



# Herald

LEADING-EDGE INVESTING

## HERALD INVESTMENT FUND PLC

---

### ACCOUNT HOLDER DEALING FORM SUBSCRIPTIONS, REDEMPTIONS, SWITCHES

c/o Northern Trust International Fund Administration Services (Ireland) Limited  
2<sup>nd</sup> Floor, Block A, City East Plaza  
Towlerton, Ballysimon  
Limerick, Ireland V94 X2N9

Phone: +353 1 434 5119  
Fax: + 353 1 434 5251  
Email: [Herald\\_TA@ntrs.com](mailto:Herald_TA@ntrs.com)

Hours of Operation: 9 a.m. – 5.30 p.m. (Dublin Time)

## INSTRUCTIONS FOR COMPLETING THIS DEALING FORM

This Dealing Form (the "Form") should only be used to apply, redeem or switch shares in your account with the Fund. Your request should be made by sending this Dealing Form to the details noted on the cover page.

Forms must be received by Northern Trust International Fund Administration Services (Ireland) Limited (the "Administrator") **by fax or post (ONLY) by 5.00 p.m. (Dublin time)** on the Business Day preceding any Dealing Day.

The form should also be emailed (for checking if required and for information purposes) to the email on the cover page and to the Company on [ag@heralduk.com](mailto:ag@heralduk.com). The original form is not required if a fax has been sent.

**Applications submitted only by email will not be accepted.**

Applicants (the "Applicants") must read the Company's Prospectus (the "Prospectus"), and the relevant Key Investor Information Document (a "KIID") which are available on the website of Herald Investment Management Limited (the "Investment Manager") [http://heralduk.com/\\_before](http://heralduk.com/_before) completing this Form.

Unless otherwise defined in this Form, all terms shall have the same meaning as in the Prospectus.

**Please complete the relevant sections using BLOCK CAPITALS.**

## GENERAL INFORMATION

**The Company reserves the right to reject any application in whole or in part, without giving any reason for such rejection in which event any application monies will be returned without interest, expenses or compensation by transfer to the Applicant's designated bank account at the risk of the Applicant.**

**If the amount paid does not correspond to a specific number of Shares, the Company will issue such number of Shares, calculated to two decimal places, as may be subscribed for with the application moneys and will not return any remainder to the Applicant.**

### **CONTRACT NOTES**

It is anticipated that contract notes will normally be sent (by authenticated email) to Applicants as soon as possible, and no later than the first business day following the calculation of the NAV. Please ensure that appropriate email contact details are provided. Please be aware that in some instances these emails may go into your junk/spam folder.

**IMPORTANT:** It is the responsibility of the Applicant to check the accuracy of information provided to you in any confirmation of ownership, any valuation statements and other reports issued by, or on behalf of, the Company. You should contact the Administrator immediately if you believe the information to be incorrect. It will be assumed that you have received Contract Notes and that the details contained therein are correct unless you contact the Administrator within 24 hours of the date of issue. The Company's liability and ability to change contract notes will be restricted after this time: however, the Company reserves the right to correct errors at any time and will endeavour to ensure errors are corrected.

### **QUERIES**

All queries regarding the completion of this Form should be addressed to the Company c/o the Administrator. The Administrator can be contacted by phone at +353 1 434 5119 or email at [Herald\\_TA@ntrs.com](mailto:Herald_TA@ntrs.com).

## REGISTERED ACCOUNT DETAILS

<b>Account Name:</b>
<b>Client Account Number:</b>
<b>Registered Address:</b>
<b>Telephone No:</b>
<b>Email Address:</b>

## TRANSACTION TYPE

<b>Please Tick</b>	
Subscription	<input type="checkbox"/>
Redemption	<input type="checkbox"/>
Switch	<input type="checkbox"/>

## SUBSCRIPTION INSTRUCTIONS

I/We hereby apply to purchase shares in the amount of which sum will be paid by telegraphic transfer and agree to be bound by the Articles of Association of the Company and its material contracts as set out in the Prospectus:  
**Please enter the monetary value or number of shares.**

<b>Deal Date</b>
------------------

FUND / CLASS NAME	ISIN	INVESTMENT AMOUNT	
<b>THE HERALD WORLDWIDE TECHNOLOGY FUND</b>			
Class B	IE00B51DS866	£	Shares
Class A	IE0002589731	£	Shares

### MINIMUM INVESTMENT AMOUNTS

FUND / CLASS NAME	MINIMUM INITIAL INVESTMENT	MINIMUM ADDITIONAL INVESTMENT
<b>THE HERALD WORLDWIDE TECHNOLOGY FUND</b>		
Class B	£1,000	£N/A
Class A (Initial for information only)	£10,000	£5,000

## SUBSCRIPTION PAYMENT DETAIL

Listed below are the bank details to which your money should be settled in full by wire transfer. **The Applicant's bank must be instructed at the time of application** to forward the appropriate remittance (or as soon as the contract note has been issued with the amount due) to reach the bank account below no later than 2.30pm (Dublin time) 4 Business Days following the relevant Dealing Day on which the application is to be effective. If cleared funds are not received by this time, the Company reserves the right to reverse any allotment of Shares. The payment (net of charges) should be sent to:

**GBP**

Receiving Bank (Intermediary Bank)	Barclays Bank PLC London
Sort Code	20-32-53
Account Number	53529495
SWIFT (Receiving Bank)	BARCGB22
Beneficiary/Account Name (Beneficiary Bank)	The Northern Trust International Banking Company, New Jersey
IBAN	GB64BARC20325353529495
For further Credit to account	Herald Investment Fund PLC – 607515-20019
Reference	The Herald Worldwide Technology Fund

Please note that for payments being made from a UK bank account you should not need the IBAN unless specifically asked for it by your bank.

It is the Applicants responsibility when applying for an 'investment amount' in shares, to follow up with the Administrator (if a contract note is not received) to confirm the net amount to be paid.

Please contact the Administrator if payment details in any other currency are required. Any bank charges in respect of telegraphic transfers or otherwise will be deducted from the amount or value of subscriptions and the net amount will be invested in Shares.

## ORIGINATING BANK DETAIL

Subscription monies must come from an account in the name of the registered investor, the details of which must be verified by the Administrator.

Where the below bank account instructions differ from those held on file by the Administrator, a request to change Bank account details must be made in writing to the Administrator and must be accompanied by a Bank statement or Bankers reference.

Please complete the below details;

<b>Bank Name:</b>	
<b>Bank Address:</b>	
<b>BIC/SWIFT:</b>	
<b>Sort Code:</b>	
<b>IBAN:</b>	
<b>Account Number:</b>	
<b>Account Name:</b>	

## REDEMPTIONS

I/We hereby apply to redeem shares in the Fund and agree to be bound by the Articles of Association of the Company and its material contracts as set out in the Prospectus:

Please enter the monetary value or number of shares.

Deal Date

FUND / CLASS NAME	ISIN	INVESTMENT AMOUNT	
THE HERALD WORLDWIDE TECHNOLOGY FUND			
Class B	IE00B51DS866	£	Shares
Class A	IE0002589731	£	Shares

## REDEMPTION BANK DETAILS

All Redemption proceeds will be paid to the account held on file with the Administrator. No third-party payments will be made.

Redemption proceeds will be paid in GBP, 2 business days following the relevant dealing date.

Where the bank account instructions differ from those held on file by the Administrator, a request to change Bank account details must be made in writing to the Administrator and must be accompanied by a Bank statement or Bankers reference.

Please complete the below details;

<b>Bank Name:</b>	
<b>Bank Address:</b>	
<b>BIC/SWIFT:</b>	
<b>Sort Code:</b>	
<b>IBAN:</b>	
<b>Account Number:</b>	
<b>Account Name:</b>	

## SWITCH

For switches please complete both subscription and redemption sections.

## REPRESENTATIONS AND CONFIRMATIONS

I/We confirm that I/We have received a copy of the latest Prospectus and Key Investor Information Document (the "KIID") for each class of Shares (if any) in which I have applied to invest.

I/We also confirm that where I/we have chosen to receive the latest Prospectus and KIID electronically then I/we have provided the Investment Manager with my/our current email address and have been notified electronically that the latest Prospectus and KIID for each class of share is available on the Investment Managers website <http://heralduk.com/> or such other website address as may be notified to me/us from time to time.

I/We hereby agree to read the latest Prospectus and relevant KIID prior to making any subsequent application for shares in the Fund. I/we hereby agree that any future investments to any Sub-Fund or Class of the Fund can also be transacted based on this confirmation.

I/We confirm that I/we have the authority to make this application / redemption request.

I/We hereby agree to indemnify and hold harmless the Administrator on its own behalf and as agent for the Fund and its respective directors, officers and employees 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 warranty, condition, covenant or agreement set forth herein or in any document delivered by me/us to the Fund or the Administrator. The Administrator 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 by the Administrator to be genuine.

Failure to complete these details accurately and in accordance with the original signed Application Form and forward monies within the relevant settlement time scale may result in the cancellation without notice any contract for which payment has not been received by the relevant settlement date and to recover any losses incurred.

Where I/we am/are acquiring the Shares for or on behalf of any person in my/our capacity as a sub-distributor of the Investment Manager, I/we certify that prior to accepting any order for the acquisition of Shares I/we have ensured that the investor was provided with the latest Prospectus and KIID for the relevant share class. Where permitted by applicable law 'provided' shall include informing the investor of the applicable website where the Prospectus and KIID can be accessed which is <http://heralduk.com/>.

## SIGNATURE

<b>Signature:</b>	
<b>Print Name:</b>	
<b>Capacity of Signatory</b> (if applicable)	
<b>Date:</b>	

<b>Signature:</b>	
<b>Print Name:</b>	
<b>Capacity of Signatory</b> (if applicable)	
<b>Date:</b>	