the relevant supplements and the most recent annual or semi-annual report (if available) thereto.
5. I/We hereby acknowledge that an application for an initial subscription will not be processed by the Administrator on behalf of the Fund until verification of the applicant's identity has been completed and all relevant account opening documentation has been received by the Administrator. We undertake to proactively monitor and promptly respond to all communications issued by the Administrator and/or the Manager or any agent on behalf of the relevant sub-fund.
6. I/We further acknowledge that if we fail or delay to provide all of the relevant account opening, anti-money laundering verification documents and information requirements and have not completed all applicant verification checks in advance, our initial subscription application will be rejected by the Administrator at the cost and risk of the applicant and any subscription monies or the balance thereof, received by the Administrator will be returned to the applicant without interest, expenses or compensation by electronic transfer to the account from which it was paid (less any applicable bank charges where applicable).
7. I/We certify that we are eligible to invest in the Fund and I/we are not acquiring Shares for or on behalf of, or for the benefit of, any person or entity who/which is not eligible to invest in the Fund nor do we intend transferring any Shares which I/we may purchase to any person or entity which is not eligible to invest in the Fund. I/We confirm that we are aware of the risks involved in the proposed investment and of the fact that inherent in such investment is the potential to lose the entire sum invested.
8. I/We agree to notify the Company, the Manager or the Administrator immediately if we become aware that any of the representations, declarations or warranties given by us in this subscriptions and/or redemption application form are no longer accurate and complete in all respects and agree immediately to take such action as the Fund may direct, including where appropriate, redemption of our entire holding.
9. I/We hereby agree to indemnify and hold harmless the Fund, on its own behalf and on behalf of its agents, the Administrator, the Depositary, the Fund, the Company, the Investment manager and sub-investment manager (if any), or the Distributor(s) and their respective directors, officers and employees and the other Shareholders and agree to keep each of them indemnified against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result directly or indirectly, from any misrepresentation or breach of any representation, warranty, declaration, condition, covenant or agreement set forth herein or in any document delivered by me/us to the Fund. The Manager, the Administrator, the Company or the Distributor(s) will not be responsible or liable for the authenticity of instructions received from me/us or any authorised person and may rely upon any instruction from any such person representing himself to be a duly authorised person reasonably believed to be genuine.
10. The Administrator and the Company are each hereby authorised and instructed to accept and execute subscription and redemption instructions in respect of the Shares to which the application relates or which may in future be acquired by us which is given by me/us in written form, by electronic means, by telephone or by fax ("Trade Instructions"). The Administrator and the Company are also authorised and instructed to accept and execute any other instruction including switch instructions in respect of Shares to which the application relates or which may in future be acquired by us which are given by us in written form, by electronic means or by facsimile ("Non-Trade Instructions")
11. I/We agree to indemnify the Administrator on its own behalf and as agent of the Fund, the Company and the Manager and agree to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of acting upon Trade Instructions and Non-Trade Instructions. The Administrator, the Company and the Fund may rely conclusively upon and shall ensure no liability in respect of any action taken upon any notice, consent request, instruction of other instrument believed in good faith to be genuine or to be signed by properly authorised person.
12. I/We have such knowledge and experience in business and financial matters or have obtained advice from a professional adviser such that we are capable of evaluating the merits, and the risks, of an investment by me/us in the Fund. I/We have consulted to the extent we deemed appropriate with our own advisors as to the financial, tax, legal and related matters concerning an investment in the Fund and on that basis we believe that an investment in the Fund is suitable and appropriate for us.
13. I/We understand that the tax disclosure set forth in the Prospectus is of a general nature and may not cover the jurisdiction in which I/we are subject to taxation and that the tax consequences of our purchase of Shares depends on our individual circumstances.
14. I/We acknowledge the right of Fund at any time to require the mandatory redemption of Shares in the circumstances provided for in the Prospectus.

15. I/We acknowledge that due to anti-money laundering requirements operating within their respective jurisdictions the Investment Manager and the Administrator or the Fund (as the case may be) may require further identification of the applicant(s) at any time before the application can be processed and the Investment Manager and Administrator on its own behalf and as agent of the Company, shall be held harmless and indemnified against any loss arising as a result of a failure to process the application if such information has been requested of the applicant by the Administrator or the Fund, and has not been provided by me/us or has been provided in incomplete form.
16. I/We also warrant and declare that the monies being invested pursuant to the application do not represent directly or indirectly the proceeds of any criminal activity and that the investment is not designed to conceal such proceeds so as to avoid prosecution for an offence or otherwise. In line with anti-money laundering requirements operating in various jurisdictions, all investors are required to be identified. For this purpose, verification of the applicant's identity must have been completed and all relevant account opening documentation requested of the applicant by the Administrator must have been received by the Administrator before the application will be processed by the Administrator. Furthermore, no redemption payment may be made by the Administrator until the signed account opening and application form and all relevant completed documents has been received from the applicant and until the Administrator is satisfied that all of the necessary anti-money laundering checks in respect of the relevant applicant have been completed.
17. I/We warrant that we are duly authorised to sign this subscription/redemption Form and to subscribe or redeem for Shares in the relevant sub-fund of the Company. We warrant that we are not in breach of any laws or regulations of any competent jurisdiction and hereby indemnify the Company, the relevant sub-fund, the Directors, the Investment Manager and the sub-investment manager (if any), and their agents, the Administrator, the Depositary, the Distributors (together with their respective directors, officers and employees) or other Shareholders for any loss suffered for by them as a result of this warranty/representation not being true in every respect.
18. I/We have made arrangements for payment to be made by Electronic Transfer and acknowledge that the Fund reserves the right to reject the whole or in part any aspect of this application.
19. If this is an application for an initial subscription and I/we are, or were, present in the United Kingdom when I/we received the Prospectus and the KIID, I/we declare and warrant that the Prospectus was circulated to us without contravention of section 21 or 238 of the UK Financial Services and Markets Act 2000, as we fall within one of the following categories:
- (a) an investment professional within the meaning of article 19 of the Financial Services and Markets Act 2000 (Financial Promotion) Order 2005, as amended, (the "FPO") or article 14 of the Financial Services and Markets Act 2000 (Promotion of Collective Investment Schemes Exemptions) Order 2001, as amended, (the "CIS Exemption Order");
  - (b) a high net worth person within the meaning of article 49 of the FPO or article 22 of the CIS Exemption Order;
  - (c) classified as a professional client or eligible counterparty in accordance with the new conduct of business rules of the UK Financial Services Authority ("COBS"); or
  - (d) a person to whom the Prospectus was otherwise lawfully communicated or caused to be communicated in the United Kingdom.
20. Fund holdings are available on the [www.northerntrust.com/pooledfunds](http://www.northerntrust.com/pooledfunds) website. Some clients receive additional information and/or reports on a more frequent basis. Please contact your Relationship Manager to discuss any further reporting needs.

## AUTHORISED SIGNATORIES

Signature 1	Name	Signatory Capacity if applicable (i.e Director/Manager)
Signature 2	Name	Signatory Capacity if applicable (i.e Director/Manager)
Signature 3	Name	Signatory Capacity if applicable (i.e Director/Manager)
Signature 4	Name	Signatory Capacity if applicable (i.e Director/Manager)
Date (day/month/year)		

## APPENDIX

**Northern Trust Global Funds plc (the “Company”)**

Terms and Conditions of Service for instructions issued to the Administrator via email

## Introduction

If you (hereinafter referred to as the “Investor”) wish to send Northern Trust International Fund Administration Services (Ireland) Limited, (the “Administrator”), instructions in respect of the Shares of Northern Trust Global Funds plc (the “Fund”) in portable document format (“PDF”) or commonly used equivalent scanned form which is transmitted to the Administrator via email, then the terms as set out below will apply to the Investor’s account.

**IT IS IMPORTANT THAT THE INVESTOR READS THESE TERMS AND CONDITIONS OF SERVICE CAREFULLY.**

By completing the appropriate documentation (e.g. original subscription forms, additional subscription forms, transfer/switch requests or redemption forms) and instructing the Administrator in respect of the Shares of the Fund via email, the Investor will have accepted the following Terms and Conditions of Service.

**A. Procedure for PDF Instructions**

1. The email address to submit PDF instructions is NTAMTAInstructions@ntrs.com. This address is to be solely used for sending PDF instructions via email in respect of the shares in the Fund.
2. The Investor shall ensure that the PDF instruction is signed by properly authorised persons, scanned and attached to a blank email which is addressed to NTAMTAInstructions@ntrs.com.
3. Please ensure that the Investor blank e-mail does not contain any text or non-text items including but not limited to logos.
4. Each blank e-mail sent to the email address specified above may only include one PDF file attachment for all dealing instructions. However, the single PDF file attachment may contain multiple instructions in relation to Shares in more than one Sub-Fund. A blank e-mail with more than one PDF attachment containing dealing instructions, will be rejected by the Administrator.
5. PDF instructions received without the scanned PDF form attached will not be accepted.
6. Upon receipt of an email with the scanned PDF instruction, the Administrator will send the Investor a task number by auto-response.
  - a. The task number acknowledges receipt of the Investor’s instruction.
  - b. The task number is not confirmation of placement of the instruction.
  - c. The Administrator must be in receipt of the instruction prior to the relevant dealing deadline as set out in the Fund’s Prospectus. The Administrator will not be responsible for any delays in receipt.
  - d. If the Investor does not receive a task number by auto response, it is the Investor’s responsibility to contact the Administrator by telephone (details confirmed within the application form) to confirm that the Administrator has received the Investor’s instruction.
7. If the Investor sends the Administrator a PDF TA instruction in respect of the shares in the Fund to a mailbox other than specified above, the Administrator will reject the instruction and/or the deal will not be placed. Notification of rejection may not be given prior to the dealing cut off.
8. In cases where the Investor has supplied the Administrator with a “group” email address, the Administrator will have fully discharged its responsibilities where it has sent any communication to this “group” address.
9. The Investor should not send a duplicate instruction by alternative means to the Administrator as this could lead to a duplicate e.g deals being placed in error.
10. The Investor is not obliged to instruct in this manner.

**B. General Terms and Conditions of Service :**

1. Email is not a secure form of communication and may be subject to interception, interruption, corruption, distortion, non-delivery, loss, may not be confidential, secure or error free and may contain viruses. Using and relying on email involves increased risk of fraud and of miscommunications including those due to a telecommunications system or equipment failure, misdirected communications or illegibility of the instructions or documents and the Investor will bear the risks if the Investor wishes to conduct the Investor’s dealings using email.
2. The Administrator is authorised and instructed to accept and execute any instructions in respect of shares in the Fund given by the Investor in PDF form or by email. The Administrator will rely conclusively upon, and neither the Company nor the Administrator shall incur liability in respect of any action taken upon any instruction believed in good faith to be genuine.
3. Neither the Company nor the Administrator will be responsible or liable for the authenticity of instructions received from the Investor or any authorised person and may rely upon any instruction from any such person representing himself to be a duly authorised person reasonably believed by the Administrator to be genuine.
4. Neither the Company nor the Administrator will accept responsibility or liability of any nature whatsoever arising out of or in connection with instructions given by the Investor in PDF form or by email, including without limitation, the Investor’s use of an incorrect email address, failure of the Investor’s transmission, interception, alteration or corruption of the Investor’s email transmission, non-receipt of the Investor’s electronic instruction, failure of technical infrastructure, error, omission, interruption, deletion, defect, delay in operation or transmission, computer virus, communication line failure, or any allotment, switch or redemption or other action taken in good faith by the Administrator upon any electronic instruction. In addition, neither the Company nor the Administrator will be liable for any failure to act upon electronic instructions due to equipment failure or for any cause that is beyond the control of the Administrator.