

General instructions

This investor application comprises two parts: Part I: general information (including representations, warranties, and covenants from the prospective investor) and Part II: anti-money laundering supplement. Prospective investors must complete both parts of this investor application and provide the documents requested in Part II.

For questions relating to this investor application, a prospective investor should contact State Street Transfer Agency, the fund's administrator (the administrator) at 844-384-0333 or email to altopsta@statestreet.com.

Purchase instructions

Delivery instructions

The completed investor application should be delivered to the fund at least five business days prior to the relevant purchase date as follows:

Regular mail

John Hancock Asset-Based Lending Fund
1 Heritage Drive
North Quincy, MA 02171

Fax or email

617-937-3051
altopsta@statestreet.com

Wiring instructions

All funds should be wired to the following bank:

ABA: 011000028
Bank name: State Street Bank
Account number: 11923232
Account name: John Hancock Asset-Based Lending Fund
1 Heritage Drive,
North Quincy, MA 02171

The prospective investor's bank should charge any applicable wire transfer fees separately in order for the fund to receive an even purchase amount. All purchase documents will be returned to the prospective investor if this investor application isn't accepted.

Payments

All payments must be made by wire transfer. All wires must be received by the fund no later than three business days prior to the first business day of the month, in which the investor wishes to purchase shares (along with corresponding purchase documentation and in compliance with anti-money laundering laws and regulations and the USA Patriot Act of 2001). Unless otherwise agreed to by the fund, all purchases shall be made in a single payment as of the proposed acceptance date of the investor application specified by the fund.

1. Account ownership/investor information

Name of investor: _____
Print or type exact legal name in which shares will be registered.

Purchase amount: \$ _____

New purchase **or** Addition to existing account number _____

Indicate share Class:

Class I Class S Class D

Sales load amount for Class S and Class D to be completed by a financial professional.

If Class S selected, indicate sales load amount of up to 3.50%: _____

If Class D selected, indicate sales load amount of up to 1.50%: _____

Class S share investments may be subject to a sales load of up to 3.50% and Class D shares may be subject to a sales load of up to 1.50%. Class I shares have no sales load. The sales load may be waived for certain institutional investors, employees of the advisor, the distributor or a financial intermediary and their affiliates, and members of their immediate families and such other persons as may be authorized by the advisor at its sole discretion.

The minimum initial investment in the fund by an investor is \$1 million for Class I shares with additional investment minimums of \$100,000; and \$10,000 with an additional investment minimum of \$5,000 for Class S shares and Class D shares. Investor type: The applicant for shares (the investor) must indicate by checking one of the boxes below the investor's desired type of ownership of shares. In general, purchasers should fill out the Natural persons/grantor trusts section if the investment will be taxable to an individual (i.e., the investor provides a Social Security number), or the Entities/non-grantor trusts section if the account is taxable to an entity (i.e., the investor provides the tax identification number of the entity):

Natural persons **or** Grantor trusts

Name (First) (MI) (Last name)

Social Security number

Date of birth (MM/DD/YYYY)

For joint accounts, the investor must provide this information for both account holders:

Name (First) (MI) (Last name)

Social Security number

Date of birth (MM/DD/YYYY)

A grantor trust means a revocable trust that may be revoked at any time by the grantors thereof, and of which all grantors are required to complete Sections 2, 3A, and 4 of this investor application.

2. Contact information

A. Account holder contact information

Please provide the physical address of the investor in this section. If the investor wishes for correspondence to be directed to another party instead, please provide an alternate mailing address in Section 2B.

Primary contact name

Address

City

State

Zip code

Phone number

Home Mobile

Email address

B. Interested party (IP) or alternate mailing (AM) address

If the investor would like duplicate copies of its statements sent to a third party (including the investor's broker or financial advisor), please check the IP box and provide the necessary information. If the investor would like all correspondence sent only to a third party, please check the AM box and provide the necessary information:

IP AM

Name (First)

(MI)

(Last name)

Address

City

State

Zip code

Email address

C. Dealer and financial advisor/account representative information

Dealer		Broker-client account number	
Branch/office		Financial advisor representative ID number	
Name of financial advisor			

D. Consent to receive all fund-related communications electronically

Note that by electing to receive all communications electronically or through an investor web portal, the investor will not receive paper copies of any documentation or reports. In addition, the investor may change the means of receipt of communications selected at any time by providing written notice to the fund. If the investor elects to receive communications electronically, the investor must indicate the email address to which such materials should be provided or where an email should be sent to notify the investor that materials have been posted to an investor web portal.

Yes No If yes, indicate email address here: _____

3. Investor eligibility certifications

As described in the prospectus, the investor must qualify as an “accredited investor” to be an eligible investor, as follows:

A. For individual investors and grantors of certain grantor trusts, please check one (or more) of the following in (A) describing the investor’s eligibility to invest in the fund¹:

The investor is:

- (a) A natural person who has a net worth or joint net worth with that person’s spouse at the time of purchase of the shares that exceeds \$1,000,000 (net worth for this purpose means total assets, exclusive of the value of the investor’s primary residence, in excess of total liabilities. Note that if the amount of the mortgage(s) on the investor’s primary residence exceed the value of the investor’s primary residence, then such excess amount must be counted in the investor’s total liabilities); or
- (b) A natural person who had an individual income in excess of \$200,000 in each of the two most recent years or joint income with that person’s spouse in excess of \$300,000 in each of those years and who has a reasonable expectation of reaching the same income level in the current year.

B. For entities, please check one (or more) of the following in (B) describing the investor’s eligibility to invest in the fund:

The investor is:

- (a) A trust (i) with total assets in excess of \$5,000,000, (ii) that was not formed for the specific purpose of investing in the fund, and (iii) of which the person responsible for directing the investment of assets in the fund has such knowledge and experience in financial and business matters that such person is capable of evaluating the merits and risks of the prospective investment;
- (b) An entity with total assets in excess of \$5,000,000 that was not formed for the specific purpose of investing in the fund and that is (please check one)
 - a corporation; a Massachusetts or similar business trust; or
 - a partnership; an organization described in Section 501(c)(3) of the Internal Revenue Code of 1986, as amended (the code);
 - a limited liability company;
- (c) An entity licensed, or subject to supervision, by U.S. federal or state examining authorities as a “bank” (as defined in Section 3(a)(2) of the *Securities Act of 1933*, as amended (the *1933 Act*), a “savings and loan association,” (or other institution as described in Section 3(a)(5)(A) of the *1933 Act*), or an account for which a bank or savings and loan association is subscribing in a fiduciary capacity;
- (d) An entity registered with the U.S. Securities and Exchange Commission as a broker or dealer under the *Securities Exchange Act of 1934*, as amended (the *Exchange Act*), an “insurance company” (as defined in Section 2(13) of the *1933 Act*), or an investment company registered under the *Investment company Act of 1940*, as amended (the *1940 Act*); or an entity that has elected to be treated or qualifies as a “business development company” (within the meaning of Section 2(a)(48) of the *1940 Act*);
- (e) A Small Business Investment company licensed by the U.S. Small Business Administration under Section 301(c) or (d) of the *Small Business Investment Act of 1958*, as amended;
- (f) A private business development company as defined in Section 202(a)(22) of the *Investment Advisors Act of 1940*, as amended (the *Advisors Act*); or
- (g) An entity which all of the unit owners and participants (i.e., all partners (including limited partners) of a partnership, shareholders of a corporation, or beneficiaries of an estate) are accredited investors. **This option isn’t applicable for non-grantor trusts.**

C. For benefit plans, please check one (or more) of the following in (C) describing the investor’s eligibility to invest in the fund:

The investor is:

- (a) An employee benefit plan within the meaning of the *U.S. Employee Retirement Income Security Act of 1974*, as amended (ERISA), and the decision to invest in the fund was made by a plan fiduciary (as defined in Section 3(21) of ERISA), which is either a bank, savings and loan association, insurance company, or registered investment advisor;
- (b) An employee benefit plan within the meaning of ERISA and has total assets in excess of \$5,000,000;
- (c) A self-directed plan and all of its participants investing in the fund through the plan are accredited investors; or
- (d) A plan established and maintained by a state, its political subdivisions, or any agency or instrumentality of a state or its political subdivisions for the benefit of its employees and has total assets in excess of \$5,000,000.

¹ Individual retirement accounts should complete Section A with respect to the holder of the account.

4. Acknowledgments, taxpayer identification number certification, and signature

Please check the box to acknowledge the following:

By signing this investor application and **checking the box above**, the investor represents and warrants that the investor has read and understood the terms of this investor application and the investor hereby makes all of the representations, warranties, agreements, acknowledgments, and undertakings contained in this investor application.

Substitute IRS Form W-9 Certification (required of U.S. persons only, including U.S. citizens, U.S. resident aliens, or other U.S. persons):

Under penalty of perjury, I certify each of the following:

1. The Social Security number or taxpayer identification number shown on this investor application is correct.
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding.
3. I am a U.S. citizen or other U.S. person (including resident alien).
4. I am exempt from the reporting obligations set forth under the *Foreign Account Tax Compliance Act*.

Note: Cross out item 2 if you have been notified by the IRS that you are currently subject to backup withholding.

The IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

SIGN HERE _____ Date signed (MM/DD/YYYY)
Signature of owner

PRINT HERE _____ Title
Print name of owner

SIGN HERE _____ Date signed (MM/DD/YYYY)
Signature of joint account holder

PRINT HERE _____ Title
Print name of joint account holder

Note: For a joint account, both holders' signatures are required.

Additional information

For additional information concerning an investment in the fund or this investor application, an investor should contact the administrator at 844-384-0333, fax to 617-937-305, or email to altopsta@statestreet.com.

Dividend reinvestment plan

The investor will automatically be a participant under the fund's dividend reinvestment plan (DRP), as described in the prospectus, and have all income dividends and/or capital gains distributions automatically reinvested in shares. Election not to participate in the DRP and to receive all income dividends and/or capital gain distributions, if any, in cash through wire may be made by written notice to the fund or the investor's intermediary (who should be directed to inform the fund), or by checking the opt-out box below:

Opt out of DRP

Representations, warranties, and covenants

In order to invest in the fund, the employee investor hereby makes the following representations, warranties, and covenants to the fund and the advisor:

- (a) The investor represents and warrants that they are an "accredited investor".
- (b) The information set forth in this investor application, as well as any information regarding the investor's identity, is accurate and complete as of the date hereof, and the investor will promptly notify the fund of any change in such information. The investor consents to the disclosure of any such information, and any other information furnished to the fund, to any governmental authority, self-regulatory organization or, to the extent required by law, to any other person, or as otherwise provided in the fund's privacy policy, in each case in accordance with the fund's privacy policy attached as Exhibit A (of which the investor hereby acknowledges receipt).
- (c) The investor has received and read and is familiar with the prospectus, as may be supplemented including the exhibits, attachments, and annexes attached thereto, and the investor confirms that all such documents have been made available to the investor.
- (d) The investor (i) will not transfer or deliver all or any part of its shares except in accordance with the restrictions set forth in the prospectus and (ii) will notify the fund immediately if it becomes a non-United States person at any time during which it holds or owns any shares.
- (e) Other than the prospectus, the investor isn't relying on any representation or other information purported to be given on behalf of the fund or the advisor in determining to invest in the fund (it being understood that no person has been authorized by the fund or the advisor to furnish any representations or other information).
- (f) The investor or an advisor or consultant relied on by the investor in reaching a decision to purchase shares has such knowledge and experience in financial, tax, and business matters as to enable the investor or such advisor or consultant to evaluate the merits and risks of an investment in the fund and to make an informed investment decision with respect thereto and isn't relying on the advice or recommendation of the advisor or any affiliated person of the fund or the advisor. The investor understands the fund's compensation arrangements with the advisor and understands the risks described in the prospectus.
- (g) The investor acknowledges that an investment in the shares of the fund includes significant risks as described in the prospectus, including without limitation those risks outlined in the sections of the prospectus titled "Principal risk factors relating to the fund's structure" and "Principal risk factors relating to types of Investments and related risks."
- (h) The investor is satisfied that it has received adequate disclosure from the fund to enable it to understand and evaluate the compensation arrangements of the fund with the advisor and other terms disclosed in the prospectus and the risks associated therewith.
- (i) The investor recognizes that there isn't now any market for shares of the fund and that such a market isn't expected to develop; accordingly, it may not be possible to readily liquidate the investment in the fund. The investor's overall commitment to the fund and other investments which aren't readily marketable aren't disproportionate to the investor's net worth and the investor has no need for immediate liquidity of the shares. As described in the prospectus, the investor acknowledges that the shares aren't redeemable and are subject to significant transfer and repurchase restrictions, **which means that the liquidity of the shares will be limited.**
- (j) If the investor is a natural person, the investor has the legal capacity to execute, deliver, and perform this investor application.
- (k) The investor represents and warrants that no party that either (i) has had any of its assets blocked under U.S. sanctions laws, or (ii) has been identified by the U.S. government as a person whose assets are to be blocked under such laws, has or will have any beneficial interest in the shares subscribed for hereby.
- (l) The investor represents and warrants that the source of funds to be invested in the fund by the investor was not related to or directly or indirectly derived from any activities that may contravene applicable federal, state, or international anti-money laundering laws and regulations. The investor acknowledges that due to anti-money laundering regulations, the fund, the advisor, the administrator, and/or any sub-administrator acting on behalf of the fund may require further documentation verifying the investor's identity and the source of funds used to purchase the shares and agrees to provide such documentation as may be requested by the fund, the advisor, the administrator, and/or any sub-administrator whether before or after the closing. The investor further agrees that all payments by the investor to the fund and all distributions by the fund to the investor will only be made in the investor's name. In the event of a delay or failure by the investor to produce any information requested in connection with this investor application or required for identity verification purposes, the investor acknowledges that the fund may refuse to accept this investor application.

Additional information (continued)

- (m) Neither the investor, nor any person controlling, controlled by, or under common control with, the investor, nor any person having a beneficial interest in the investor, or for whom the investor is acting as agent or nominee in connection with this investment, is (i) a country, person, or entity named on an office of Foreign Assets Control (OFAC) list, (ii) a person or entity that resides or has a place of business in a country or territory named on such list, or (iii) a senior foreign political figure,² an immediate family member³ or close associate⁴ of a senior foreign political figure within the meaning of the *USA Patriot Act of 2001*.⁵ The investor agrees to promptly notify the fund of any change in information affecting this representation and covenant. The investor is advised that, by law, the fund may be required to disclose the investor's identity to OFAC.
- (n) If the investor is a non-U.S. banking institution (a "non-U.S. bank") or if the investor receives deposits from, makes payments on behalf of, or handles other financial transactions related to a non-U.S. bank, the investor represents and warrants to the fund that:
- (1) the non-U.S. bank has a fixed address, other than solely an electronic address, in a country in which the non-U.S. bank is authorized to conduct banking activities;
 - (2) the non-U.S. bank employs one or more individuals on a full-time basis;
 - (3) the non-U.S. bank maintains operating records related to its banking activities;
 - (4) the non-U.S. bank is subject to inspection by the banking authority that licensed the non-U.S. bank to conduct banking activities; and
 - (5) the non-U.S. bank does not provide banking services to any other non-U.S. bank that does not have a physical presence in any country and that isn't a regulated affiliate.
- (o) If the investor is subject to Title I of ERISA, the investor represents that it has consulted its own counsel as to the legality of making an investment in the fund and the appropriateness of such an investment under ERISA.
- (p) If the investor is a benefit plan, the investor represents that it, and any fiduciaries responsible for such plan's investments, are aware of and understand the fund's investment objective, policies and strategies, and that the decision to invest plan assets in the fund was made with appropriate consideration of relevant investment factors with regard to its investment decisions under ERISA and/or the Internal Revenue Code of 1986, as amended (the code).
- (q) If the investor is a benefit plan or is subject to Title I of ERISA, the investor represents that the decision to invest in the fund was made independent of any affiliated person of the fund or the advisor, that the investor is duly authorized to make such investment decision and that it did not rely on any individualized advice or recommendations of any affiliated person of the fund or the advisor.
- (r) In the event the investor makes any subsequent purchase of shares, the investor acknowledges that the representations and warranties contained herein will be deemed to be made again as of the date of such subsequent investment.

² A "senior foreign political figure" is defined as a senior official in the executive, legislative, administrative, military, or judicial branches of a foreign government (whether elected or not), a senior official of a major foreign political party, or a senior executive of a foreign government-owned corporation. In addition, a senior foreign political figure includes any corporation, business, or other entity that has been formed by, or for the benefit of, a senior foreign political figure. ³ "Immediate family" of a senior foreign political figure typically includes the figure's parents, siblings, spouse, children, and in-laws. ⁴ A "close associate" of a senior foreign political figure is a person who is widely and publicly known to maintain an unusually close relationship with the senior foreign political figure, and includes a person who is in a position to conduct substantial domestic and international financial transactions on behalf of the senior political figure. ⁵ The *Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act of 2001*, Pub. L. No. 107-56 (2001).

Indemnification

The investor understands the meaning and legal consequences of the representations, warranties, agreements, covenants, and confirmations set forth herein and agrees that the purchase made hereby may be accepted in reliance thereon. The investor agrees to indemnify and hold harmless the fund and the advisor (including for this purpose each of their directors, trustees, officers, shareholders, affiliates, partners, members, managers, and employees, and each person who controls the fund and each of such entities within the meaning of Section 20 of the *Exchange Act*) from and against any and all loss, damage, liability, or expense, including reasonable costs and attorneys' fees and disbursements, which the fund and/or the advisor may incur by reason of, or in connection with (i) any representation or warranty made herein not having been true when made, any misrepresentation made by the investor or any failure by the investor to fulfill any of the covenants or agreements set forth herein or in any other document provided by the investor to the fund, or (ii) any claim made in a legal proceeding brought against the fund or the advisor by the investor on which claim the investor does not prevail relating to the investor's investment in the fund.

Miscellaneous

- (a) The investor agrees that neither this investor application nor any of the investor's rights or interest herein or hereunder is transferable or assignable by the investor and further agrees that the transfer or assignment of any shares acquired pursuant hereto shall be made only in accordance with the provisions hereof and as set forth in the prospectus and all applicable laws.
- (b) The investor agrees that, except as permitted by applicable law, it may not cancel, terminate, or revoke this investor application or any agreement of the investor made hereunder and that this investor application shall survive the death or legal disability of the investor and shall be binding on the investor's heirs, executors, administrators, successors and assigns.
- (c) All of the representations, warranties, covenants, agreements, and confirmations set out above and in the investor application shall survive the acceptance of the purchase made herein and the issuance of any shares of the fund.
- (d) This investor application constitutes the entire agreement between the parties hereto with respect to the investor's investment in the fund and specifically excludes other written agreements between the parties, and may be amended only by a writing executed by both parties.
- (e) The investor acknowledges that due to anti-money laundering laws and regulations, the fund may require further identification of the investor before the purchase can be accepted and the fund and the advisor shall be held harmless and indemnified against any loss arising as a result of a failure to process the application if such identification hasn't been provided by the investor or has been provided incompletely or after a delay.
- (f) Within 10 days after receipt of a request therefore from the fund, the investor agrees to provide such information and to execute and deliver such documents as the fund may deem reasonably necessary to comply with any and all laws and ordinances to which the fund is or may be subject.

Notices

Any notice required or permitted to be given to the investor in relation to the fund shall be sent to the investor at the address provided herein. If election for electronic delivery has been selected, delivery will be made to the email address indicated herein or through the advisor's or administrator's investor web portal accompanied by a notice to the investor's email address or to such other address as the investor designates by written notice received by the fund.

Governing law

This investor application shall be governed by the laws of the Commonwealth of Massachusetts without regard to the conflicts of law principles thereof.

Exhibit A

Privacy policy

www.johnhancock.com/privacy

The investor must complete this anti-money laundering supplement in order to become a shareholder of the fund. The investor's investor application will not be deemed complete, and the investor will not be deemed a shareholder of the fund, regardless of whether the investor has already wired funds, until all of the required documentation listed below is received by the administrator. For additional information, please contact the Administrator at 844-384-0333 or email altopsta@statestreet.com.

1. Payment information

Name of investor (no initials)

Address, including apartment number (no P.O. boxes)

Telephone number

Occupation of individual investor or description of business of entity investor

Nationality/country of organization of investor

Taxpayer Identification number (Employer identification number for U.S. entity or Social Security number for U.S. individual)

Name of the bank from which the investor's payment to the fund is being wired (wiring bank)

Bank account number

ABA/Fed routing no. or SWIFT address

Bank address

Bank phone number

Name of account

Note: The investor must wire the payment from an account in the investor's name.

Were the funds for this investment generated by the investor's occupation or the business of the entity investing in the fund? Yes No

Is the wiring bank located in a FATF country?⁶ Yes No

Is the investor a customer of the wiring bank? Yes No

Note: If the investor answered "No" to either question above, the investor must provide a letter of reference from the wiring bank or a bank or broker-dealer located in a FATF-member country. (A sample letter of reference is attached hereto as Annex D.)

⁶ Currently, countries that are members of the Financial Action Task Force on Money Laundering (each, a FATF country) are Argentina, Australia, Austria, Belgium, Brazil, Canada, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, Ireland, Italy, Japan, Luxembourg, Mexico, Kingdom of the Netherlands, New Zealand, Norway, Portugal, Russian Federation, Singapore, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom, and the United States.

2. Additional information

Indicate the category which best describes the investor (and provide the documents indicated below that correspond to the appropriate category):

- Individual Trust
- Privately held entity (other than a fund of funds, entity that invests on behalf of third parties, or trust)
- Publicly held company

The following materials must be provided to the administrator:

(a) For individuals and participants in individual retirement accounts, Keogh plans, and other self-directed defined contribution plans

- A government issued form of picture identification (e.g., passport or driver's license). Identification must be current (i.e., nonexpired) and legible.

(b) For trusts

- A copy of the trust or evidence of its formation
- An incumbency certificate attesting to the title of the individual executing this investor application on behalf of the investor (a sample incumbency certificate is attached hereto as **Annex A**).
- A completed copy of **Annex B**

(c) For privately held entities (other than a fund of funds, entity that invests on behalf of third parties, or trust)

- A copy of the entity's organization or charter documents filed with the jurisdiction of organization
- An incumbency certificate attesting to the title of the individual executing this investor application on behalf of the investor (a sample incumbency certificate is attached hereto as **Annex A**)
- A completed copy of **Annex C**

(d) For publicly held companies

- A copy of the entity's organization or charter documents filed with the jurisdiction of organization or the most recent annual report
- An incumbency certificate attesting to the title of the individual executing this investor application on behalf of the prospective investor (a sample incumbency certificate is attached hereto as **Annex A**)
- The name of the exchange on which the entity's shares are listed and the ticker symbol

Form of incumbency certificate

The undersigned, being the _____ of _____, a _____

Insert title

Insert name of entity

Insert type of entity

organized under the laws of _____ (the company), does hereby certify on behalf of
Insert jurisdiction of organization

the company that the persons named below are directors and/or officers of the company and that the signature at the right of said name, respectively, is the genuine signature of said person and that the persons listed below are each an authorized signatory for the company.

Name	Title	Signature
_____	_____	_____
_____	_____	_____
_____	_____	_____

In witness whereof, the undersigned has hereunto set his hand as of the _____ day of _____, 202 ____.

PRINT
HERE

The undersigned, _____ a duly authorized _____ of the company, does hereby certify that
Insert name of signatory no. 2 Insert title

_____ is a duly authorized officer of _____ and that the signature set forth above is his/her true and
Insert name of signatory no. 1 Insert name of company
correct signature.

In witness whereof, the undersigned has executed this certificate as of the _____ day of _____, 202 ____.

PRINT
HERE

To be completed by entity investors that are trusts

Instructions

Please complete and return this **Annex B** and provide the name of: (a) every current beneficiary that has, directly or indirectly, an interest of 25% or more in the trust; (b) every person who contributed assets to the trust (settlers or grantors); and (c) every trustee. If there are intermediaries that aren't individuals, continue up the chain of ownership listing their 25% or more equity interest holders until individuals are listed.

Full name and address	Status (beneficiary/settlor/trustee)	Citizenship (for individuals) or principal place of business (for entities)

Annex C

To be completed by privately held entities

Instructions

Please complete and return this **Annex C** and provide the name, address, and citizenship of: (a) every person who is directly or indirectly through intermediaries, the beneficial owner of 25% or more of any voting or nonvoting class of equity interests of the investor (if the intermediary's shareholders or partners aren't individuals, continue up the chain of ownership listing their 25% or more equity interest holders until individuals are listed); and (b) all directors, general partners, or members, as applicable. If there are no 25% beneficial owners, please write "None."

Full name and address	Status (shareholder, beneficial owner, director, general partner, member)	Citizenship (for individuals) or principal place of business (for entities)

Annex D

[Letterhead of wiring bank or office of FATF-member banking institution or brokerage firm]

Date _____, 202 ____

[Insert name of fund in which investment is being made]

[Address]

The undersigned hereby certifies, which certifications shall be deemed to be continuing, that:

1. **[insert name of institution]** (the institution) has established and maintains an anti-money laundering program and a customer identification program (together, the program), which includes policies and procedures that require the institution to obtain and verify information about the identity of its clients and which are reasonably designed to ensure that the institution isn't being used by any client as a conduit for money laundering or other illegal purposes;
2. The institution is in compliance with the program and all anti-money laundering laws, regulations, and rules in effect that are applicable to it and;
3. The institution has verified the identity of **[insert name of investor]** and to the best of the institution's knowledge, no transaction undertaken with respect to such investor's account(s) at the institution is prohibited by applicable law, regulation or rule and no property held in any such account(s) is derived from any activity prohibited by applicable law, regulation, or rule.

Do not hesitate to contact me at _____ if you have any further questions.
Insert telephone no.

Authorized signature

Name:

Title: