

## KYC INFORMATION LEGAL ENTITY

**Note that prior to the first deposit and additional deposits pertaining to the purchase of units in any of the below funds, this KYC information must be completed and submitted in original together with the documents specified below.**

Complete company name (Unitholder)		Corporate Registration Number
Registered address		Daytime telephone number (Including area code)
Postal code	City	Fax/E-mail
Country (Mandatory if other than Sweden)	Tax domicile (Mandatory if other than Sweden)	TIN (Mandatory if other than Sweden)
<p><b>The form “Self-certification foreign tax status legal entity” must be appended to this KYC-information form. (Please see separate form on <a href="http://catella.se/fonder">catella.se/fonder</a>)</b></p>		

<p><b>Payment account for redemption</b> (IBAN No, BIC-code/SWIFT) The account must belong to the unit holder</p>	Mandatory field
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<input type="checkbox"/> Yes please, we would like to receive a year-end/half-yearly report for the fund/funds by e-mail (Does not apply for statements that always will be received)
<input type="checkbox"/> Yes please, we would like to receive a year-end/half-yearly report for the fund/funds by mail (Does not apply for statements that always will be received)

### MANDATORY QUESTIONS TO BE COMPLETED

<p><b>Pursuant to the Swedish Act on Measures against Money Laundering and Terrorist Financing (2017:630), the following customer information must be fully and correctly filled in before subscription of units can occur.</b></p>	
<p><b>1. On whose behalf are you saving/investing?</b></p>	
	On behalf of your wholly owned company.
	On behalf of a company with part owners in addition to yourself.
	On behalf of a company that is listed for trading in a regulated market (“listed company”). If so you do not need to answer question 2-7.
	On behalf of a company under the supervision of a supervising authority in the EEA. (Please enclose documentation concerning operational permits). If so you do not need to answer question 3-7.
	Other (Please specify):

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<b>2. If subscription is made on behalf of a company or other legal entity;</b>			
<b>i. Please state the physical persons (including yourself and closely related persons) who, by ownership of shares or otherwise, directly or indirectly, control more than 25 percent of the votes of the company or has the right to appoint or displace more than half of its board members:</b>			
Name	Address	Personal Identity Number	Participating interest, %
Nationality	Date of birth	Place of birth	Country of birth
Name	Address	Personal Identity Number	Participating interest, %
Nationality	Date of birth	Place of birth	Country of birth
Name	Address	Personal Identity Number	Participating interest, %
Nationality	Date of birth	Place of birth	Country of birth
<b>ii. If the ownership or control is exercised through more than one legal entity, please describe the ownership and control structure in a separate document or append an organisation chart/group outline. Also state the business names, corporate registration numbers, complete address and ownership share expressed in % for each legal entity.</b>			
Name	Address	Corporate Registration Number	Participating interest %
Name	Address	Corporate Registration Number	Participating interest %
<b>iii. If the legal entity is a foundation, trust or similar – please state the name, address and Personal Identity Number/Corporate Registration Number of any institutors, board members, patrons/managers, future beneficiaries or other individuals in whose main interest the legal entity was established or on whose behalf the operations are conducted:</b>			
State full name	Address	Personal Identity Number/ Corporate Registration Number	
Nationality	Date of birth	Place of birth	Country of birth
State full name	Address	Personal Identity Number/ Corporate Registration Number	
Nationality	Date of birth	Place of birth	Country of birth

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**3. Where did the money you plan to save/invest come from? Several alternatives may be selected**

<input type="checkbox"/>	Savings/placements
<input type="checkbox"/>	Sale of property
<input type="checkbox"/>	Inheritance/gift
<input type="checkbox"/>	Investments
<input type="checkbox"/>	Sale of a company
<input type="checkbox"/>	Income from the company
<input type="checkbox"/>	Other, please specify:

**4. Approximately how often do you plan to conduct transactions in Catella's funds?**

<input type="checkbox"/>	Several times per month
<input type="checkbox"/>	Once per month
<input type="checkbox"/>	Several times per year
<input type="checkbox"/>	Once per year
<input type="checkbox"/>	More seldom

**5. Approximately how much do you expect your yearly saving in Catella's funds to amount to?**

<input type="checkbox"/>	< SEK 10,000
<input type="checkbox"/>	SEK 10,000 – 100,000
<input type="checkbox"/>	SEK 100,000 – 1,000,000
<input type="checkbox"/>	> SEK 1,000,000

**6. Do any of the beneficial owners hold, or have in the past 18 months held, any of the following positions in Sweden or abroad?**

Yes  No

If yes, please complete below the correct option and state the name of the beneficial owner: \_\_\_\_\_

<input type="checkbox"/>	Head of state or head of government, minister, deputy minister or assistant minister
<input type="checkbox"/>	Member of parliament
<input type="checkbox"/>	Supreme court judge, constitutional court judge or judge in another high-level body
<input type="checkbox"/>	High-ranking salaried employee at a government auditing authority or Board member of a central bank
<input type="checkbox"/>	Ambassador, diplomatic envoy or high-ranking officer
<input type="checkbox"/>	Management of an international body
<input type="checkbox"/>	Any other position in a state-owned company's administrative, management or supervisory body
<input type="checkbox"/>	A well known colleague or had other business connection
<input type="checkbox"/>	No

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7. Do any of the beneficial owners closely related persons now hold, or have they held in the past 18 months, any of the positions listed in the question above, in Sweden or abroad?  
 Yes  No   
 If yes, please complete below the correct option and state the name of the beneficial owner: \_\_\_\_\_

<input type="checkbox"/>	Spouse
<input type="checkbox"/>	Partner of the same status as a spouse in accordance with national law
<input type="checkbox"/>	Children and their spouses or partners
<input type="checkbox"/>	Parents
<input type="checkbox"/>	A well known colleague or other business connection
<input type="checkbox"/>	No, no one

**INFORMATION**

**CLIENT DUE DILIGENCE:**

Catella Fondförvaltning AB's ("the Company") is, pursuant to the Swedish Anti-money Laundering Act (2017:630) obliged to take measures for client due diligence before entering into a business relationship with a client. New clients must consequently, prior to their first investment in any of the funds, complete this 'KYC-information and submit it to the Company along with the documents specified below. Before such documents and any supplementary information that the Company deems necessary has been provided to the Company, it is not obligated to process investments. The Company may also need to obtain supplemental information during the term of the business relationship.

**FUND INFORMATION:**

Fund rules, information brochures and fact sheets are available at [catella.com/funds](http://catella.com/funds) or at the address provided below. Historical return does not provide a guarantee for future returns. The money invested in the funds can both increase and decrease in value, and there is no guarantee that you will recoup the entire deposited amount.

**LEGAL ENTITIES:**

KYC-information, registration certificate (not older than three months) and a certified\* copy of a authorised signatory's identification and when applicable the form "Self-certification foreign tax status, legal entity". For authorised signatories who are not Swedish citizens a certified\* copy of a valid piece of identification must be attached. Individuals who are not registered in the Swedish national register must also enclose a certified\* copy of a utility bill (not older than three months), meaning a telephone bill, water bill, electricity bill, bank certificate or similar and the form "Self-certification of tax status individual".

**RESIDING/REGISTERED IN THE US:**

The Company does not offer investors who reside in the US to become customers with the Company. Investors who wish to open a fund account or customers on whose behalf a fund account is opened are obligated to inform the Company immediately if they meet any of the above criteria. If, after the opening of a fund account, a customer takes up residence in the US the Company is entitled to immediately redeem the customer's participations and close his/her fund account. The Company is not responsible for any losses or damages arising as a result of such immediate redemption.

**COMPLAINTS:**

The customer shall immediately inform the Company of any errors or deficiencies arising in a transaction note, any missed transaction notes or any other errors or deficiencies arising in the execution of the assignment. If a complaint is not submitted immediately, the customer loses the right to demand compensation or to demand that other measures be taken by the Company.

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 E-mail: [fonder@catella.se](mailto:fonder@catella.se) Registered office: Stockholm Corp. Reg. No.: 556533-6210 [catella.com/funds](http://catella.com/funds)

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### SIGNATURE:

I/we affirm honestly that the above is accurate and true.

I/we affirm that all of the information contained in this document that is significant in terms of taxation, the application of statutory requirements governing the liability to supply information and other matters are accurate, and I/we undertake to notify the Company of any changes to said information without delay.

I/we affirm that I/we have read, understand and accept the fund rules, the information in the prospectus and fact sheet for the fund.

I/we attach a valid and certified\* copy of a valid piece of identification. Legal entities that have tax domicile other than Sweden need to enclose the form "Self-certification of foreign tax status legal entity" and beneficial owners who are not registered in the Swedish national register must also enclose a certified\* copy of a utility bill (not older than three months).

I/we also confirm that I/we have received the information about the Company's personal data processing in "Catella Fondförvaltning AB privacy policy" and that I/we are aware of the rights I/we have as registered.

I/we accept that the Company will rely on the information submitted in this KYC-information and authorise the Company to utilise this information if so requested by a government authority.

Furthermore, I/we are aware that the Company does not provide financial advisory services and also confirm that I/we have not instructed the Company to provide such advisory services.

City, Date	Signature	Name in block letters
City, Date	Signature	Name in block letters

**Please note that a separate form "Self-certification foreign tax status, legal entity" always must be completed and submitted by new clients.**

**\*Note that, in addition to his/her signature, the person who certifies that the requested copies correspond with the original (certifies) must also write his/her name in block letters, address and telephone number including date on the copy.**