

K Establishing of the controlling person of operating legal entities and partnerships both not quoted on the stock exchange

(Form K for DSFI pursuant to art. 56ff. of AML-O FINMA 2016)

(for operating legal entities and partnerships that are contracting partner as well as analogously for operating legal entities and partnerships that are beneficial owners)

Bank/Account/securities account number:

Contracting partner:

Category (where appropriate):

The contracting partner hereby declares that (tick the appropriate box):

the person(s) listed below is/are **holding 25% or more of the contracting partner's shares (capital shares or voting rights)**; or

If the capital shares or voting rights cannot be determined or in case there are no capital shares or voting rights of 25% or more, the contracting partner hereby declares that the person(s) listed below **is/are controlling the contracting partner in other ways**; or

In case this/these person(s) cannot be determined or this/these person(s) does/do not exist, the contracting partner hereby declares that the person(s) listed below is/are the **managing director(s)**.

1. Controlling person

Last name(s)/entity: _____

First name(s): _____

Address of domicile/registered office: _____

2. Controlling person

Last name(s)/entity: _____

First name(s): _____

Address of domicile/registered office: _____

3. Controlling person

Last name(s)/entity: _____

First name(s): _____

Address of domicile/registered office: _____

Fiduciary holding of assets

Is a third person the beneficial owner of the assets held in the account/securities account?

- No
- Yes → The relevant information regarding the beneficial owner has to be obtained by filling in a separate form A.

The contracting partner hereby undertakes to automatically inform **the financial intermediary** of any changes to the information contained herein.

Date

Signature(s)

It is a criminal offence to deliberately provide false information on this form (article 251 of the Swiss Criminal Code, document forgery).