

# MANGOLD

## LIQUIDITY EXAMINATION FORM – PRIVATE INDIVIDUALS

Custody Account No (to be completed by Mangold)

According to the law (2017:630) on measures against money laundering and terrorist financing, Mangold shall endeavour to know their clients better in order to make an assessment of the risk of being exploited for the purposes of money laundering or terrorist financing. We therefore need to know certain information about you in order to understand the purpose of this business relationship and your transactions. We therefore ask that you answer the questions below. This information is mandatory.

Client (surname, first name)	PIN/ TIN
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Are you performing the transaction on behalf of someone else?

Yes  No

If yes; on behalf of whom is the transaction performed?

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In case the transaction is performed on behalf of someone else, Mangold has a legal obligation to gather knowledge of that person – kindly contact Mangold and we will supply you with the relevant forms.

Are you a Swedish citizen?

Yes  No

Are you a citizen of any country other than Sweden?

Yes  No

If yes, which country? .....

TIN: .....

Employment status

Employed  Self Employed  Unemployed  Retired  Sick Leave  Student  Juvenile

Other: .....

How much do you have saved/invested totally in securities and money in all financial institutions?

Less than 100 000 SEK  100 001–500 000 SEK  500 001–1 000 000 SEK  1 000 001–5 000 000 SEK  
 5.000 001–10 000 000 SEK  More than 10 000 000 SEK

Where does your money and/or securities come from? (Multiple answers possible.)

Salary  Inheritance  Pension  Profit from Securities Trading  
 Savings  Lottery/Gaming  Insurance Payout  Sale of Property

Other: .....

Where does the transferred funds originate? (Multiple answers possible)

Swedish bank/institute  Swedish insurance company  Employer  
 Non-Swedish bank/institute  Pension  Other:.....

From country:.....

MANGOLD FONDKOMMISSION AB  
STOCKHOLM | MALMÖ

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Are you or any of your relatives/family members or someone you have or have had a close business relation with a “politically exposed person\*” according to the law (2017:630) against money laundering and terrorist financing?

Yes (you need to fill in the “Politically Exposed Persons Form”)  No

\* A politically exposed person is a person who has/had previously had a prominent public function in a state or a function in the governance of an international organization. If you are uncertain, please contact Mangold.

Are you the beneficial Owner\* of a legal entity?

Yes (you will need to state the Corporate Identity Number)  No

Corporate Identity Number:

.....

\* Beneficial Owner means a natural person that ultimately controls the legal entity by:

- holding shares, other ownership or membership controls more than 25 % of the voting rights in the legal entity
- having the right to appoint or dismiss more than half of the members of the board or equivalent executives
- an agreement with an owner, a member or the legal entity, a regulation in the articles of association, a general agreement or comparable document can excise the rights intended in the foregoing paragraphs, or
- the chairman of the board, the CEO or other equivalent executive of the legal entity if there is no natural person who ultimately controls the company according to the foregoing paragraphs.

If a natural person ultimately controls on or more legal entities which controls another legal entity according to paragraph 1 - 3 above, he or she shall be considered to ultimately control the latter legal entity.

A natural person shall be considered to ultimately control the legal entity if he or she together with one or more closely related parties can control the legal entity according to paragraph 1 – 3 above.

Concerning foundations (Swe: stiftelse) – a natural person shall, beyond what is stated above, be considered to ultimately control the foundation if he or she

- 1) is a member of the board of directors or an equivalent executive,
- 2) represent another legal entity which is a trustee of the foundation

The beneficial owner could also be the person for whose benefit the foundation is trading, if he or she according to the decree of the foundation can get a substantial part of the funds distributed by the foundation.

### Signature

I hereby acknowledge that all questions are answered correctly and certify that I shall update any subsequent changes by submitting an updated know your customer form.

Place/ Date	Signature	Name in block letters
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### Signature if more than one guardian

Place/ Date	Signature	Name in block letters
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