



# Investor Transaction Guide

Welcome to the "**Investor Transaction Guide**," your go-to resource for managing and transacting investments in the CRI Global Funds.

As CBIS continues to provide Catholic investors with dynamic, responsible investment solutions, this guide is designed to support you in seamlessly navigating the platform. Whether you're looking to transact, update your account details, or understand more about the Anti-Money Laundering refresh process, this guide offers clear instructions and helpful tips.

Our goal is to ensure you have the tools and information needed to manage your investments efficiently and confidently as you move forward with your investment journey. Following the steps outlined in this guide ensures transactions are processed promptly and with as few delays as possible.

## Contents

Investor Services Contact Information .....	2
Introduction.....	3
Wire Instructions.....	4
Creating an Encrypted File .....	5
Authorised Signatory List (ASL).....	6
Anti-Money Laundering (AML) Cyclical Refresh .....	8
Step-by-Step Guide for Manual Dealing Forms .....	10
Investment/Subscriptions.....	12
Divestment/Redemptions.....	13
Switches/Rebalancing .....	15
Changing Your Account Name.....	17
Changing Your Account Address .....	19
Updating Your Bank Account Details .....	21
Adding and Removing Additional Users .....	23
Account Closure.....	24
Transaction Documents .....	26
Dealing Forms.....	26
Sample Letters and Additional Forms .....	26



## Investor Services Contact Information

### Trade Related Queries:

Email: [mercerinvestorservices@statestreet.com](mailto:mercerinvestorservices@statestreet.com)

Phone: +353 1 242 5515

### GSP Queries and Issues:

Email: [GSPaccessrequests@StateStreet.com](mailto:GSPaccessrequests@StateStreet.com)

### State Street Address:

State Street Fund Services (Ireland) Limited  
Transfer Agency  
78 Sir John Rogerson's Quay  
Dublin 2  
Ireland

### CBIS Global S.r.L. Rome Service Centre:

Via Aurelia, 476  
CP 9099 (Aurelio)  
00165 ROMA – ITALIA

**Tel:** (39) 080 919 9232

**Fax:** (39) 066 638 821

**Email:** [info@cbisglobal.com](mailto:info@cbisglobal.com)



## Introduction

### **What is GSP?**

GSP is a repository of all account level information that clients have with State Street. State Street is the Fund's custodian, meaning they are responsible for safe-keeping assets for our clients. GSP is primarily used by clients to view transaction details and account holdings.

### **Who is Mercer and what is their role?**

Mercer is a leading global consulting and investment solutions firm, with more than 4,700 employees and over U.S. \$15 trillion in assets under advisement.\* The firm's Mercer Global Investments Management Limited ("MGIM") is authorized by the Central Bank of Ireland to act as a UCITS management company and will assume that role for the restructured CBIS Global Funds.

*\*As of 12/31/2024.*



## Wire Instructions

Instructions for the CRI Global Bond and CRI Global Equity Funds. Additional currency information is available on request, please contact [info@cbisglobal.com](mailto:info@cbisglobal.com).

Swift Instructions	
BIC	SBOSIE2DTAD
DN	ou=xxx,ou=funds,o=sbosie2d,o=swift

MGI FUNDS PLC	
Currency	EUR
Beneficiary Account Name	MGI FUNDS PLC
Beneficiary Account Number	70990025
Beneficiary Bank	Bank of America N.A., London
Beneficiary BIC	BOFAGB22
IBAN	GB69 BOFA 1650 5070 9900 25
Reference	iFast account number /iFast account name

MGI FUNDS PLC	
Currency	USD
Beneficiary Account Name	MGI FUNDS PLC
Beneficiary Account Number	6550663028
Beneficiary Bank	Bank of America N.A., New York
Beneficiary BIC	BOFAUS3N
ABA	026009593
CHIPS	959
Reference	iFast account number /iFast account name



## Creating an Encrypted File

Using encrypted files when emailing personal identifiable information (PII) is essential to protect sensitive data from unauthorized access. Encryption ensures that even if an email is intercepted, the information inside remains unreadable to anyone without the proper credentials. This added layer of security helps investors transact with greater confidence, knowing their personal details are safeguarded throughout the communication process.

1. Create your document (Word, PDF, Excel, etc.).
2. Add a password:
  - Word/Excel/PPT:
    - Go to File → Info → Protect Document → Encrypt with Password.
    - Enter a password and save.
  - PDF:
    - Use Adobe Acrobat → Protect → Encrypt with Password, or save as PDF and set password if your tool allows it.
3. Attach the password-protected file to your email.
4. Send the password in a **separate message (text or second email)**.

*Never send the password in the same email as the file.*

## Authorised Signatory List (ASL)

Keeping your Authorised Signatory List (ASL) up to date is essential to ensure that only authorised individuals can sign on your behalf. This guide outlines the simple steps you need to follow to update your ASL with State Street.

### Why is this important?

An accurate ASL confirms who has authority to sign documentation for your account. It helps prevent unauthorised actions and ensures smooth processing of actions, transactions, and communications.

### What do you need to do?

#### 1. Prepare Your Updated ASL

ASL Update Form can be found in Documents section below.

- The updated document must be signed by at least one current/continuing signatory listed on the existing ASL.
- If the change involves replacing the only signatory, you will need to provide a copy certified by one of the following:
  - Chartered & Certified Public Accountants
  - Notaries Public
  - Practicing Solicitors
  - Embassy Consular Staff or Senior Officials of Designated Bodies

*Note:* The certifier's status will be verified independently or requested if unavailable.

#### 2. Submit the Updated ASL

Send the signed original wet ink version of the updated ASL via recorded delivery to the address below:

- **To:**  
TA Registration Team  
State Street Fund Services (Ireland) Limited  
Mercer Funds  
Registration Team - Transfer Agency  
No. 78 Sir John Rogerson's Quay  
Dublin 2, Ireland

It is recommended to send this recorded delivery to ensure nothing gets lost in transit.

Email a scanned copy of the updated ASL to [info@cbisglobal.com](mailto:info@cbisglobal.com). Ensure any attachments are encrypted. To learn more about this process please visit the section, "Creating an Encrypted File" found earlier in this document.



### **Need Help?**

If you have any questions or need assistance during this process, contact the Mercer Investor Services team at State Street for guidance.

### **Summary**

- Submit the original via recorded delivery and email.
- Confirm receipt with the Mercer Investor Services team at State Street.

**Thank you for helping us keep your account information accurate and secure.**

## Anti-Money Laundering (AML) Cyclical Refresh

It is important to regularly update and verify your Anti-Money Laundering (AML) information to ensure everything is current and accurate. This process is called the AML Cyclical Refresh, and it helps to maintain the highest standards of compliance and security.

### When Will You Need to Take Action?

- **Your AML refresh date** is set based on your risk level and the type of agreement you have in place.
- **High risk clients:** Every year.
- **Medium risk clients:** Every three years
- **Low risk clients:** Every five years.
- **Additional updates** are needed sooner if there are significant changes in your details or circumstances (see below).

### What Triggers a Refresh?

You will be asked to update your AML information if any of the following happen:

- Change of your name or business name,
- Change in your company structure (mergers, acquisitions, etc.),
- Change of registered address,
- Update of authorised signatories,
- New or updated Politically Exposed Person (PEP) status,
- Discovery of a sanctioned party or adverse media reports, or
- Any suspicious activity or information that requires review.

### Your Action Steps

#### 1. Receive Notification

You will be notified when your AML refresh is due, typically via email. This email will include a list of requested documents in which either updated documentation will be required or confirmation that there have been no material changes to existing information.

#### 2. Download and Complete any Requested Client Documentation.

Information requested during an AML refresh can vary given circumstances, jurisdictions, or reason behind AML cycle refresh.

Typically, the following information will be requested:

- Confirmation that the Ultimate Beneficiary Form (UBO) and any Senior Management Officials (SMO's) listed are still current.
  - *If not a new UBO will be required.*
- Updated Passport/Driving Licence or National ID card for any expired documents.
- Updated address verification of any SMO's (six months or less) utility bill/bank statement.
- Confirmation that the Authorised Signatory List (ASL) is still current.





- *If not a new ASL will be required.*
- A copy of the latest Report & Accounts or Financial Statement

Gather any supporting documents needed (e.g., proof of address, ID, business registration documents).

### **3. Provide Mercer Investor Services Team at State Street with Update/Confirmed AML Details**

- Share signed documents where required or confirm there have been no material changes within requested timelines.
  - Typically, response is required within two weeks from the initial email.

### **4. Confirmation and Review**

- After submission, your documents will be reviewed by Mercer.
- Mercer may perform additional checks, such as screening against sanctions lists or adverse media reports, to verify your information.

### **6. Follow-up if Needed**

- If more information or clarification is needed, Mercer will contact you directly.
- If any suspicious activity or discrepancies are found, there may be a need to escalate the review process or request further documentation.

### **7. Final Approval and Record Update**

- Once everything is verified, your AML details will be formally updated.
- You will receive confirmation that your AML refresh is complete.

### **Important Reminders**

- **Timely Action:** Please complete and return your AML documentation by the deadline specified in the email to avoid delays or compliance issues.
- **Keep Your Information Current:** Notify your relationship manager immediately if any of your details change outside of the scheduled refresh (e.g., change of address, new signatories).

### **Need Help?**

If you have any questions or need assistance during this process, contact the Mercer Investor Services team at State Street.

**Thank you for your cooperation in helping us maintain compliance and protect your interests.**



## Step-by-Step Guide for Manual Dealing Forms

Please see below for details on the process for submitting manual trade instructions via dealing forms for investment, redemption, or switch transactions.

### Requesting a Dealing Form

All dealing forms (Investment, Redemption, or Switch/Exchange) can be found in the Documents section below. The following information will be needed to complete the form.

- Account Name and iFAST Account Number
- Full Fund Name, Share Class, ISIN & Currency (per Investor Portal - GSP)
- Transaction Amount

### Submitting the Dealing Form

To execute a trade, the signed dealing form must be sent via email to:

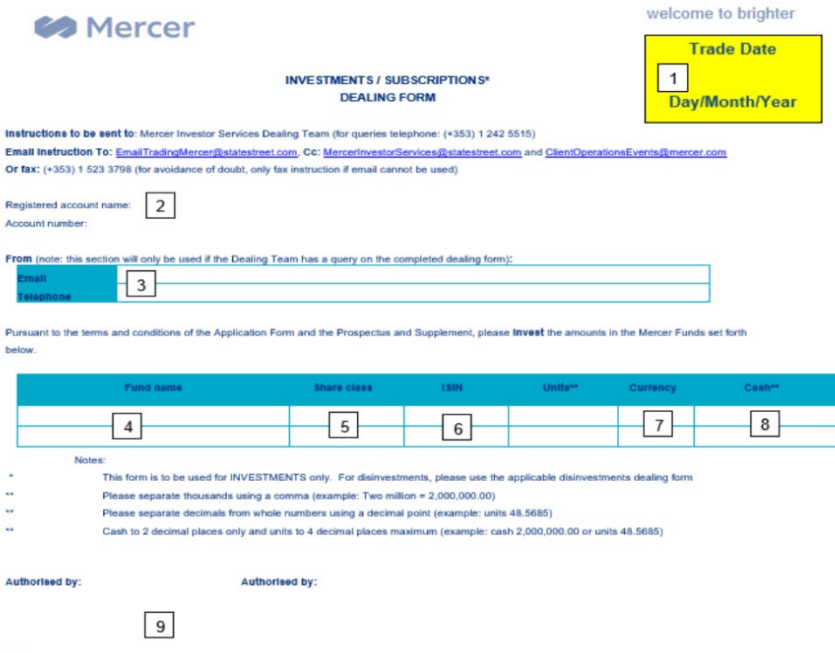
- Email: [EmailTradingMercer@statestreet.com](mailto:EmailTradingMercer@statestreet.com)
- CC: [MercerInvestorServices@statestreet.com](mailto:MercerInvestorServices@statestreet.com), [ClientOperationsEvents@mercerc.com](mailto:ClientOperationsEvents@mercerc.com), [info@cbisglobal.com](mailto:info@cbisglobal.com).

Ensure any attachments are encrypted. To learn more about this process please visit the section, “Creating an Encrypted File” found earlier in this document.

### Important Points to have dealing form accepted by State Street:

- Dealing forms can be signed either with a scanned wet-ink signature or an electronic signature.
- Signatures (Including Electronic Signatures) must match the Authorised Signatory List (ASL) on file with State Street.
- Dealing forms should include printed name along with signature.
- Signatures cannot be movable.
- The completed dealing form must be submitted in PDF format.
- Please note for large redemption trades, over \$10 million dollars (or equivalent currency), a call back will be required before completion of redemption trade. Your CBIS Relationship Manager will liaise with you and State Street to organize a call back.
- For large redemptions, completing the Call Back before settlement is crucial to avoid delays.

## How to populate dealing form?



The form is titled "INVESTMENTS / SUBSCRIPTIONS\* DEALING FORM" and includes a "Trade Date" field (1) and a "Registered account name" field (2). It also features a "From" section for contact details (3) and a table for transaction details with columns for Fund name (4), Share class (5), ISIN (6), Units\*\* (7), Currency, and Cash\*\*\* (8). The form includes instructions and notes for completion.

**Instructions to be sent to:** Mercer Investor Services Dealing Team (for queries telephone: (+353) 1 242 5515)

**Email instruction To:** [EmailTradingMercer@statestreet.com](mailto:EmailTradingMercer@statestreet.com), Cc: [MercerInvestorServices@statestreet.com](mailto:MercerInvestorServices@statestreet.com) and [ClientOperationsEvents@mercerc.com](mailto:ClientOperationsEvents@mercerc.com)

**Or fax:** (+353) 1 523 3798 (for avoidance of doubt, only fax instruction if email cannot be used)

**Registered account name:** [2]

**Account number:**

**From** (note: this section will only be used if the Dealing Team has a query on the completed dealing form):

**Email:** [3]

**Telephone:**

Pursuant to the terms and conditions of the Application Form and the Prospectus and Supplement, please **invest** the amounts in the Mercer Funds set forth below.

Fund name	Share class	ISIN	Units**	Currency	Cash***
[4]	[5]	[6]		[7]	[8]

**Notes:**

- \* This form is to be used for INVESTMENTS only. For disinvestments, please use the applicable disinvestments dealing form
- \*\* Please separate thousands using a comma (example: Two million = 2,000,000.00)
- \*\* Please separate decimals from whole numbers using a decimal point (example: units 48.5685)
- \*\* Cash to 2 decimal places only and units to 4 decimal places maximum (example: cash 2,000,000.00 or units 48.5685)

**Authorised by:** [9]

1. **Trade Date:** If trade instruction is for a future date, please populate. If left blank trade will be placed for next available trade date. Not mandatory to populate.
2. **Account Name & Account Number:** Mandatory. Enter iFAST account number and account name exactly as per Investor Portal - GSP.
3. **Client Contact:** Provide the contact details for any trade-related queries.
4. **Fund Name:** Found in the Fund Name field in Investor Portal - GSP.
5. **Share class:** Found in the Fund Name field in Investor Portal - GSP.
6. **ISIN:** Listed in the ISIN field in Investor Portal - GSP.
7. **Currency:** Found in the Fund Name field in Investor Portal - GSP.
8. **Cash Value or Units:** Mandatory Enter transaction amount as either Cash Value **or** Units. **Do not enter both.**
9. **Authorised Signature:** Dealing form can be both electronic and wet ink signed (signature must match ASL held on file by State Street), signature cannot be moveable. Dealing form must be signed by at least one authorised signature (Unless ASL requires minimum two signatures). Please both sign and print the signer's name.



## Investment/Subscriptions

Investors must submit the “Investments/Subscriptions Dealing Form” to Mercer Investor Services Dealing team at State Street when looking to invest in the Funds.

**Instructions must be sent to:** Mercer Investor Services Dealing Team

- Email Instruction to: [EmailTradingMercer@statestreet.com](mailto:EmailTradingMercer@statestreet.com)
  - Cc: [MercerInvestorServices@statestreet.com](mailto:MercerInvestorServices@statestreet.com), [ClientOperationsEvents@mercerc.com](mailto:ClientOperationsEvents@mercerc.com), and [info@cbisglobal.com](mailto:info@cbisglobal.com).
- Or fax: (+353) 1 523 3798
  - **For avoidance of doubt, only fax instruction if email cannot be used.**
- Tel: (+353) 1 242 5515

Ensure any attachments are encrypted. To learn more about this process please visit the section, “Creating an Encrypted File” found earlier in this document.

**Completion of the form will require the following information:**

1. **Trade Date:** If trade instruction is for a future date, please populate. If left blank trade will be placed for next available trade date. Not mandatory to populate.
2. **Account Name & Account Number:** Mandatory. Enter iFAST account number and account name exactly as per Investor Portal -GSP.
3. **Client Contact:** Provide the contact details for any trade-related queries.
4. **Fund Name:** Found in the Fund Name field in Investor Portal - GSP.
5. **Share class:** Found in the Fund Name field in Investor Portal - GSP.
6. **ISIN:** Listed in the ISIN field in Investor Portal - GSP.
7. **Currency:** Found in the Fund Name field in Investor Portal - GSP.
8. **Cash Value or Units:** Mandatory. Enter transaction amount as either Cash Value **or** Units. **Do not enter both.**
9. **Authorised Signature:** Dealing form can be both electronic and wet ink signed (signature must match ASL held on file by State Street), signature cannot be moveable. Dealing form must be signed by at least one authorised signature (Unless ASL requires minimum two signatures). Please both sign and print the signer’s name.

**Helpful reminders when completing this form:**

- This form is to be used for **INVESTMENTS** only. For disinvestments, please use the applicable dealing form.
- Please separate thousands using a comma (example: Two million = 2,000,000.00)
- Please separate decimals from whole numbers using a decimal point (example: units 48.5685)
- Cash to 2 decimal places only and units to 4 decimal places maximum (example: cash 2,000,000.00 or units 48.5685).

**Important points to have dealing form accepted by State Street:**

- Dealing forms can be signed either with a scanned wet-ink signature or an electronic signature.
- Signatures (Including Electronic Signatures) must match the Authorised Signatory List (ASL) on file with State Street
- Signatures cannot be movable.
- The completed dealing form must be submitted in PDF format.



## Divestment/Redemptions

Investors must submit the “Divestments/Redemptions Dealing Form” to Mercer Investor Services Dealing team at State Street when looking to divest or redeem Funds from their accounts.

**Instructions must be sent to:** Mercer Investor Services Dealing Team

- Email Instruction To: [EmailTradingMercer@statestreet.com](mailto:EmailTradingMercer@statestreet.com)
  - Cc: [MercerInvestorServices@statestreet.com](mailto:MercerInvestorServices@statestreet.com), [ClientOperationsEvents@mercer.com](mailto:ClientOperationsEvents@mercer.com), and [info@cbisglobal.com](mailto:info@cbisglobal.com).
- Or fax: (+353) 1 523 3798
  - **For avoidance of doubt, only fax instruction if email cannot be used.**
- Tel: (+353) 1 242 5515

Ensure any attachments are encrypted. To learn more about this process please visit the section, “Creating an Encrypted File” found earlier in this document.

**Completion of the form will require the following information:**

1. **Trade Date:** If trade instruction is for a future date, please populate. If left blank trade will be placed for next available trade date. Not mandatory to populate.
2. **Account Name & Account Number:** Mandatory. Enter iFAST account number and account name exactly as per Investor Portal -GSP.
3. **Client Contact:** Provide the contact details for any trade-related queries.
4. **Fund Name:** Found in the Fund Name field in Investor Portal - GSP.
5. **Share class:** Found in the Fund Name field in Investor Portal - GSP.
6. **ISIN:** Listed in the ISIN field in Investor Portal - GSP.
7. **Currency:** Found in the Fund Name field in Investor Portal- GSP.
8. **Cash Value or Units:** Mandatory. Enter transaction amount as either Cash Value **or** Units. **Do not enter both.**
9. **Authorised Signature:** Dealing form can be both electronic and wet ink signed (signature *must match ASL held on file by State Street*), signature cannot be moveable. Dealing form must be signed by at least one authorised signature (Unless ASL requires minimum two signatures). Please both sign and print the signer’s name.

**Helpful reminders when completing this form:**

- This form is to be used for **DISINVESTMENTS** only. For investments, please use the applicable investments dealing form
- Please separate thousands using a comma (example: Two million = 2,000,000.00)
- Please separate decimals from whole numbers using a decimal point (example: units 48.5685)
- Cash to 2 decimal places only and units to 4 decimal places maximum (example: cash 2,000,000.00 or units 48.5685).
- Please note for large redemption trades, over \$10 million dollars (or equivalent currency), a call back will be required before completion of redemption trade. Your CBIS Relationship Manager will liaise with you and State Street to organize a call back.
- For large redemptions, completing the Call Back before settlement is crucial to avoid delays.



**Important points to have dealing form accepted by State Street:**

- Dealing forms can be signed either with a scanned wet-ink signature or an electronic signature.
- Signatures (Including Electronic Signatures) must match the Authorised Signatory List (ASL) on file with State Street
- Signatures cannot be movable.
- The completed dealing form must be submitted in PDF format.



## Switches/Rebalancing

Investors must submit the “Switch Dealing Form” to Mercer Investor Services Dealing team at State Street when looking to exchange between Funds.

- Account Name and iFAST Account Number
- Full Fund Name, Share Class, ISIN & Currency (per Investor Portal - GSP)
- Transaction Amount

**Instructions must be sent to:** Mercer Investor Services Dealing Team

- Email Instruction To: [EmailTradingMercer@statestreet.com](mailto:EmailTradingMercer@statestreet.com)
  - Cc: [MercerInvestorServices@statestreet.com](mailto:MercerInvestorServices@statestreet.com), [ClientOperationsEvents@mercerc.com](mailto:ClientOperationsEvents@mercerc.com), and [info@cbisglobal.com](mailto:info@cbisglobal.com).
- Or fax: (+353) 1 523 3798
  - **For avoidance of doubt, only fax instruction if email cannot be used.**
- Tel: (+353) 1 242 5515

Ensure any attachments are encrypted. To learn more about this process please visit the section, “Creating an Encrypted File” found earlier in this document.

**Completion of the form will require the following information:**

1. **Trade Date:** If trade instruction is for a future date, please populate. If left blank trade will be placed for next available trade date. Not mandatory to populate.
2. **Account Name & Account Number:** Mandatory. Enter iFAST account number and account name exactly as per Investor Portal -GSP.
3. **Client Contact:** Provide the contact details for any trade-related queries.
4. **Switch From:**
  - Fund Name: Found in the Fund Name field in Investor Portal - GSP.
  - Share Class: Found in the Fund Name field in Investor Portal -GSP.
  - ISIN: Listed in the ISIN field in Investor Portal - GSP.
  - Currency: Found in the Fund Name field in Investor Portal - GSP.
  - Cash Switch or Units From: Mandatory. Enter transaction amount as either Cash Value **or** Units. **Do not enter both.**
5. **Switch To:**
  - Fund Name: Found in the Fund Name field in Investor Portal - GSP.
  - Share Class: Found in the Fund Name field in Investor Portal -GSP.
  - ISIN: Listed in the ISIN field in Investor Portal - GSP.
  - Currency: Found in the Fund Name field in Investor Portal - GSP.
  - Cash Switch to or Units: Mandatory. Enter transaction amount as either Cash Value **or** Units. **Do not enter both.**
6. **Authorised Signature:** Dealing form can be both electronic and wet ink signed (signature *must match ASL held on file by State Street*), signature cannot be moveable. Dealing form must be signed by at least one authorised signature (Unless ASL requires minimum two signatures). Please both sign and print the signer’s name.



**Helpful reminders when completing this form:**

- This form is to be used for **SWITCHES** only. For investment or divestments, please use the applicable dealing form
- Please separate thousands using a comma (example: Two million = 2,000,000.00)
- Please separate decimals from whole numbers using a decimal point (example: units 48.5685)
- Cash to 2 decimal places only and units to 4 decimal places maximum (example: cash 2,000,000.00 or units 48.5685).
- For a SWITCH into a new CBIS Global Fund, refer to the CBIS website for Fund Name, ISIN, Currency and Share Class.

**Important Points to have dealing form accepted by State Street:**

- Dealing forms can be signed either with a scanned wet-ink signature or an electronic signature.
- Signatures (Including Electronic Signatures) must match the Authorised Signatory List (ASL) on file with State Street.
- Signatures cannot be movable.
- The completed dealing form must be submitted in PDF format.



## Changing Your Account Name

If you need to update the name on your investor account, this guide will walk you through the steps you need to take. Mercer and State Street will work with you to ensure your account details are updated accurately and efficiently.

### Step 1: Prepare the Required Documentation

You will need to provide specific documents:

#### Client Name Change

	Documents	Format
1.	Instruction Letter	Wet-ink
2.	Certificate of Incorporation on change of name (i.e. Registro delle Imprese, Companies Registration Office)	Certified True Copy
3.	UBO declaration	Soft Copy
4.	FATCA / CRS (W-8BEN-E) to reflect name update	Soft Copy
5.	Authorised Signatory List (if required)	Wet-ink

- 1. Instruction Letter (Template found in Documents section):** You, the investor must provide an Instruction Letter confirming the relevant details for the name change.  
The instruction letter must:
  - be on headed paper.
  - be signed by two authorised signatories in wet ink.
- 2. Certificate of Incorporation:** Certified true copy showing the change of name (from Companies House, Registro delle Imprese, Companies Registration Office etc.).
- 3. UBO Declaration (Template found in Documents section):** Soft copy confirming the ultimate beneficial owner details.
- 4. FATCA/CRS (W-8BEN-E) (Template found in Documents section):** Soft copy of the relevant form.

### Step 2: Submit Your Documentation

The Instruction Letter must be sent to State Street

- Emailed to [taregistration.eb@statestreet.com](mailto:taregistration.eb@statestreet.com), and [DS.ClientSupport@mercer.com](mailto:DS.ClientSupport@mercer.com), [info@cbisglobal.com](mailto:info@cbisglobal.com), with “FAO Registration Department – Name Change” in the subject line; **and**
- Wet ink copies posted (recommended via registered delivery) to:  
TA Registration Team  
State Street Fund Services (Ireland) Limited  
Mercer Funds  
Registration Team - Transfer Agency  
No. 78 Sir John Rogerson's Quay  
Dublin 2  
Ireland



Ensure any attachments are encrypted. To learn more about this process please visit the section, “Creating an Encrypted File” found earlier in this document.

You, the client, will also need to provide the following as per the above tables:

- a. Certificate of Incorporation of Name Change which can be sourced by the investor from Registro delle Imprese, Companies Registration Office, etc.
- b. UBO Declaration.
- d. FATCA/CRS (if applicable) the new name change needs to match the W8 on record, your relationship manager can assist in drafting this document.
- e. Application form if required.

### **Step 3: Confirm the Change**

- Mercer/State Street will verify that your account name has been successfully updated in the system.
- You will receive confirmation once the change is complete.

### **Additional Important Notes:**

- **Accuracy:**
  - Make sure all submitted documents are complete and correct to avoid delays.
- **AML/KYC Checks:**
  - State Street may request additional AML/KYC documents after reviewing your submission.
- **System Updates:**
  - We will update the relevant Application Form, if needed.

## Changing Your Account Address

If you need to update the address on your investor account, this guide will walk you through the steps you need to take. Mercer will work with State Street to ensure your address details are updated accurately and efficiently.

### Step 1: Prepare the Required Documentation

You will need to provide specific documents:

	Documents	Format
1.	Instruction Letter	Wet-ink
2.	Copy of constitution document that reflect the change of Registered Address	Soft Copy

**Instruction Letter (Template found in Documents section):** The investor must provide an Instruction Letter confirming the relevant details for the account address.

The instruction letter must:

- be on headed paper.
- be signed by two authorised signatories in wet ink.
- be mailed to the address below.

### Step 2: Submit Your Documentation

The Instruction Letter must be sent to State Street

- Emailed to [taregistration.cb@statestreet.com](mailto:taregistration.cb@statestreet.com), [DS.ClientSupport@mercer.com](mailto:DS.ClientSupport@mercer.com), [info@cbisglobal.com](mailto:info@cbisglobal.com) with “FAO Registration Department – Name Change” in the subject line; **and**
- Wet ink copies posted (recommended via registered delivery) to:  
TA Registration Team  
State Street Fund Services (Ireland) Limited  
Mercer Funds  
Registration Team - Transfer Agency  
No. 78 Sir John Rogerson's Quay  
Dublin 2  
Ireland

Ensure any attachments are encrypted. To learn more about this process please visit the section, “Creating an Encrypted File” found earlier in this document.



### **Step 3: Confirm the Change**

- Verification will be sent to notify you that your account address has been successfully updated in the system.
- You will receive confirmation once the change is complete.

### **Additional Important Notes:**

- **Accuracy:**
  - Make sure all submitted documents are complete and correct to avoid delays.
- **AML/KYC Checks:**
  - State Street may request additional AML/KYC documents after reviewing your submission.
- **System Updates:**
  - We will update the relevant Application Form, if needed.

## Updating Your Bank Account Details

If you need to change the bank account linked to your investment account, please follow these simple steps to ensure your update is processed smoothly and correctly.

### Step 1: Prepare and Send the Signed Letter to State Street

- The letter must be on headed paper and include the following details:
  - Your full account name
  - Your iFAST account number
  - Your new bank details:
    - Bank Name
    - Account Name
    - Sort Code
    - Account Number
    - Currency
  - Your signature in wet ink (original signature)
- Ensure the letter is signed by the authorised signatories as per your agreement in wet ink.
- Once the letter is complete send the original signed letter (by recorded delivery) to State Street:

TA Registration Team  
State Street Fund Services (Ireland) Limited  
Mercer Funds  
Registration Team - Transfer Agency  
No. 78 Sir John Rogerson's Quay  
Dublin 2, Ireland

- This step is essential to implement your change. It is recommended that the document is sent recorded delivery so that it can be tracked and to avoid the risk it is lost in transit.

### Step 2: Confirm the Change via Call Back

- Your CBIS Relationship Manager will coordinate with State Street to verify your new bank details via a Call Back.
- Be prepared to provide the following information during the Call Back:
  - Your iFAST name
  - Your iFAST account number
  - Your registered address
  - Old Bank Account Details
  - New Bank Account Details

Please note that the new bank account details will not be live until the Call Back has been successfully completed.

Once updated bank details are live, the named contact on record for the account will be notified by State Street and that the record has been updated accordingly.

**Important Tips:**

- Always send your signed letter via recorded delivery to ensure it is received and tracked.

**Need Help?**

If you have any questions or need assistance during this process, contact Mercer Investor Services team at State Street. They will guide you through each step to ensure your bank details are updated securely and accurately.

This guide is designed to make updating your bank details straightforward and stress-free. Thank you for your cooperation!



## Adding and Removing Additional Users

To add or remove users from the Investor Portal - GSP, please contact [MercerISAdminOpsIRL@mercer.com](mailto:MercerISAdminOpsIRL@mercer.com) and CC [info@cbisglobal.com](mailto:info@cbisglobal.com) your CBIS Relationship Manager.



## Account Closure

If you decide to move your assets out of the CBIS Funds and close your account, this guide will walk you through the process step-by-step. Our goal is to make this transition smooth and straightforward for you.

### Step 1: Decide to Close Your Account

- Inform your CBIS Relationship Manager in writing (email) that you wish to close your account. Confirming that you want to fully withdraw your assets from the CBIS Funds.
- Provide your account details, including your 4-digit iFAST account number.
- We will provide a redemption dealing form.

### Step 2: Redeem Your Assets from CBIS Funds

- Confirm that your bank details on file on the Investor Portal, GSP are correct and up-to-date.
- **Action Required:** You need to issue an instruction to redeem (sell) your investments in the CBIS Funds (per trading procedure guide).
- Please note for large redemption trades, over \$10M dollars or equivalent currency, a call back will be required before completion of redemption trade. Your CBIS Relationship Manager will liaise with you and State Street to organize a call back.

### Step 3: Confirm Asset Transfer and No Further Payments

- **What to check:**
  - Verify that all assets have been transferred out of CBIS Funds.
  - Confirm that there are no remaining payments owed to you.
- **Action Required:**
  - Once you confirm that all assets are transferred and no further payments are due, notify CBIS that your assets are fully redeemed.

### Step 4: Mercer Will Log Your Closure Request

- Mercer will record your account closure request in our system and begin the process of closing your account.

### Step 5: Mercer Will Close Your Account

- Once all assets are transferred and no payments are pending, we will arrange for your account to be officially closed.

### Additional Notes:

- **Bank Details:**
  - Your cash proceeds will be paid to the bank account registered in your name with State Street.
  - Make sure your bank details are current to avoid delays.
- **Post-Closure:**
  - Our obligations continue until the account is fully closed and all assets are transferred.





- If you have any post-closure requests, such as final statements or documentation, please contact your CBIS Relationship Manager.

### **Contact Your Relationship Manager**

For any questions or to initiate your account closure, please contact your CBIS Relationship Manager.

### **Summary Checklist for Clients:**

- Decide to close your account and notify CBIS.
- Ensure your bank details are correct.
- Issue redemption instruction and redeem all assets from CBIS Funds.
- Provide written (email) closure request with your account details.

## Transaction Documents

The transacting documents can be found below and are also available on the CBIS website. These resources serve as a quick-access library of templates and samples to support your documentation needs.

Ensure any attachments are encrypted. To learn more about this process please visit the section, “Creating an Encrypted File” found earlier in this document.

Website link: <https://cbisonline.com/eu/resources/global-funds-transformation-toolkit/>

## Dealing Forms

### Investment Dealing Form



CBIS\_Investment  
Dealing Form\_Subsc

### Divestment Dealing Form



CBIS\_Disinvestment  
Dealing Form\_Reder

### Switches Dealing Form



CBIS Switch  
Dealing Form Templ

## Sample Letters and Additional Forms

Instruction Letter (Sample).....	27
Updated Bank Account Declaration.....	28
FATCA/CRS.....	29
ASL Update Form.....	34



**TEMPLATE INSTRUCTION LETTER**

[To be placed on appropriate letter head, signed by authorised signatories, to be sent to Transfer Agency, FAO Registration Department]

[Insert date]

Transfer Agency – Registration Department  
State Street Fund Services (Ireland) Limited  
No 78 Sir John Rogerson's Quay  
Dublin 2  
IRELAND

**RE: Mercer Funds - Letter confirming Trustee Name Change**  
**[Insert account #XXXX: Insert name of registered iFAST A/C]**

Dear Sir or Madam:

We hereby wish to notify you that [Insert name of current corporate trustee] has recently changed its name to [Insert name of new corporate trustee]. This change [came / will come\*] into effect [dd month yyyy]. Kindly amend the registered name of our iFAST account to: "The Trustee(s) of [insert name of pension scheme]" [effective immediately / from the effective date].

Please find enclosed the following details to update your records.

1. A soft copy of the official certificate of name change
2. A soft copy of the Declaration of Beneficial Ownership Form
3. An original copy of an updated authorised signature list (if applicable)
4. New Bank details: see overleaf (if applicable)

Yours faithfully

Authorised Signature

Authorised Signature

Name

Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date



[Bank Account Details update Only required if there has been a change to the name of Bank Account Details for Redemption and Distribution Payments]

**Bank Account Details for Redemption and Distribution Payments**

**[Insert account #XXXX: Insert name of registered iFAST A/C]**

Please list the details of the account to which redemption proceeds, and/or dividend distributions should be paid. Payments will only be made to a bank account held in the name of the registered shareholder **(No Third-Party Payments will be made)**.

Both IBANS & SWIFT (BIC) Codes should be quoted for all banks within the EU/EEA.

Amendments to investors' payment instructions will only be effected upon receipt of an original instruction which has been duly authorised. In the case of joint accounts, instructions will only be made upon receipt of instruction duly signed by all applicants

<b>Currency</b>	
<b>Correspondent Bank Name</b>	
<b>Correspondent Bank Address</b>	
<b>Correspondent Bank Sort Code/ SWIFT (BIC)/ ABA/Fedwire</b>	
<b>Beneficiary Bank Name</b>	
<b>Beneficiary Bank Address</b>	
<b>Beneficiary Bank Sort Code/ SWIFT (BIC)/ ABA/Fedwire</b>	
<b>Beneficiary Account Name</b>	
<b>Beneficiary Account Number</b>	
<b>Reference</b>	



## Mercer Global Investments Europe Limited - Declaration of Beneficial Ownership

Client Name:   

Please tick one of the below boxes and complete the relevant section:



We confirm there is a natural person(s) who is a beneficial owner<sup>i</sup> of the client. (Please complete section 1 below of this declaration).



We confirm there is no natural person(s) who is a beneficial owner<sup>i</sup> of the client and therefore, the beneficial owner(s) are those who hold the position of senior managing official(s). (Please complete section 2 of this declaration).

### Section 1: Natural person(s) who is a beneficial owner of the client

**Beneficial Owner 1** (please complete in block capitals)

Full Name	Identification Number	Occupation
Date of Birth (DD-MM-YYYY)	Place of Birth	Nationality
Percentage %		
Registered Address (PO or C/O will not be accepted)		
City, Town, State, Province or County	Postal/ZIP Code	Country

**Beneficial Owner 2** (please complete in block capitals)

Full Name	Identification Number	Occupation
Date of Birth (DD-MM-YYYY)	Place of Birth	Nationality
Percentage %		
Registered Address (PO or C/O will not be accepted)		
City, Town, State, Province or County	Postal/ZIP Code	Country

**Continuing Section 1: Natural person(s) who is a beneficial owner of the client**
**Beneficial Owner 4** (please complete in block capitals)

Full Name	Identification Number	Occupation
Date of Birth (DD-MM-YYYY)	Place of Birth	Nationality
Percentage %		
Registered Address (PO or C/O will not be accepted)		
City, Town, State, Province or County	Postal/ZIP Code	Country

**Section 2: No natural person(s) who is a beneficial owner of the client**

In the event where no natural person falls under section 1, the senior managing official(s) identified as beneficial owner (s) of the client will be recorded.

In completing the below, we confirm we have read and understood the definition of a beneficial owner and we have provided below details of senior managing officials\* who should be recorded as the Beneficial Owner(s).

*If needed, please add additional senior managing official(s) on a separate sheet*

*\* Senior managing officials must include a director and CEO at minimum, however, if all senior managing officials for the entity are not listed please provide detail/evidence to demonstrate how only those listed are deemed to have control.*

**Senior managing official 1** (please complete in block capitals)

Individual Full Name	In case of a person sitting under the Corporate Trustee please provide the full Legal Name of Corporate Trustee (for Pension Schemes only)
----------------------	--

**Continuing Section 2: No natural person(s) who is a beneficial owner of the client****Senior managing official 3** (please complete in block capitals)

Individual Full Name

In case of a person sitting under the Corporate Trustee please provide  
the full Legal Name of Corporate Trustee (for Pension Schemes only)

Date of Birth (DD-MM-YYYY)

Place of Birth

Nationality

Registered Address (PO or C/O will not be accepted)

Title

City, Town, State, Province or County

Postal/ZIP Code

Country

**Senior managing official 4** (please complete in block capitals)

Individual Full Name

In case of a person sitting under the Corporate Trustee please provide the  
full Legal Name of Corporate Trustee (for Pension Schemes only)

Date of Birth (DD-MM-YYYY)

Place of Birth

Nationality

Registered Address (PO or C/O will not be accepted)

Title

City, Town, State, Province or County

Postal/ZIP Code

Country



*By signing below, I certify that the information provided in this form is both complete and accurate.*

*Further, I understand that Mercer Global Investments Europe Limited, reserves the right to request further documentation if needed to comply with applicable anti-money laundering laws and regulations.*

Name\*: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

*\*This form should be signed off by an appropriate representative e.g. Director, Chair of Trustee, Any individual Trustee (for pension schemes), Head of Compliance or Legal or MLRO, Company Secretary*



## Mercer Global Investments Europe Limited - Declaration of Beneficial Ownership

Client Name:  

Please tick one of the below boxes and complete the relevant section:

- ☐ We confirm there is a natural person(s) who is a beneficial owner<sup>i</sup> of the client. (Please complete section 1 below of this declaration).
- ☐ We confirm there is no natural person(s) who is a beneficial owner<sup>i</sup> of the client and therefore, the beneficial owner(s) are those who hold the position of senior managing official(s). (Please complete section 2 of this declaration).

### Section 1: Natural person(s) who is a beneficial owner of the client

**Beneficial Owner 1** (please complete in block capitals)

Full Name	Identification Number	Occupation
Date of Birth (DD-MM-YYYY)	Place of Birth	Nationality
Percentage %		
Registered Address (PO or C/O will not be accepted)		
City, Town, State, Province or County	Postal/ZIP Code	Country

**Beneficial Owner 2** (please complete in block capitals)

Full Name	Identification Number	Occupation
Date of Birth (DD-MM-YYYY)	Place of Birth	Nationality
Percentage %		
Registered Address (PO or C/O will not be accepted)		
City, Town, State, Province or County	Postal/ZIP Code	Country

**Beneficial Owner 3** (please complete in block capitals)

Full Name	Identification Number	Occupation
Date of Birth (DD-MM-YYYY)	Place of Birth	Nationality
Percentage %		
Registered Address (PO or C/O will not be accepted)		
City, Town, State, Province or County	Postal/ZIP Code	Country



**Template ASL Update Form**

Transfer Agency – Registration Department  
State Street Fund Services (Ireland) Limited  
No.78 Sir John Rogerson's Quay  
Dublin 2  
IRELAND

RE: [A/C Number and Name] Authorised Signatory List

Dear Sir or Madam:

We hereby wish to confirm that following undersigned persons are authorised to place subscriptions/redemptions/transfers out and make register amendments on the above account.

Signature	Name	Position held/Title
	####	Trustee

Yours faithfully

Name:

Name:

Title:

Authorised Signatory

Title:

Authorised Signatory