

# Application Form

**CALAMOS**  
INVESTMENTS

This Application Form should be read in the context of and together with the prospectus of Calamos Global Funds plc ("Company"), currently in force and as may be amended from time to time ("Prospectus"). Unless otherwise defined herein, all capitalized terms in this Application Form shall have the same meaning as in the Prospectus.

## Instructions:

- Please complete this application form in full with blue or black ink using BLOCK CAPITALS, and sign at the places indicated. Submit the following forms via facsimile or post as outlined below.
  - a) Application Form for subscription Shares in Calamos Global Funds plc
  - b) Politically Exposed Person Status form as applicable (see Appendix I)
  - c) Required Anti-Money Laundering documentation (see Section 10)
- **Fax forms:** Completed, signed and dated Application Form, together with required supporting documentation, should be sent by fax to: +353 1 613 0401 before the cut-off time (indicated in Section 4). Application Forms received after the relevant cut-off time will be held for processing the following day.
- **Post forms:** The original signed Application Form, together with required supporting documentation, must be sent by post so that it is received by the Administrator within 3 business days of sending the faxed Application Form. Please post to:

**Calamos Global Funds plc**  
c/o RBC Investor Services Ireland Limited  
4th Floor  
One George's Quay Plaza  
George's Quay  
Dublin 2, Ireland

- For questions please contact: **Dublin\_TA\_Customer\_Support@rbc.com** / Tel: + 353 1 440 6555

## 1. REGISTRATION DETAILS (\*FIELDS ARE MANDATORY)

### 1A. INVESTOR DETAILS

1st Investor  Minor Investor  Other, please specify  Title:  Mr.  Mrs.  Ms.

For Minor Investor parent(s) or guardian(s) must complete 1B

<input type="text"/>		<input type="text"/>	
*First Name(s)		*Last Name(s)	
<input type="text"/>		<input type="text"/>	
*Address		*City / Town	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
*Post Code	*Country	*Nationality	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
*Country of Birth	*Place of Birth	*Date of Birth (dd/mm/yyyy)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
*Passport / ID Number	*Country of Issue	*Passport Expiration Date (dd/mm/yyyy)	
<input type="text"/>		<input type="text"/>	
*Country of Tax Residence		*Tax Identification Number	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Telephone (home)	Telephone (daytime)	Mobile / Cell	Fax
<input type="text"/>		<input type="text"/>	
Email		Profession	

If taxable in multiple countries, please report the additional details below:

<input type="text"/>	<input type="text"/>
*Country of Tax Residence	*Tax Identification Number

If you are the only investor and you are aged over 18, please now complete Section 3 onwards.

Please provide any additional shareholder's information on a separate sheet and turn in with completed Application Form.

# Application Form

## 1. REGISTRATION DETAILS (CONTINUED)

### 1B. SECOND INVESTOR DETAILS

2nd Investor  1st Legal Guardian  Other, please specify  Title:  Mr.  Mrs.  Ms.

<input type="text"/>		<input type="text"/>	
*First Name(s)		*Last Name(s)	
<input type="text"/>		<input type="text"/>	
*Address		*City / Town	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
*Post Code	*Country	*Nationality	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
*Country of Birth	*Place of Birth	*Date of Birth (dd/mm/yyyy)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
*Passport / ID Number	*Country of Issue	*Passport Expiration Date (dd/mm/yyyy)	
<input type="text"/>		<input type="text"/>	
*Country of Tax Residence		*Tax Identification Number	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Telephone (home)	Telephone (daytime)	Mobile / Cell	Fax
<input type="text"/>		<input type="text"/>	
Email		Profession	

If taxable in multiple countries, please report the additional details below:

<input type="text"/>	<input type="text"/>
*Country of Tax Residence	*Tax Identification Number

Please provide any additional shareholder's information on a separate sheet and turn in with completed application

### 1C. COMPANIES, PARTNERSHIPS, TRUSTS, & OTHER ENTITIES

<input type="text"/>		<input type="text"/>	
*Full Name of Entity		Designation/Registration Number	
<input type="text"/>		<input type="text"/>	
*Type of Entity (company, partnerships, trust etc.)		*Creation Date	
<input type="text"/>		<input type="text"/>	
*Address		*City / Town	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
*Post Code	*Country	*Country of Establishment	
<input type="text"/>		<input type="text"/>	
*Country/Countries of Tax Residence		*Tax Identification Number(s)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Telephone (business)	Email	Fax	
<input type="text"/>		<input type="text"/>	
Broker ID (if applicable)		Branch ID (if applicable)	
<input type="text"/>			
Global Intermediary ID (if applicable)			
<input type="text"/>		<input type="text"/>	
Representative Name		Representative ID	

# Application Form

## 1. REGISTRATION DETAILS (CONTINUED)

### 1D. UK RETAIL DISTRIBUTION REVIEW (RDR) FOR INTERMEDIARIES ONLY

Country of Regulation	Registration ID / Code

### Intermediary MiFID Categorisation

Please indicate the MiFID client category under which you deal with the account holder for this account. Note that if you fail to answer this question we will assume the account holder is a MiFID Retail Client and apply appropriate rules.

- Retail Client
- Professional Client
- Eligible Counterparty

Please indicate whether the account will be used to transact advised or execution-only business.

- Advised Business
- Execution-only Business
- Omnibus Accounts

UK Retail Business must be segregated for RDR purposes. In case of an Omnibus Account set up, please indicate whether this will be used to handle UK Retail investments. If it will, all instructions on the account will be subject to RDR rules.

- Omnibus Account with UK Retail Business
- Omnibus Account - no UK Retail Business

## 2. AUTHORISATION

Legal guardians: We declare we will represent the minor  Separately or  Jointly

Joint holders: We declare that holders may sign transactions instructions  Separately or  Jointly

## 3. CORRESPONDENCE DETAILS

Please enter your preferred address for all correspondence. This can be left blank if the preferred mailing address is the same as in section 1A or 1C.

First Name(s) / Company	Last Name
Address	City / Town
Post Code	Country

## 4. INVESTMENT DETAILS

I/We would like to invest in the following Funds:

Fund Name	Fund Number / ISIN	Investment Amount	Investment Currency

- 1 Subscription monies for the Shares of each Fund of the Company should be remitted in the designated currency of the relevant Fund or Class, unless otherwise agreed with the Administrator.
- 2 For UK investors, please denote whether an investment in Class I Shares is being made for UK Advised Business for purposes of the UK Retail Distribution Review ("RDR").

# Application Form

## 5. DIVIDEND POLICY

Please tick the box if you prefer to have dividends paid out to your bank account detailed in Section 7, otherwise dividends will be reinvested.

## 6. SETTLEMENT INSTRUCTIONS

Payment of the Subscription Price should be made (by SWIFT MT103 telegraphic transfer or, for bank-to-bank payments, please use MT202) to:

USD	
Intermediary Bank	Bank of America N.A., New York
Swift Code	BOFAUS3N
Beneficiary Bank	RBC Investor Services Bank SA, Luxembourg
SWIFT	FETALULL
Final Beneficiary	CALAMOS GLOBAL FUNDS PLC COLL ACC
IBAN Number	LU263417720023153500
Ref	Fund name, ISIN, and Investor Name

GBP	
Intermediary Bank	Bank of America N.A., London
Swift Code	BOFAGB22
Beneficiary Bank	RBC Investor Services Bank SA Luxembourg
SWIFT	FETALULL
Final Beneficiary	CALAMOS GLOBAL FUNDS PLC COLL ACC
IBAN Number	LU213415720023156600
Ref	Fund name, ISIN, and Investor Name

EUR	
Intermediary Bank	Bank of America N.A., London**
Swift Code	BOFAGB22**
Beneficiary Bank	RBC Investor Services Bank SA Luxembourg
SWIFT	FETALULL
Final Beneficiary	CALAMOS GLOBAL FUNDS PLC COLL ACC
IBAN Number	LU573413720023154500
Ref	Fund name, ISIN, and Investor Name

CHF	
Intermediary Bank	Bank of America
Swift Code	BOFAGB3SSWI
Beneficiary Bank	RBC Investor Services Bank SA Luxembourg
SWIFT	FETALULL
Final Beneficiary	CALAMOS GLOBAL FUNDS CHF Subscription Account
IBAN Number	LU593410720023158300
Ref	Fund name, ISIN, Investor Name, and trade confirmation number

**\*\* NOTE for EUR Payments:** In order to benefit as much as possible from local clearing, it is recommended that you route your payment via one of the following of our Bank of America EUR correspondent banks. Should Bank of America not have a branch in your country, please use Bank of America London (BOFAGB22) as your EUR cash correspondent.

CODE SWIFT	
BOFAGB22	Bank of America London
BOFAFRPP	Bank of America Paris
BOFADEFX	Bank of America Frankfurt
BOFAIT2X	Bank of America Milan

CODE SWIFT	
BOFAES2X	Bank of America Madrid
BOFABE3X	Bank of America Antwerp
BOFAIE3X	Bank of America Dublin
BOFANLNX	Bank of America Amsterdam

## 7. BANK ACCOUNT DETAILS

<input type="text"/>	
Beneficiary Account Name	
<input type="text"/>	<input type="text"/>
Beneficiary Account Number	ABA
<input type="text"/>	<input type="text"/>
IBAN	BIC/SWIFT
<input type="text"/>	
Bank Name	
<input type="text"/>	
Bank Address	

# Application Form

## 8. POLITICALLY EXPOSED PERSON STATUS

- The Applicant confirms that the application **is not** being made by, on behalf of, for the benefit of, or to be transferred to a Politically Exposed Person ("PEP") / immediate family member of a PEP / close associate of a PEP / a beneficial owner who is a PEP.
- The Applicant confirms that the application **is** being made by, on behalf of, for the benefit of, or to be transferred to a Politically Exposed Person ("PEP") / immediate family member of a PEP / close associate of a PEP / a beneficial owner who is a PEP. Please refer to Appendix 1.

## 9. FOREIGN ACCOUNT TAX COMPLIANCE ACT ("FATCA")

All Applicants are required to provide information to the Company to determine whether the Applicants (or underlying beneficial owners) are U.S. Reportable Accounts (as such term is defined in the Prospectus) for the purposes of FATCA. All U.S. Reportable Accounts will be reported to the Irish Revenue Commissioners which, in turn, will report such information to the U.S. Internal Revenue Service.

Please confirm whether you are a U.S. Reportable Account – i.e., a Financial Account held by either (i) U.S. Taxpayer who is not an Excluded U.S. Taxpayer or (ii) a Passive U.S. Controlled Foreign Entity.

Please review the following categories and place a check next to any that apply.

### 9A. U.S. TAXPAYER

Check any of the following categories that apply to you:

- A U.S. citizen or resident alien of the United States (as defined for U.S. federal income tax purposes).
- An entity which is treated as a partnership or corporation for U.S. federal tax purposes that is created or organized in, or under the laws of, the United States or any state thereof (including the District of Columbia).
- An estate which is subject to U.S. federal taxation of its income regardless of source.
- A trust over whose administration a court within the United States has primary supervision and all substantial decisions of which are under the control of one or more U.S. fiduciaries.

# Application Form

## 9. FOREIGN ACCOUNT TAX COMPLIANCE ACT ("FATCA") (CONTINUED)

### 9B. EXCLUDED U.S. TAXPAYER

Check a box below only if: (i) you have checked a box in 9A above, **and** (ii) any of the following categories apply to you:

- A corporation, the stock of which is regularly traded on one or more established securities markets;
- A corporation that is a member of the same expanded affiliated group (as defined in Section 1471(e)(2) of the U.S. Internal Revenue Code of 1986, as amended (the "Code") as a corporation which is described in the preceding sentence;
- You are acting on behalf of the United States government or any wholly owned agency or instrumentality of the U.S. Government;
- Any state of the United States, any U.S. territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
- Any organization exempt from taxation under Section 501(a) or an individual retirement plan as defined in Section 7701(a)(37) of the Code;
- Any bank as defined in Section 581 of the Code;
- Any real estate investment trust as defined in Section 856 of the Code;
- Any regulated investment company as defined in Section 851 of the Code or any entity registered with the Securities Exchange Commission under the 1940 Act;
- Any common trust fund as defined in Section 584(a) of the Code;
- Any trust that is exempt from tax under Section 664(c) of the Code;
- A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state thereof; or
- A broker as defined in Section 6045(c) of the Code.

### 9C. PASSIVE U.S. CONTROLLED FOREIGN ENTITY

For this purpose, a Controlling U.S. Person means an individual who has the ability to exercise ultimate effective control with respect to such entity and who is either a U.S. citizen or resident alien of the United States (as defined for U.S. federal income tax purposes). If you are structured as a trust, check this box if the settler, the trustee, the protector (if any), the beneficiaries or class of beneficiaries, or any other natural person exercising ultimate effective control over the trust is either a U.S. citizen or resident alien of the United States (as defined for U.S. federal income tax purposes).

Check the box below if applicable:

- An entity owned by one or more Controlling U.S. Persons.

**If you have checked this box, please also complete the Controlling Persons table in Section 9E(3).**

### 9D. DECLARATION

Declaration on own behalf. Check a box below, as appropriate

- I/we declare that I am/we are applying for Shares on my/our own behalf and that I am/we are U.S. Reportable Account/s.  
NOTE: If you checked a box in 9A or 9C above, but did not check a box in 9B, please check this box.
- I/we declare that I am/we are applying for Shares on my/our own behalf and that I am NOT a/we are NOT U.S. Reportable Account/s.

# Application Form

**9. FOREIGN ACCOUNT TAX COMPLIANCE ACT ("FATCA") (CONTINUED)**

Declaration as intermediary. Please check all boxes that apply

- I/we declare that I am/we are applying for Shares on a nominee basis for my/our customers.
- I/we declare that I am/we are applying for Shares on a fully disclosed basis for my/our customers.
- I/we declare that I/we have contracted with the Company and or the Administrator to conduct diligence on my/our underlying customers and report U.S. Reportable Accounts.
- I/we declare that I am/we are applying for Shares on behalf of a U.S. Reportable Account.
- I/we declare that I am/we are NOT applying for Shares on behalf of a U.S. Reportable Account.

**9E. FATCA CLASSIFICATION FOR INTERMEDIARIES**

If your institution is a Financial Institution (FI), please check one of the below categories and complete (1) or (2) below, as appropriate, otherwise proceed to 9E(3) below:

- Financial Institution  IGA Partner Jurisdiction FI
- Registered Deemed Compliant FI  Participating Jurisdiction FI

1. Please provide your organization's Global Intermediary Identification Number (GIIN):

2. If unable to provide a GIIN, please check the reason your institution does not have a GIIN:

- It is a FI in a Model 1 IGA country and has not yet obtained a GIIN
- It is sponsored by another entity which does have a GIIN (please complete below)  
Please provide your sponsor's name and sponsor's GIIN:

Sponsor's Name:  Sponsor's GIIN:

- It is an Exempt Beneficial Owner  It is a Registered Non-Profit Organisation
- It is a Certified Deemed Compliant Financial Institution  It is a Territory Financial Institution
- It is an Owner-Documented Foreign Financial Institution (FFI)  It is an Excepted FI
- It is a Non-Participating Foreign Financial Institution

3. If the institution is not a FI, please confirm your organisation's status below:

- Active NFFE (as such term is defined in FATCA)
- Passive NFFE (If you are a passive NFFE, as required under the regulations please provide details of Controlling Persons and their percentage of ownership (if over 25%) in the table below)

<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>
Full Name	Date of Birth

Full Residence Address

Details of Controlling Person's Beneficial Ownership (if over 25%)

<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>
Country / Countries of Tax Residency	Tax Reference Numbers

# Application Form

**10. ORGANISATION FOR ECONOMIC CO-OPERATION AND DEVELOPMENT (“OECD”) COMMON REPORTING STANDARD (“CRS”)**

All Applicants are required to provide information to the Company to determine whether the Applicants (or underlying beneficial owners) are Reportable Accounts for the purposes of CRS. All Reportable Accounts will be reported to the Irish Revenue Commissioners which, in turn, will report such information to the tax authorities in the participating CRS jurisdictions to which the Applicant is resident.

**10A. ENTITY’S CRS CLASSIFICATION**

Please note an Entity’s CRS classification may differ from its FATCA classification in Section 9. For more information please see the CRS Standard and associated commentary at: <http://www.oecd.org/>

**10B. FINANCIAL INSTITUTIONS UNDER CRS**

If the Entity is a Financial Institution, please tick one of the below categories:

- I. Financial Institution under CRS (other than (II) below)
- II. An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution (If this box is ticked, please complete Section 10D in respect of any Controlling Persons)

**10C. NON FINANCIAL INSTITUTIONS UNDER CRS**

If the Entity is a Non Financial Institution, please tick one of the below categories:

- I. Active Non-Financial Entity – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation
- II. Active Non-Financial Entity – a Government Entity or Central Bank
- III. Active Non-Financial Entity – an International Organisation
- IV. Active Non-Financial Entity – other than (I)-(III) (for example a start-up NFE or a non-profit NFE)
- V. Passive Non-Financial Entity (If this box is ticked, please complete Section 10D in respect of any Controlling Persons)

**10D. CONTROLLING PERSONS**

If you ticked Section 10B(II) or 10C(V) above please fill in the below details in respect of each Controlling Person.

The term “Controlling Persons” means the natural persons who exercise control over an entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term “Controlling Persons” shall be interpreted in a manner consistent with the Financial Action Task Force Recommendations.

Full Name	Date of Birth
Full Residence Address	
Basis on which individual is a Controlling Person (i.e. beneficial ownership over 25%, trustee of a trust, trustee equivalent, etc.)	
Country / Countries of Tax Residency	Place of Birth
Tax Reference Numbers	



# Application Form

## 11. DATA PROTECTION NOTICE

- I/we hereby acknowledge and accept that the Company and/or the Administrator, for purposes of FATCA and CRS compliance, may be required to disclose personal financial account data relating to Reportable Accounts and, in certain cases, their Controlling Persons and nonparticipating FFIs (as defined in FATCA) to the U.S Internal Revenue Service under FATCA, and to the tax authorities of participating CRS jurisdictions.
- I/we hereby acknowledge and accept that the Company and/or the Administrator may collect additional information to satisfy the Company's FATCA and CRS obligations under applicable law and regulations.

## 12. PREVENTION OF ANTI-MONEY LAUNDERING

Under Irish anti-money laundering legislation, the Company and the Administrator are required to obtain the following documentation to verify the identity, permanent address and tax residency status of all new Applicants. Please note that the Application Form may not be accepted until all the relevant information has been received. Additional confirmation of identity or authority of the applicant or the source of funds may be required in certain circumstances.

Redemption proceeds will not be processed until the Administrator is in receipt of the original Application Form and the required anti-money laundering documentation.

All documentation provided must be in original form or certified as being a true copy of the original version. The certification of documents can be carried out by any of the following:

- » Notary Public / Practising Solicitors
- » Police force
- » Chartered & Certified Public Accountants
- » Embassy /Consular staff
- » Any Designated Body

### 12A. FURTHER INFORMATION REQUIRED FROM INDIVIDUAL APPLICANTS

Application Documentation – Required for all initial subscriptions

- » Original Signed Application Form (accompanying Declaration of Residence outside the Republic of Ireland)
- » Original or original certified Payment Instructions (if not provided in Application Form)
- » Corporate Accounts, Partnerships, Regulated Entities, Trusts and Nominees / Intermediaries must provide: a current, dated signatory list on company letterhead. This must show full names, powers granted and signature specimen of authorised individuals (original or certified true copy)
- » Corporate Accounts, Partnerships, Trusts and Nominees/ Intermediaries must provide: an original beneficial ownership declaration signed by the beneficial owners including the confirmation of the source / origin of the funds

Retail – Individual or Joint

- » Original certified true copy of Proof of Identity (certified copy of passport with signature and electronic readable part on identity page; or National ID card with photo, signature and date of issue or expiry)
- » Original or original certified true copy of Proof of Address (utility bill / bank statement showing residential address issued in the last 3 months)
- » If located in a Non-FATF/GAFI country Investors must provide an original or an original certified true copy of a bank statement.
- » Birth certificate of minor, if applicable.

# Application Form

## 12. PREVENTION OF ANTI-MONEY LAUNDERING (CONTINUED)

### 12B. FURTHER INFORMATION REQUIRED FROM CORPORATE APPLICANTS

Please note that the Administrator can only accept Application Forms from an entity that has legal capacity to enter into contracts on its own right and may require the constitutive document to legitimate legal status.

Corporate applicants resident outside a FATF jurisdiction may be required to provide further information on request. Please contact the administrator for further information. Corporate applicants resident in an EU or FATF country are required to provide the following documentation:\*\*

#### Corporate

- » Original, certified true copy of the Memorandum & Articles of Association
- » Original, certified true copy of the Certificate of Incorporation
- » Signed and dated original list of shareholders of the company issued on company letterhead with the allotment per share and the total outstanding shares of the company
- » Identification documents for the ultimate beneficial shareholders holding in excess of 25% of the Issued Share Capital
- » Identification documents for 2 Directors
- » A copy of the latest audited financial statements

#### Partnerships

- » Evidence of Registration of Partnership (if available)
- » Certified Copy of the Partnership Agreement
- » Identification documents of the directors / legal representatives authorised to operate the account
- » A copy of the latest audited financial statements (or equivalent in the case of a limited liability partnership)
- » Identification documents of any investor of the partnership with a holding of 25% or more
- » Identification of General Partner of the Partnership
- » Organisational chart detailing all entities between the investing party and the ultimate beneficial owner

#### Regulated Entities

- » Confirmation of Regulation and in which Jurisdiction
- » Proof of Regulation (e.g. certified true copy of licence issued by the regulatory authority)

#### Trusts

- » Original, certified true copy of the Trust Deed along with all deeds of variation / amendment
- » Identification documents of the Trustee
- » Identification documents of the ultimate beneficiaries holding – directly or indirectly – more than 25% of the assets (or voting rights) of the Trust
- » Identification documents of the Settlor / Donor / Grantor
- » Identification documents of the Protector (if any)

#### Nominees / Intermediaries

- » Proof of Regulation
- » Master Letter of Assurance regarding identification of underlying investors

## 13. SIGNATURES AND DECLARATIONS

- a) The Applicant acknowledges that due to anti-money laundering requirements operating within its jurisdiction, the Company or the Administrator (acting on behalf of the Company), may require directly or via a distributor, further identification of the Applicant, or of any underlying investor on whose behalf the Applicant is applying for Shares, before the Shares of the Fund can be registered in the Applicant's name, and the Company and the Administrator 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 required and has not been provided by the Applicant or the underlying investor.

\*\* If the applicant is a Designated Body in an EU or FATF country, this information is not required; however we will require evidence of your regulated status from the appropriate regulatory authority.

# Application Form

## 13. SIGNATURES AND DECLARATIONS (CONTINUED)

- b) The Applicant hereby applies for Shares in the Fund on the terms and conditions set out in the Articles of Association, this Application Form and the Prospectus. The Applicant agrees to be bound by the terms of the Articles of Association and the Prospectus which can be viewed at [www.calamos.com/global](http://www.calamos.com/global).
- c) The Applicant confirms that a copy of the latest version of the applicable Key Investor Information Document ("KIID") has been received (if legally required) and read in good time before subscribing for Shares in a Fund. The Applicant confirms that any future investments in any Fund or Share Class can be transacted on the basis of this confirmation. The Applicant acknowledges and agrees that the KIIDS are available on [www.calamos.com/global](http://www.calamos.com/global) and that the Applicant has read and understood the KIID prior to making any subsequent application for Shares in a Fund. The Applicant confirms that in the case where an investment is being made on behalf of an underlying investor, the Applicant has reviewed the latest version of the KIID with the underlying investor in good time prior to subscribing for Shares in a Fund. The Applicant confirms that the underlying investor is aware that the latest version of the KIID is available on [www.calamos.com/global](http://www.calamos.com/global) and has read and understood the latest version of the KIID.
- d) The Applicant confirms that, being a person, it is 18 years or over, that the Applicant is not a U.S. Person (as defined in the Prospectus) and is not acquiring Shares in a Fund on behalf of, or for the benefit of, a U.S. Person nor does the Applicant intend to transfer any shares in a Fund for which the Applicant may subscribe to any person who is a U.S. Person.
- e) The Administrator is hereby authorised and instructed to accept and execute any instruction, (including but not limited to any instructions regarding subscriptions, switches or redemptions of Shares or any payment in relation to same or otherwise) in respect of Shares in a Fund, given by the Applicant in written form, by facsimile, by telephone or by electronic means. If the instructions are given by the Applicant by telephone, the Applicant undertakes to confirm them in writing. The Applicant hereby agrees to indemnify each of the Administrator and the Company and agrees to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of either or them acting upon instructions given in written form by the Applicant, i.e. facsimile, telephone instructions confirmed by the Applicant in writing or by electronic means. The Administrator and the Company may rely conclusively upon, and shall incur no liability in respect of, any action taken upon any notice, consent, request, instruction or other instrument believed in good faith to be genuine or to be signed by properly authorised persons.
- f) Amendments to investors' registration details and payment instructions will only be effected upon receipt of an original instruction which has been duly authorised.
- g) The Applicant is fully empowered and has authority to make this investment whether the investment is on its own behalf or on the behalf of another person or institution.
- h) The Applicant confirms that it has the right and the authority to request a redemption or repurchase of Shares in a Fund and confirms that the Applicant will comply with the redemption and repurchase procedures set out in the Prospectus. All redemption or repurchase instructions must be given in writing, quoting the relevant account number and be accompanied by the relevant repurchase documentation.
- i) The Applicant hereby agrees to indemnify and keep indemnified the Company, the Administrator and the Custodian their affiliates, and the officers, directors, employees and professional advisers of any of the foregoing, from and against any loss arising to either of them as a result of any breach of any representation, warranty, covenant, undertaking, agreement, declaration, acknowledgement, instruction or confirmation by the Applicant in this Application Form or from the Applicant's failure to disclose any relevant details or provide it with all the information requested by the Company, the Administrator or the Custodian. In the case of delay or failure to provide satisfactory information, each of the Company, and the Administrator, may take such action (including declining to accept an application) as they think fit.
- j) (In respect of joint Applicants only). The Applicants direct that on the death of one of them the Shares for which they hereby apply be held in the name of and to the order of the survivor or survivors of the Applicants or the executor or manager of such survivor or survivors.

# Application Form

## 13. SIGNATURES AND DECLARATIONS (CONTINUED)

- k) The Applicant undertakes to observe and be bound by the provisions of the Articles of Association and applies for the Shares issued in relation to this application to be entered in the register of Shareholders in the name of the Applicant (or in the name of a nominee or agent).
- l) The Applicant agrees to accept such lesser number of Shares in a Fund, if any, than may be specified above in respect of which this application may be accepted.
- m) The Applicant acknowledges that Shares in a Fund are subject to investment risks, including possible loss of principal amount invested.
- n) The Applicant confirms its agreement with the distribution policy as outlined in the Prospectus.
- o) The Applicant understands that the representations and warranties made herein are continuous and all subsequent subscriptions of Shares in a Fund by the Applicant shall be governed by them, and the Applicant agrees to notify the Company or the Administrator promptly, if any representation or warranty should cease to be true at any time.
- p) The Applicant consents to any notice or other document to be sent by the Company or the Administrator to the Applicant as a Shareholder being sent by electronic means including but not limited to e-mail, swift or posting such notice or other document on a website notified to the Applicant by post or by e-mail.
- q) The Applicant acknowledges that it will be entitled to look solely to the assets of the relevant Fund in respect of all payments in respect of its Shares. If the realised net assets of such Fund are insufficient to pay any amounts payable in respect of the relevant Shares, the Applicant will have no further right of payment in respect of such Shares nor any claim against or recourse to any of the assets of any other Fund or any other asset of the Company or of the Administrator or of the Custodian.
- r) I/we agree that personal information obtained in relation to me/us will be handled by the Administrator (as data processor on behalf of the Company), the Company, or the Investment Manager and their delegates, agents or affiliates in accordance with the Irish Data Protection Acts 1988 to 2003 (the "Acts"). Information in relation to me/us will be held, used, disclosed and processed for the purposes of (a) managing and administering my/our holdings in the Company and any related account on an ongoing basis; (b) for any other specific purposes where I/we have given specific consent to do so; (c) to carry out statistical analysis and market research (d) to comply with any applicable legal, tax or regulatory obligations including legal obligations under company law, tax law and anti-money laundering legislation; (e) and for disclosure and transfer whether in Ireland or elsewhere (including companies situated in countries outside of the European Economic Area which may not have the same data protection laws as in Ireland) to third parties including my/our financial adviser (where appropriate), regulatory bodies, taxation authorities, auditors, technology providers or to the Company and its delegates and its or their duly appointed agents and any of their respective related, associated or affiliated companies for the purposes specified above; or (f) for other legitimate business interests of the Company. I/we hereby acknowledge your right of access to and the right to amend and rectify your personal data, as provided herein. I/we understand that the Company is a data controller and will hold any personal information provided by me/us in confidence and in accordance with the Acts. I/we consent to the recording of telephone calls that I/we make to and receive from the Administrator, the Company or the Investment Manager and their delegates or duly appointed agents and any of their respective related, associated or affiliated companies for record keeping, security and/or training purposes. I/we consent to the Company or the Investment Manager sending information about other investment services to me/us by letter, telephone or other reasonable means of communication. I/we understand that I/we have a right not to receive such information. The Company and the Administrator may carry out electronic searches of publically available or paid information with regard to anti-money laundering and client identification. I/we hereby authorise investigation of my/our identity or identities, and agree to an enhanced ongoing monitoring should I/we be deemed to be a Politically Exposed Person as further described in Appendix 1.

# Application Form

## 13. SIGNATURES AND DECLARATIONS (CONTINUED)

- s) I/we expressly consent to the automatic disclosure of information relating to my/our account to the tax authorities in Ireland and in my/our country of residence in accordance with the EU Taxation of Savings Directive (2003/48/EC) and applicable local regulations. I/we agree to notify the Company and the Administrator of any change to my/ our tax residency status.
- t) I/we agree that the information provided in this Application Form, as well as financial information about the financial accounts to which this Application Form is applied (such as the account balance or value, gross income and proceeds received) may be reported to the tax authorities of the country or countries in which the financial accounts are maintained and subsequently exchanged with tax authorities of another country or countries in which I/we am or are resident pursuant to CRS.
- u) I/we understand that the Company may be susceptible to operational and information security risks through breaches in cyber security. Cyber security breaches include, without limitation, infection by computer viruses and gaining unauthorized access to the Company's systems, or those its service providers, through "hacking" or other means for the purpose of misappropriating assets or sensitive information, corrupting data, or causing operations to be disrupted. Cyber security breaches may also occur in a manner that does not require gaining unauthorized access, such as denial-of-service attacks or situations where authorized individuals intentionally or unintentionally release confidential information stored on the Company' systems. A cyber security breach may cause disruptions and impact the business operations of the Company, which could potentially result in financial losses, inability to determine the NAV, violation of applicable law, regulatory penalties and/or fines, compliance and other costs. I/we understand that indirect cyber security breaches at third-party service providers may also subject me/us to the same risks associated with direct cyber security breaches. Further, indirect cyber security breaches at an issuer of securities in which the Company invests may similarly negatively impact on the Company.
- v) Confirmation of ownership will be sent to the Applicants on a quarterly basis. If you wish confirmation of ownership to be sent to you on a monthly basis, please circle YES and ensure that your contact email details are inserted in Section 1.

**Circle: YES / NO**

### **Declaration of Residence Outside the Republic of Ireland (Non-Resident Declarations)**

Applicants resident outside the Republic of Ireland are required by the Irish Revenue Commissioners to make the following declaration which is in a format authorised by them, in order to receive payment without deduction of tax. It is important that this declaration, if it is then still correct, shall apply in respect of any subsequent acquisitions of Shares.

#### Declaration on own behalf

I/we declare that I am/we are applying for the Shares on my own/our own behalf /on behalf of a company and that I am/we are/the company is entitled to the Shares in respect of which this declaration is made and that I am/we are/the company is not currently resident or ordinarily resident in Ireland, and should I/we/the company become resident in Ireland I/we will so inform you, in writing, accordingly.

#### Declaration as Intermediary

We declare that we are applying for Shares on behalf of persons who are beneficially entitled to the Shares; and who, to the best of my/our knowledge and belief, are neither resident nor ordinarily resident in Ireland.

We also declare that: unless we specifically notify you to the contrary at the time of application, all applications for Shares made by us from the date of the application will be made on behalf of such persons; and we will inform you in writing, if we become aware that any person, on whose behalf we holds Shares, becomes resident in Ireland.

We confirm the following: we verify the identity of the underlying client on whose behalf we are making investments into the Company; we retain documentary evidence of this verification procedure; and we will make this documentation available to the Administrator if so required.

# Application Form

## 13. SIGNATURES AND DECLARATIONS (CONTINUED)

### Details of the Beneficiary

- I / We confirm that the Investor/s is/are the beneficial owner of the Shares being purchased.
- I / We confirm that the Investor/s is/are **NOT** the beneficial owner of the Shares being purchased.

Where no box is ticked the default would be taken that the Applicant is the beneficial owner.

Beneficiary First Name(s)	Last Name	
Beneficiary Address		
City / Town	Post Code	Country
Beneficiary Country of Tax Residence	Beneficiary Tax Identification Number	
Date of Birth	Place of Birth	

If taxable in multiple countries, please report the additional details below:

*Beneficiary Country of Tax Residence	*Beneficiary Tax Identification Number

Please read the notes at the end of this Application form.

All joint investors must sign.

X	
SIGNATURE 1ST INVESTOR/GUARDIAN/AUTHORISED PERSON	DATE: (dd/mm/yyyy)
X	
SIGNATURE 2ND INVESTOR/GUARDIAN/AUTHORISED PERSON	DATE: (dd/mm/yyyy)

- NOTES:
- Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.
  - To be valid, the Application Form (incorporating the Non-resident declaration) must be signed by the Applicant. Where there is more than one Applicant, each person must sign. If the Applicant is a company, it must be signed by the company secretary or another authorised officer.
  - If the Application Form (incorporating the declaration) is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature.
  - If this Application Form is not fully completed to the satisfaction of the Administrator, the application/transfer may not be accepted.
  - The Administrator acting on behalf of the Company reserves the right to reject an application for Shares in whole or in part.
  - Persons who are resident or ordinarily resident in the Republic of Ireland and who are seeking to apply for Shares should contact the Administrator for an Application Form which does not include the above Non-resident declaration. Irish residents who are entitled to payment without deduction of tax should also request the appropriate alternative declaration form from the Administrator.
  - In the case of a firm (not a limited company) applications should be in the name(s) of and signed by the proprietor(s).

# Application Form

## APPENDIX I – POLITICALLY EXPOSED PERSONS

TO BE READ BY ALL INVESTORS AND COMPLETED IF THE INVESTOR CHECKED BOX 8B OF THE APPLICATION AND

TO BE COMPLETED ONLY IF THE PEP RULES APPLY WITH REFERENCE TO THE BELOW DEFINITIONS

- » the application is being made by a PEP / immediate family member of a PEP / close associate of a PEP OR
- » the Applicant has a beneficial owner who is a PEP / immediate family member of a PEP / close associate of a PEP OR
- » the application is being made for the benefit of a PEP / immediate family member of a PEP / close associate of a PEP OR
- » it is intended to transfer the shares to a PEP / immediate family member of a PEP / close associate of a PEP.

Name of PEP	Address of PEP
Office of PEP	Relationship of Applicant or Applicant's Beneficial Owner to PEP
Source of wealth of the Applicant (e.g. income from employment, income from company business, inheritance, etc)	Source of actual funds being invested (e.g. savings, employment income, sale of assets, etc)

The following information provides the definition of a Politically Exposed Person.

Politically-Exposed Person ("PEP") is an individual who has at any time in the preceding 12 months been, entrusted with a prominent public function. This includes the following individuals (but excluding any middle ranking or more junior official):

- a. a "specified official";
- b. a member of the administrative, management or supervisory body of a state-owned enterprise;

A "specified official" is (including any such officials in an institution of the European Communities or an international body):

- a. a head of state, head of government, government minister or deputy or assistant government minister;
- b. a member of a parliament;
- c. a member of a supreme court, constitutional court or other high level judicial body whose decisions, other than in exceptional circumstances, are not subject to further appeal;
- d. a member of a court of auditors or of the board of a central bank;
- e. an ambassador, chargé d'affaires or high-ranking officer in the armed forces.

An immediate family member of a PEP includes any of the following persons:

- a. any spouse of the PEP;
- b. any person who is considered to be equivalent to a spouse of the PEP under the national or other law of the place where the person or PEP resides;
- c. any child of the PEP;
- d. any spouse of a child of the PEP;
- e. any person considered to be equivalent to a spouse of a child of the PEP under the national or other law of the place where the person or child resides;
- f. any parent of the PEP;
- g. any other family member of the PEP who is of a class prescribed by the Minister for Justice under section 37(11) of the Act.

A close associate of a PEP includes any of the following persons

- a. any individual who has joint beneficial ownership of a legal entity or legal arrangement, or any other close business relations, with the PEP;
- b. any individual who has sole beneficial ownership of a legal entity or legal arrangement set up for the actual benefit of the PEP.

As an example, a "beneficial owner" of a body corporate is any individual who (other than a company having securities listed on a regulated market):

- a. ultimately owns or controls, whether through direct or indirect ownership or control (including through bearer shareholdings), more than 25 per cent of the shares or voting rights of the body; or
- b. otherwise exercises control over the management of the body.

# Application Form

## APPLICATION NOTES:

These notes are designed to help you to complete the application form as effectively as possible and should be read in the context of and together with the prospectus of Calamos Global Funds plc ("Company") and the applicable key investor information document (KIID).

### How to Apply

Prospective investors should complete an application form and send via post or facsimile (with the original to follow by post) together with the applicable identification documents (as detailed in Section 10) to the Administrator in order to buy shares for the first time.

### Section 1A to 1D – Registration Details

Application forms for individuals, companies, partnerships, trusts, and other entities will need to be accompanied by certain documents. Please review the list in Section 10 for the appropriate documents to include with the completed application.

**Minor Investors** - If you are a minor (i.e. under 18 years of age), or are completing the application form on behalf of a minor, details of both parents/guardians must be entered in full. In cases where there is a single parent/ guardian, or if the name of the minor(s) and parent/guardian are different, then official documentation confirming the relationship must be submitted with the application form.

**Permanent Address** - The address you provide in Section 1 will be registered as your permanent address and be treated as your correspondence address. If you would like to receive all correspondence to an alternative address please complete Section 3 of the application form. Please note that we can only accept one address for correspondence.

**Country of Tax Residence** - Tax Regulations require us to collect information about each Investor's tax residency. Please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers in Section 1. Investors who are tax resident outside of the EU and who present a document for identification purposes issued by an EU member state may be subject to withholding or reporting under the EU Savings Directive unless the Investor provides us with a valid non-EU Certificate of Tax Residence. Failure to provide documentation may result in a delay in the investment or the withholding of sale proceeds.

### Section 2 – Authorisation

Please insert a tick in the appropriate box confirming your choice to act and place instructions either separately or jointly. In the absence of any confirmation, "jointly" will apply.

### Section 3 - Correspondence Details

If you prefer to receive correspondence to an address which is different from your permanent address, please insert the details of this address.

### Section 4 - Investment Details

Please indicate the Fund Name in which you wish to invest, the corresponding Fund Number or ISIN code, investment amount, and currency. You may apply for Shares in more than one of the individual Funds. The minimum initial investment in the A, C, and Z Shares of each Fund is 2,500 U.S. dollars, Euro, or British Pounds; for Class A only, 20,000 in Hong Kong dollars; and for Class Z only, 2,500 Swiss Francs. For Shares in Class I, the minimum investment is 1 million in U.S. dollars, Euro, British Pounds, or Swiss Franc and 8 million in Hong Kong dollars. The Company reserves

the right to vary the minimum initial investment in the future and may choose to waive these minimums.

### Section 5 – Dividend Policy

Dividends of distribution Shares will normally be reinvested in the purchase of further distribution Shares of the Fund and Class to which such dividends relate, unless otherwise stated in the application form. If a dividend should be paid out and no bank details are given in Section 7 we will send a cheque to the address given in Section 1 or 3 as appropriate.

### Section 6 – Settlement Instructions

**Method of Payment** - Cleared funds should be received on or before the relevant cut off time (as defined in the prospectus), unless otherwise provided by the Company. Payment for Shares will normally be made by electronic bank transfer of funds. Payment for your investment must be drawn on a bank account opened in your own name. Please note that third party payments will not be executed.

### Section 7 - Bank Account Details

Please ensure you complete the bank account details in full. Payments will be made in accordance with your bank details. The bank account details provided must be for an account held in the Investor's name. We cannot accept or execute third party payments. Please note that for bank accounts held in Europe, or in countries where International Bank Account Number (IBAN) details are provided by the Investor's bank(s), an IBAN must be provided. In absence of a valid IBAN, Investors may be charged extra fees by their banks. If you do not have an IBAN please contact your bank. Additional fees may be deducted by your bank on incoming payments depending upon their terms and conditions.

### Section 8 – Politically Exposed Person Status

Please read the definition of a Politically Exposed Person ("PEP") in Appendix 1 and appropriately check the box. If the Applicant confirms that the application is being made on behalf of a PEP, please fill out Appendix 1 and submit with the application form.

### Section 9 - Foreign Account Tax Compliance Act (FATCA)

The Foreign Account Tax Compliance Act ("FATCA"), which is an amendment to the U.S. Internal Revenue Code, was enacted in the United States in 2010 and many of the operative provisions became effective on July 1, 2014. Generally, FATCA requires financial institutions outside the US ("foreign financial institutions" or "FFIs") to provide the U.S. Internal Revenue Service ("IRS") with information about financial accounts held directly or indirectly by certain specified US persons. A 30% withholding tax is imposed on certain types of US source income paid to an FFI that fails to comply with FATCA.

### Section 10 – OECD Common Reporting Standard (CRS)

Drawing extensively on the intergovernmental approach to implementing FATCA, the OECD developed the Common Reporting Standard ("CRS") to address the issue of offshore tax evasion on a global basis. The CRS provides a common standard for due diligence, reporting and exchange of financial account information. Pursuant to the CRS, participating jurisdictions will obtain from reporting financial institutions, and automatically exchange with exchange partners on an annual basis, financial information with respect to all reportable accounts identified by financial institutions on the basis of common due diligence and reporting procedures.

The first information exchanges are expected to begin in 2017. Ireland has committed to implement

the CRS. As a result the Company will be required to comply with the CRS due diligence and reporting requirements, as adopted by Ireland.

### Section 11 – Data Protection Notice

Please check the form to acknowledge personal data disclosures that may be required under law and additional information that may be requested.

### Section 12 – Prevention of Anti-Money Laundering

Under Irish anti-money laundering legislation all professionals of the financial sector are obliged to take measures to prevent the use of UCITS for money laundering and terrorist financing purposes. Accordingly the Company and the Administrator have established a procedure to identify all its Investors. To meet these requirements Investors should submit necessary identification documents together with the application form.

The Company and the Administrator is also obliged to identify any beneficial owners of the investment. The requirements apply to both direct purchases and indirect purchases received from an intermediary. The Company and Administrator reserve the right to ask for additional information and documentation as may be required in higher risk scenarios or to comply with any applicable laws and regulations. Failure to provide documentation may result in a delay in investment or the withholding of sale proceeds.

### Section 13 - Signatures and Declarations

In the case where you are acting on behalf of a third party or if you are not acting on your own account, or if the beneficiary is not the same person as the account holder, please provide the name and address of the third party and all beneficiaries. All Investors included within Section 1 must sign the application form. In the case of instructions made in the name of a minor, the signatures of the parent(s)/legal guardian(s) are required.

Applications made by a legal entity should be executed and signed by a duly authorised person appointed by the company. Please submit evidence of this authorisation with the application form. If the application form is signed by any person whose name is not listed as an authorised person then it should include a separate certified copy of authorisation.

U.S. Persons are not eligible to invest in the Fund. In the absence of written notice to the Fund to the contrary, if a potential Investor provides a non-U.S. address on the application form for investment in the Fund, this will be deemed to be a representation and warranty from such Investor that the Investor is not a U.S. Person and will continue to be a non-U.S. Person so long as such Investor holds any Shares of the Fund.

# CALAMOS<sup>®</sup>

## INVESTMENTS

Calamos Investments LLP  
62 Threadneedle Street | London EC2R 8HP | United Kingdom  
Tel: +44 (0)20 3744 7010 | www.calamos.com/global

Calamos Investments LLC  
2020 Calamos Court | Naperville, IL | United States 60563-2787  
Tel: 877.663.8056 | www.calamos.com

Calamos Global Funds PLC  
c/o RBC Investor Services Ireland Limited  
4th Floor | One George's Quay Plaza | George's Quay | Dublin 2 | Ireland  
Tel: +353 1 440 6555 | Fax: +353 1 613 0401 | www.calamos.com/global  
E-mail: dublin\_ta\_customer\_support@rbc.com

© 2015 Calamos Investments LLC. All Rights Reserved.  
Calamos<sup>®</sup> and Calamos Investments<sup>®</sup> are registered trademarks of Calamos Investments LLC.