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

4. Determination of 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 under point 5.*
- More than 4 → *Only enter the chairperson under point 5.*

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

Complete the fields according to the instructions in the selection under point 3 or 4 (the share of the company can be a maximum of 100 percent).

Controlling person 1

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

Controlling person 2

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

Controlling person 3

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

Controlling person 4





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

¹ when specifying natural persons, their 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

