

CONFIDENTIAL



VQF member no.	AMLA File No.
100809	

Identification Form



The customer has to be identified on entering into a permanent business relationship or on concluding a cash transaction, which meets the according threshold.

This form was completed by:

Full name	Bernhard Frank Müller Hug
Date	

1. Information on customer¹

a) The customer is a natural person:

Full name*	
Residential address*	
Telephone	
E-mail	
Date of birth*	
Nationality*	
Identification document*	<input checked="" type="checkbox"/> Copy enclosed in appendix

*** mandatory**

For sole proprietorship (supplement to above):

Company name	
Registered office	
Company identification document	<input checked="" type="checkbox"/> Copy enclosed in appendix

¹ The customer is the person with whom the member concludes the contract with regard to the financial service provided (civil law). Does the member act as director of a domiciliary company, this domiciliary company is the customer.

b) The customer is a legal entity:

Company name*	
Domicile*	
Contact person	
Telephone	
E-mail	
Identification document* (not older than 12 month)	<input type="checkbox"/> Copy enclosed in appendix

* **mandatory**

2. Information on the natural persons who establish the business relationship for legal entities and partnerships



For legal entities and partnerships the identity of the natural persons who establish the business relationship must be verified.

Full name*		
Residential address*		
Date of birth*		
Nationality*		
Type of authorisation (signatory of representation)*		
Identification document*	<input type="checkbox"/> Copy enclosed in appendix	<input type="checkbox"/> Copy enclosed in appendix
Power of attorney arrangements*	<input type="checkbox"/> CR extract <input type="checkbox"/> Mandate <input type="checkbox"/> Other:	<input type="checkbox"/> CR extract <input type="checkbox"/> Mandate <input type="checkbox"/> Other:

* **mandatory**

3. Acceptance of business relationship

Date (conclusion of contract)	15.07.2022
Accepted by	<input type="checkbox"/> Face-to-face meeting with customer <input type="checkbox"/> Way of correspondence: <input type="checkbox"/> authenticated copy of identification document obtained <input type="checkbox"/> residential address validated
Type of correspondence service	<input type="checkbox"/> to the customer <input type="checkbox"/> hold at bank <input type="checkbox"/> to the member <input type="checkbox"/> to a third party (full name and address):
Language	<input type="checkbox"/> German <input checked="" type="checkbox"/> English <input type="checkbox"/> French <input type="checkbox"/> Other:

Further information	
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4. Information on the beneficial owner of the assets and/or controlling person

Establishment of the beneficial owner of the assets and/or controlling person	<p>The customer is:</p> <p><input type="checkbox"/> a natural person and there are no doubts that this person is the sole beneficial owner of the assets</p> <p><input type="checkbox"/> an operational legal entity or partnership => VQF doc. No. 902.11 (K)</p> <p><input type="checkbox"/> a foundation (or a similar construct; incl. underlying companies) => VQF doc. No. 902.12 (S)</p> <p><input type="checkbox"/> a trust (incl. underlying companies) => VQF doc. No. 902.13 (T)</p> <p><input type="checkbox"/> all other cases => VQF doc. No. 902.9 (A)</p>
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5. Evaluation with regard to embargo procedures/terrorism lists on establishing the business relationship

Verification whether the customer, beneficial owners of the assets, controlling persons, authorised representatives or other involved persons are listed on an embargo-/terrorism list (date of verification/result) ²	No Embargo, no PEP, no terrorist Scanned
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6. In the case of cash transactions/occasional customers: Information on type and purpose of business relationship



These details are only necessary for occasional customers, i.e. money exchange, money and asset transfer or other cash transactions provided that no customer profile (VQF doc. No. 902.5) is created

Type of business relationship	<p><input type="checkbox"/> Money exchange</p> <p><input type="checkbox"/> Money and asset transfer</p> <p><input type="checkbox"/> Other cash transaction, specify?</p>
Purpose of the business relationship (purpose of service requested)	

² The evaluation must be made at the beginning of the business relationship and has to be repeated in the case of permanent business relationship every time the according lists are updated.

7. Enclosures

<input checked="" type="checkbox"/>	Customer identification documents (or: reference ³ to AMLA File No.: <u>000000</u>)
<input checked="" type="checkbox"/>	Identification document of persons establishing the business relationship (or: reference to AMLA File No.: <u>000000</u>)
<input checked="" type="checkbox"/>	Establishing of the beneficial owner of the assets/controlling person (VQF Doc No. 902.9, 902.11, 902.12 or 902.13)
<input checked="" type="checkbox"/>	Customer profile (VQF doc. No. 902.5; only in the case of permanent business relationship and regular customers)
<input checked="" type="checkbox"/>	Risk profile (VQF doc. No. 902.4)

➔ **This form has to be updated when changes occur.**

³ If the identification document is lists kept in another AMLA-File (in the case of Art. 15 para. 3 SRO Regulations) a reference to the according AMLA-File is sufficient.