

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

(Form K SAAM pursuant to art. 19ff. of AML-R SAAM 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 asset manager** of any changes to the information contained herein.

**Date**

**Signature(s)**

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