

# K

## Determination of controlling person

### Legal entities and partnerships

(pursuant to Art. 4 section. 2 let. b AMLA)

Partner number \_\_\_\_\_ Order number \_\_\_\_\_

#### Explanation

As a bank, PostFinance Ltd is obliged, in accordance with Art. 4 section 2 b of the Anti-Money Laundering Act (AMLA), to determine the persons who control a company with a share (capital or votes) of at least 25 percent or who control it in another way. For this purpose, please complete this form for the contracting party indicated below.

#### 1. Contracting party

Company/organization \_\_\_\_\_  
\_\_\_\_\_  
Legal form \_\_\_\_\_  
Street \_\_\_\_\_ No. \_\_\_\_\_  
Postcode \_\_\_\_\_ Location \_\_\_\_\_  
Country \_\_\_\_\_

#### 2. Exemptions from the obligation to identify

In accordance with Article 22 ff of the Agreement on the Swiss banks' code of conduct with regard to the exercise of due diligence (CDB), the contracting party hereby declares that it is not obliged to make a declaration regarding the controlling person.

- ☐ The contracting party is an exchange-listed company or a subsidiary under the majority control of such a company.
- ☐ The contracting party is a public authority or a bank, a securities dealer, a fund management company, a life insurance company, a CISA investment company, a CISA asset manager or a tax-exempt occupational pension institution with its headquarters in Switzerland or a bank, a securities dealer or other financial intermediary with its headquarters or domicile abroad in a country where it is subject to appropriate supervision equivalent to that under Swiss law.

If one of these exemptions applies, you can continue directly from point 4.

#### 3. Determination of controlling person / person managing the business

Pursuant to Art. 20 CDB, the contracting party hereby declares (select A, B or C):

- A ☐ that the person(s) listed below directly or indirectly hold(s)<sup>1</sup> **shares (capital or voting rights) of 25% or more in the contracting party** → *specify share in company, can be max. 100%*
- B ☐ that there are no equity or voting interests of 25% or more and that the person(s) listed below otherwise exercise(s) **control over the contracting party;**
- C ☐ there is/are no person(s) exercising control, within the meaning of A or B, over the contracting party and that the person(s) listed below exercise(s) the highest **management** thereof.

*B and C: omit stake in company*

<sup>1</sup> If companies hold 25% or more of shares, the persons who directly or indirectly hold shares of more than 50% in these intermediary companies or control them in some other way must be specified.



**Person 1**

Last name \_\_\_\_\_  
First name \_\_\_\_\_ Stake in company \_\_\_\_\_ %  
Date of birth \_\_\_\_\_ Nationality \_\_\_\_\_  
Residential address  
Street \_\_\_\_\_ No. \_\_\_\_\_  
Postcode \_\_\_\_\_ Location \_\_\_\_\_ Country \_\_\_\_\_

**Person 2**

Last name \_\_\_\_\_  
First name \_\_\_\_\_ Stake in company \_\_\_\_\_ %  
Date of birth \_\_\_\_\_ Nationality \_\_\_\_\_  
Residential address  
Street \_\_\_\_\_ No. \_\_\_\_\_  
Postcode \_\_\_\_\_ Location \_\_\_\_\_ Country \_\_\_\_\_

**Person 3**





Last name \_\_\_\_\_  
First name \_\_\_\_\_ Stake in company \_\_\_\_\_ %  
Date of birth \_\_\_\_\_ Nationality \_\_\_\_\_  
Residential address  
Street \_\_\_\_\_ No. \_\_\_\_\_  
Postcode \_\_\_\_\_ Location \_\_\_\_\_ Country \_\_\_\_\_



**Person 4**

Last name \_\_\_\_\_  
First name \_\_\_\_\_ Stake in company \_\_\_\_\_ %  
Date of birth \_\_\_\_\_ Nationality \_\_\_\_\_  
Residential address  
Street \_\_\_\_\_ No. \_\_\_\_\_  
Postcode \_\_\_\_\_ Location \_\_\_\_\_ Country \_\_\_\_\_

**4. Signature(s)**

The contracting party undertakes to inform PostFinance Ltd of any changes in writing without being requested to do so. Deliberately filling in this form incorrectly is a punishable offence (falsification of documents pursuant to Art. 251 of the Swiss Criminal Code).

Location _____	Location _____
Date _____	Date _____
 	 

Signature 	Signature* 
Last name _____	Last name _____
First name _____	First name _____

\* In the case of a collective signing right, two signatures are required.

Please **complete**, sign and return this form to: PostFinance Ltd, Scan Center, 3002 Bern

