

Customer Information		
Name / Company / Trustee		Personal/Corporate ID Number
Address (Street, postbox)		Email
Postal Code	City	Country
In which industry are you active?		LEI Code (for legal entities)
Advisor		Tied agent

Mandatory Background Questions – in accordance with the law (2017:630) on measures against money laundering and financing of terrorism:

Beneficial Owner

A beneficial owner is a natural person who, alone or with someone else, ultimately owns or controls a legal entity, or an individual on whose behalf another person acts. The latter is characterized by a natural person benefiting from another's actions, such as in a nominee arrangement.

a) Do you represent another natural person?

☐ No ☐ Yes

If yes, provide details of the "other natural person."

.....

.....

b) Specify any owners with more than 25% of shares in the legal entity you represent (if a company is an owner, specify the owners down to the ultimate beneficial owner:

Are there any such individuals?

☐ No ☐ Yes

Name, Personal/Corporate ID Number

Ownership %

.....

.....

Copy taken: ☐ ID ☐ Registration certificate ☐ Signed with BankID

c) List any individuals exercising controlling influence over the company by controlling more than 25% of the total votes or being able to appoint more than half of the board members in the legal entity. Also include those with equivalent control via agreements, for example shareholders' agreement:

Are there any such individuals?

☐ No ☐ Yes

Name, Personal/Corporate ID Number

Type of Control

.....

.....

Money laundering issues**Are you a politically exposed person (PEP)?** ☐ Yes ☐ No

A PEP refers to a natural person who has or has had an important function such as:

- ☐ a) Head of state or government,
- ☐ b) Minister or Deputy Minister,
- ☐ c) Member of Parliament,
- ☐ d) Political Party Board Member,
- ☐ e) Judge of the Supreme Court, the Supreme Administrative Court or other high-level judicial body whose decisions only exceptionally can be appealed (for example, ordinary judges in the Court of Appeal or the Court of Appeal)
- ☐ f) Senior official in an audit authority or member of the governing body in central bank
- ☐ g) Ambassador or head of mission,
- ☐ h) High-ranking military officer,
- ☐ i) Person who is part of a state-owned company's administrative, management or control organization or
- ☐ j) Senior executive (Secretary-General, deputy or similar) in an international organization (for example, UN, NATO and WTO)

Persons referred to in a)-j) above are, during the period they hold the assignment, and for a period of 18 months thereafter, politically exposed persons ("PEP").

Are you a family member of a PEP? ☐ Yes ☐ No

A family member of a PEP means a spouse, registered partner, cohabitant, children and their spouses, registered partners or cohabitants and parents.

Are you a known associate of a PEP? ☐ Yes ☐ No

A known associate means

- A natural person who, according to known information or reasonable grounds, together with a PEP, is the ultimate beneficial owner of a legal entity or legal arrangement or who otherwise has or has had connections with a PEP, or
- A natural person who is the sole beneficial owner of a legal entity or legal arrangement that, according to known information or reasonable grounds, has been established for the benefit of a PEP.

If you have answered yes to any of the above questions:

If you are a PEP, indicate your position and the country where you hold or have held this position, as well as the start and end dates of the assignment:

Position, country, and date:

If you are a family member or known associate of a PEP, indicate your relation to the PEP, their position, and the country where they hold or have held this position, as well as the start and end dates of their assignment:

Position, country, and date:

Capital and Transaction Information**Enter the company's annual turnover:**

- ☐ 0 – 50,000 €
☐ 50,000 – 100,000 €
☐ 100,000 – 500,000 €
☐ 500,000 – 800,000 €
☐ 800,000 – 1,000,000 €
☐ 1,000,000 – 2,000,000 €
☐ 2,000,000 – 3,000,000 €
☐ 3,000,000 – 4,000,000 €
☐ 4,000,000 – 5,000,000 €
☐ > 5,000,000 €

Total saved/invested in securities and cash:

- ☐ 0 – 5,000 €
☐ 5,000 – 10,000 €
☐ 10,000 – 50,000 €
☐ 50,000 – 100,000 €
☐ 100,000 – 500,000 €
☐ 500,000 – 1,000,000 €
☐ 1,000,000 – 5,000,000 €
☐ > 5,000,000 €

Source of funds:

- ☐ Profit from own operations
☐ Surplus liquidity
☐ Revenue from operations (e.g. sales revenue, rental revenue, membership fees)
☐ Company sales
☐ Property sales
☐ Share capital
☐ Previous placements/investments
☐ Donations
☐ Bank funds
☐ Other:

Copy of ID document available or BankID signed:

- ☐ Yes ☐ No

Only Swedish tax residence:

- ☐ Yes ☐ No

If other tax residence:

Please provide any TIN number:

Specify the purpose of the business relationship

(Provide a detailed description of why the customer has chosen to establish a business relationship with SIP/why a particular service or product has been selected)

.....

.....

.....

.....

.....

How much EUR does the customer intend to deposit annually in the account at SIP?

- ☐ Less than 5,000 €
☐ 5,000 – 10,000 €
☐ 10,000 – 50,000 €
☐ 50,000 – 100,000 €
☐ 100,000 – 500,000 €
☐ More than 500,000 €
☐ Does not have an account at SIP

How often does the customer plan to make deposits into the account at SIP?

- ☐ Less than once per month
☐ 1–5 times per month
☐ More than 5 times per month
☐ Does not have an account at SIP

How much EUR does the customer intend to conduct in transactions (buying and selling) annually?

- ☐ Less than 5,000 €
☐ 5,000 – 10,000 €
☐ 10,000 – 50,000 €
☐ 50,000 – 100,000 €
☐ 100,000 – 500,000 €
☐ More than 500,000 €

How often does the customer plan to conduct transactions (buying and selling)?

- ☐ Less than once per month
☐ 1–5 times per month
☐ More than 5 times per month

How much EUR does the customer intend to withdraw annually from the account at SIP?

- ☐ Less than 5,000 €
☐ 5,000 – 10,000 €
☐ 10,000 – 50,000 €
☐ 50,000 – 100,000 €
☐ 100,000 – 500,000 €
☐ More than 500,000 €
☐ Does not have an account at SIP

How often does the customer plan to make withdrawals per year from the account at SIP?

- ☐ Less than once per month
☐ 1–5 times per month
☐ More than 5 times per month
☐ Does not have an account at SIP

From which bank/institution will you or the company generally make transfers?

- ☐ Swedish bank/institution
☐ Foreign bank/institution
☐ Swedish insurance company
☐ Foreign insurance company
☐ Pension
☐ From my employer
☐ Beneficiary to the account through inheritance
☐ Other:

High-Risk Third Country

Are you a citizen of Sweden?

- ☐ Yes ☐ No

Other citizenship?

- ☐ Yes ☐ No

Country, if other citizenship:

SIP Nordic Fondkommission AB

Strandvägen 1, SE-114 51 Stockholm, Sweden

Corporate reg. no. 556708-6649

Telephone: +46 8 566 126 00, Fax: +46 8 566 126 29, E-mail: info@sipnordic.se, www.sipnordic.se

Signature

Place and Date	Signature
Personal Identification Number	Printed Name

To be filled out by SIP Nordic:

Checked against the EU sanctions list? <input type="checkbox"/> No <input type="checkbox"/> Yes, date:	Has the customer been risk classified? <input type="checkbox"/> No <input type="checkbox"/> Yes, signature:
---	--