

Ascertainment of the holder of control as beneficial owner of legal entities and partnerships

(pursuant to Art. 4 para. 2 let. b Anti Money Laundering Act)

Partner number _____ Order number _____

A – Contractual partner

Company _____
 Legal form _____
 Street, no. _____
 Postcode _____ Location _____
 Country _____
 Telephone _____

B – Ascertainment of the individuals who have beneficial ownership of the company

- The individual(s) need not be declared because
 - the company is an exchange-listed company
 - the undertaking is a subsidiary under the majority control of a company listed on the stock market
 - the undertaking is a bank, a securities trader, a fund manager, a life insurance company, an investment company falling under the CISA, an asset manager falling under the CISA or a tax-free occupational benefits institution based in Switzerland
 - the undertaking is a bank, a securities trader or another financial intermediary respectively based or domiciled abroad, provided that he/she/it is subject to appropriate supervision at that place equivalent to that required under Swiss law
 - the contractual partner is a public authority
 - the contractual partner is a simple partnership
 - the contractual partner is a condominium owner or common ownership collective that is registered in the real estate register
 - the contractual partner is a self-employed person / sole proprietorship

- One or more individuals hold direct or indirect stakes (capital or votes) of at least 25% in the company.
- One or more natural persons exercise(s) control over the undertaking in any other recognisable manner.

This/these individual(s) are declared as beneficial owners as follows:

- through the enclosed index (pursuant to Art. 697j, 790a, or 837 of the Swiss Code of Obligations (CO)) which lists the individual(s)
- there is no index or it contains no entries. The individual(s) and the stake allotted to him/her/them is to be indicated as follows:

Controlling person 1

Last name _____ First name _____
 Street, no. _____
 Postcode _____ Location _____
 Country _____ Nationality _____
 Date of birth _____ % stake of the company _____



Controlling person 2

Last name _____ First name _____
Street, no. _____
Postcode _____ Location _____
Country _____ Nationality _____
Date of birth _____ % stake of the company _____

Controlling person 3

Last name _____ First name _____
Street, no. _____
Postcode _____ Location _____
Country _____ Nationality _____
Date of birth _____ % stake of the company _____

Controlling person 4

Last name _____ First name _____
Street, no. _____
Postcode _____ Location _____
Country _____ Nationality _____
Date of birth _____ % stake of the company _____

No person(s) hold(s) directly or indirectly an interest (capital or voting rights) of at least 25% in the undertaking or exercise(s) control over the undertaking in any other recognisable manner. The identity of the managing director of the undertaking must be declared and stated as follows:

Managing director of the undertaking

Last name _____ First name _____
Street, no. _____
Postcode _____ Location _____
Country _____ Nationality _____
Date of birth _____

The contractual partner is obligated to inform PostFinance AG in written promptly and without further demand about any changes of the controlling ownership.

The intentional fraudulent completion of this form is punishable (Art. 251 of the Swiss Criminal Code, forgery of a document; threat of punishment: custodial sentence of up to five years or monetary fine).

Authorised signatory Representative of the contractual partner

Location _____
Date _____

C – Enclosure

Index of persons with beneficial ownership (pursuant to Art. 697j, Art. 790a, of Art. 837 CO)



for the "Ascertainment of the holder of control as beneficial owner of legal entities and partnerships"

Instructions for filling out the form

Financial intermediaries such as PostFinance Ltd are required to ascertain those natural persons who control a company with a stake of at least 25% (shares or votes) or control the undertaking in any other recognisable manner. The basis for this is Art. 4(2) (b) in connection with Art. 2a(3) of the Money Laundering Act. Form K2, "Ascertainment of the holder of control as beneficial owner of legal entities and partnerships" is valid only if it is completely filled out, signed in a legally valid manner, and the date is affixed thereto.

Please fill out completely and legibly

Please print in legible block letters, within the fields provided, and with a black or blue felt-tip or ballpoint pen. Verify that you have filled out the fields completely and that the required information has been provided. An incomplete or incorrect Form K2 can unfortunately not be accepted.

K2

Ascertainment of the holder of control as beneficial owner of legal entities and partnerships

(pursuant to Art. 4 para. 2 let. b Anti Money Laundering Act)

Partner number _____ Order number _____

A – Contractual partner

Company _____

Legal form _____

Street, no. _____

Postcode _____ Location _____

Country _____

Telephone _____

B – Ascertainment of the individuals who have beneficial ownership of the company

1 The individual(s) need not be declared because

- the company is an exchange-listed company
- the undertaking is a subsidiary under the majority control of a company listed on the stock market
- the undertaking is a bank, a securities trader, a fund manager, a life insurance company, an investment company falling under the CISA, an asset manager falling under the CISA or a tax-free occupational benefits institution based in Switzerland
- the undertaking is a bank, a securities trader or another financial intermediary respectively based or domiciled abroad, provided that he/she/it is subject to appropriate supervision at that place equivalent to that required under Swiss law
- the contractual partner is a public authority
- the contractual partner is a simple partnership
- the contractual partner is a condominium owner or common ownership collective that is registered in the real estate register
- the contractual partner is a self-employed person / sole proprietorship

One or more individuals hold direct or indirect stakes (capital or votes) of at least 25% in the company. One or more natural persons exercise(s) control over the undertaking in any other recognisable manner.

This/these individual(s) are declared as beneficial owners as follows:

2 through the enclosed index (pursuant to Art. 697j, 790a, or 837 of the Swiss Code of Obligations (CO)) which lists the individual(s)

3 there is no index or it contains no entries. The individual(s) and the stake allotted to him/her/them is to be indicated as follows:

Controlling person 1

_____ First name _____

Street, no. _____

Postcode _____ Location _____

Country _____

Date of birth _____ % stake of the company _____

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1 Exceptions to the declaration obligation

If one of the listed exceptions applies to the company, please tick these off. No further information with respect to the natural persons will then be required. Proceed thereafter with the signing of the form.

2 Ascertainment by means of index

If an index of the beneficial owners is available for the company, please enclose a copy of the index with the form. Proceed thereafter with the signing of the form. Note that the index must reflect the current state of the proportions of the holdings..

3 Ascertainment by means of declaration

If there is no index of the beneficial owners for the company (contractual partner), these must be directly declared in the form. Please note that all persons have to be declared who have a stake of 25% or more or control the undertaking in any other recognisable manner. For these persons, all fields must be completely filled out. Note that only natural persons may be listed. Should legal entities hold a stake in the company (contractual partner), the natural persons standing behind these must be declared, provided they indirectly control 25% or more in relation to the company (contractual partner) or control(s) the undertaking in any other recognisable manner. Proceed thereafter with the signing of the form.



Controlling person 2

Street, no. _____ First name _____
 Postcode _____ Location _____
 Country _____
 Date of birth _____ % stake of the company _____

Controlling person 3

Street, no. _____ First name _____
 Postcode _____ Location _____
 Country _____
 Date of birth _____ % stake of the company _____

Controlling person 4

Street, no. _____ First name _____
 Postcode _____ Location _____
 Country _____
 Date of birth _____ % stake of the company _____

4 No person(s) hold(s) directly or indirectly an interest (capital or voting rights) of at least 25% in the undertaking or exercise(s) control over the undertaking in any other recognisable manner. The identity of the managing director of the undertaking must be declared and stated as follows:

Managing director of the undertaking

Last name _____ First name _____
 Street, no. _____
 Postcode _____ Location _____
 Country _____ Nationality _____
 Date of birth _____

The contractual partner is obligated to inform PostFinance AG in written promptly and without further demand about any changes of the controlling ownership. The intentional fraudulent completion of this form is punishable (Art. 251 of the Swiss Criminal Code, forgery of a document; threat of punishment: custodial sentence of up to five years or monetary fine).

Authorised signatory Representative of the contractual partner

Location _____ **5** _____
 Date _____

C – Enclosure

Index of persons with beneficial ownership (pursuant to Art. 697j, Art. 790a, of Art. 837 CO)

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4 Identifying the managing director

If only persons holding an interest of less than 25% (free-float stock) participate in the undertaking or no other person(s) control(s) the undertaking in any other recognisable manner, the managing director of the undertaking must be declared.

5 Signature(s)

The persons who may validly represent the company, or the persons authorised pursuant to a power of attorney, must sign here. Where there is joint signing authority, two legally valid signatures are required.

Legal form

Public limited company (Plc)

Foreign legal company

Cooperative

Limited liability company

Limited partnership

Foundation

Association

Managing director of the undertaking

CEO resp. Managing Director

CEO resp. Managing Director

CEO resp. Managing Director

CEO resp. Managing Director

CEO resp. Managing Director

Chairman Foundation Board

President Executive Committee

