

K Determination of the controlling person of legal entities and partnerships

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

Partner number _____ Order number _____

Explanation

As a bank, PostFinance Ltd is legally obliged, in accordance with art. 4 section 2 let. b of the Anti Money Laundering Act (AML), to determine the natural persons who control a company with a share (capital or votes) of at least 25% or who control it in another way. Please complete this form for this purpose for the contractual partner indicated below in accordance with the instructions.

1. Contractual partner

Company/organization _____
Legal form _____
Street _____ No. _____
Postcode _____ Location _____
Country _____
Telephone _____

2. Legal form

Tick the **legal form** that applies to the contractual partner and follow the instruction:

- Limited liability companies
- Unlisted private limited company
- Cooperative
- Limited partnership
- Partnership limited by shares
- General partnership
- Foreign legal form → Continue with point 3

- Association
- Foundation → Continue with point 4

- Self-employed person / sole proprietorship
- Listed private limited company
- Public law corporation, institution or administration
- Simple partnership
- Commonhold owners' association (COA)
- Joint owners' association, entered in the land register (JOA) → The natural persons do not have to be listed.
Sign the form under point 6

- or an exception in accordance with art. 22-24 CDB

The contractual partner is 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 and therefore no declaration is required.

→ Sign the form under point 6



3. Determination of the controlling person for limited liability companies, private limited companies, cooperatives, general and limited partnerships, partnerships limited by shares and foreign legal forms

Tick the option that applies to the contractual partner *and follow the instruction*:

- One or several natural person(s) holds/hold shares directly or indirectly (**capital or votes**) of at least 25% in the **contractual partner**.
→ List these persons in the table under point 5.
- No person(s) holds/hold shares directly or indirectly (capital or votes) of at least 25% in the contractual partner **and**
→ select a) or b)
 - a) no natural person exercises control over the contractual partner in any other way.
→ Only list the person(s) managing the business in the table under point 5 (leave the % share column blank).
- or**
- b) one or more natural persons exercise control over the contractual partner in another way.
→ List these persons in the table under point 5 (leave the % share column blank).

4. Determination of the controlling person
for associations and foundations

Tick how many management board / foundation board members your association / foundation has *and follow the relevant instruction*:

- 4 or less → Enter **all management board/foundation board members** in the table under point 5.
- More than 4 → **Only enter the chairperson** in the table under point 5.

5. Indications of controlling person
for all legal forms as per point 3 and 4

Complete the table according to the *instruction* in the selection under point 3 or 4 (the % share of the company can be a maximum of 100%).

Controlling person 1

% share of the company _____ Last name _____ First name _____
Date of birth _____ Nationality _____
Street¹ _____ No.¹ _____
Postcode¹ _____ Location¹ _____ Country _____

Controlling person 2

% share of the company _____ Last name _____ First name _____
Date of birth _____ Nationality _____
Street¹ _____ No.¹ _____
Postcode¹ _____ Location¹ _____ Country _____

Controlling person 3

% share of the company _____ Last name _____ First name _____
Date of birth _____ Nationality _____
Street¹ _____ No.¹ _____
Postcode¹ _____ Location¹ _____ Country _____

Controlling person 4



% share of the company _____ Last name _____ First name _____
Date of birth _____ Nationality _____
Street¹ _____ No.¹ _____
Postcode¹ _____ Location¹ _____ Country _____

¹ of the private domicile



6. Signature(s)

The contractual partner undertakes to inform PostFinance Ltd of any changes in writing without being requested to do so. Intentionally providing false information on this form is a criminal offence (falsification of documents under art. 251 of the Swiss Criminal Code).

Location	_____	Location	_____
Date	_____	Date	_____
	┌		┌
Signature	└	Signature*	└
Last name	_____	Last name	_____
First name	_____	First name	_____
Function	_____	Function	_____

* For joint signatory powers, two signatures are required.

Please sign and return the **complete** form to:
PostFinance Ltd, Scan Center, 3002 Berne

