



Nordic Equities

CUSTOMER APPLICATION

This application shall be sent in original to Nordic Equities Kapitalförvaltning AB, Grev Turegatan 13B, Box 7238, 103 89 Stockholm, SWEDEN, or by email to mail@nordeq.se along with the documents specified below. After we have received a complete customer application, we will send you a customer identification number – which shall be used when completing the purchasing form and when transferring payments.

PERSONAL/CORPORATE INFORMATION

Name / Corporation		Personal identification no./ Corporate id. number	
Address		Postal code	City
Country (if other than Sweden)	Residence for tax purposes (if other than Sweden)	Foreign tax ID	
Contact	Telephone (inc. area code)	E-mail address	

ACCOUNT – FOR FUTURE PAYMENTS

Bank name	Account number (IBAN) PLEASE NOTE! The account must be registered on the holder of fund units. (This apply also to minors.)
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GUARDIANS, IN CASE OF MINORS

Name of guardian	Personal identification no. of guardian
Name of guardian	Personal identification no. of guardian

REPORTS

I/we wish to receive the semi-annual and annual reports:

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CUSTOMER IDENTIFICATION NUMBER

The customer number is sent by e-mail, if nothing else is specified. Please send my customer number via regular mail:

☐

DOCUMENTS TO ENCLOSE – PRIVATE INDIVIDUAL

Please enclose a certified copy of a valid identification document. For minors, this applies to all guardians. Upon certification, the person certifying the document shall include signature, full name, and address or telephone number. If you are a guardian – please attach a copy of your own valid identification documents and a copy of the documentation that validates that you are the guardian of the person. If you represent the account of a person without being a guardian – please attach a copy of your own identity documents and a copy of a written power of attorney, identity document or equivalent.

DOCUMENTS TO ENCLOSE – LEGAL PERSON

- Documentation certifying that the representative is authorized to represent the legal person, e.g. current registration documentation (no older than a month), list of signatories or protocol.
- A certified copy of valid identification documents for the signatory. Upon certification, the person certifying the document shall include signature, full name, and address or telephone number.

MANDATORY CLIENT QUERIES

The Money Laundering and Terrorist Financing (Prevention) Act (2017:630) entail that Nordic Equities Kapitalförvaltning AB needs to obtain information about clients to attain customer familiarity. Foreign Account Tax Compliance Act (FATCA) puts upon financial institutions to provide Internal Revenue Services (IRS) with documentation for tax assessment for individuals or entities that are subject to US taxation. Therefore, we ask you to complete the following questions. Listed companies within EES and banks within EES do not need to answer these questions.

1. What is the purpose and character of your business connection with Nordic Equities Kapitalförvaltning?

☐ Savings

☐ Other, please specify:

2. On whose account is the investment made?

☐ My own

☐ Other, please state principal, address and personal identification no. or corporate id. no.



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Continuation, customer application

3. Where does the money you invest in Nordic Equities' funds come from?

<input type="checkbox"/> Saving	<input type="checkbox"/> Gift/inheritance/donation	<input type="checkbox"/> Investments	<input type="checkbox"/> Insurance	<input type="checkbox"/> Sale of real estate
<input type="checkbox"/> Salary/pension	<input type="checkbox"/> Receipts from business	<input type="checkbox"/> Sale of business	<input type="checkbox"/> Other, please specify:	

4. What is your investment horizon?

<input type="checkbox"/> Short term (<2 years)	<input type="checkbox"/> Medium term (2–5 years)	<input type="checkbox"/> Long term (>5 years)
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5. To what amount do you estimate an average transaction?

<input type="checkbox"/> <500.000 SEK	<input type="checkbox"/> 500.000–5.000.000 SEK	<input type="checkbox"/> >5.000.000 SEK
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6. How often will you, at a rough estimate, realize transactions in Nordic Equities' funds?

<input type="checkbox"/> Monthly or more often	<input type="checkbox"/> Several times per year	<input type="checkbox"/> 1 time per year	<input type="checkbox"/> More seldom
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7. For individuals:

Are you, or have you been in an exposed political position during the past 18 months?

Among others, the positions listed below are examples of exposed political positions:

- Head of State, head of government, minister, deputy minister (or equivalent)
- Member of parliament/member of a legislature
- Member of the governing body of a political party
- Member of a supreme court, constitutional court or other high-level judicial bodies, the decisions of which are not subject to further appeal, except in exceptional circumstances
- Member of courts of auditors or of the boards of central banks
- Ambassador, chargés d'affaires and high-ranking officer in the armed forces
- Member of the administrative, management or supervisory bodies of State-owned enterprises
- Directors, deputy directors and members of the board or equivalent function of an international organisation (e.g. UN, UN related organizations, Council of Europe, NATO and WTO)

<input type="checkbox"/> No, I/we am/are not in, and have not been in a politically exposed position	<input type="checkbox"/> Yes, I/we am/are, or have been in a politically exposed position. (explain in the table below)
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Function	Country	Period

8. For individuals:

Are any of the following to you close/associated persons in a politically exposed position given the definition above?

- Spouse, brother, sister or by national law equal person
- Common-law partner
- Child, spouse of child or common-law partner of child
- Parent
- Close business associate

<input type="checkbox"/>	No	<input type="checkbox"/>	Yes, explain in the table below
<input type="checkbox"/>	No	<input type="checkbox"/>	Yes, explain in the table below
<input type="checkbox"/>	No	<input type="checkbox"/>	Yes, explain in the table below
<input type="checkbox"/>	No	<input type="checkbox"/>	Yes, explain in the table below
<input type="checkbox"/>	No	<input type="checkbox"/>	Yes, explain in the table below

Name	Relation	Function	Country	Period

9. For individuals:

Are you a citizen or resident of the U.S.? Or for other reasons subject to US taxation?

<input type="checkbox"/> No	<input type="checkbox"/> Yes, fill in you Tax Identification Number (TIN):
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Nordic Equities

10. For individuals/legal persons and representatives and beneficial owners of the legal person:

Are you a citizen of any of the countries below?

☐ No ☐ Yes

1. Afghanistan
2. Barbados
3. Burkina Faso
4. Cambodia
5. Cayman Islands
6. Democratic People's Republic of Korea
7. Haiti
8. Iran
9. Jamaica
10. Jordan
11. Mali
12. Morocco
13. Myanmar
14. Nicaragua
15. Pakistan
16. Panama
17. Senegal
18. South Sudan
19. Syria
20. Philippines
21. Trinidad and Tobago
22. Uganda
23. Vanuatu
24. Yemen
25. Zimbabwe

11. For legal persons:

Is the entity:

– Registered in the U.S.?

☐ No
☐ No
☐ No

– A financial institution?¹

☐ Yes*
☐ Yes*
☐ Yes*

– An excepted beneficial owner², or an active non-financial entity³?

**A compliance officer from Nordic Equities Kapitalförvaltning may contact you for additional information*

12. For legal persons:

Please list all direct/indirect natural proprietors with shares in excess of 25 % as well as natural persons with a controlling influence (beneficial owner). For noncharitable foundations, or similar, please state information about future beneficiaries or natural persons in whose interest the foundation has been established or operates.

Name	Address	Personal Identification	Share in %

☐ No one possess a share over 25%, or a controlling influence

☐ Charitable foundation, or association

If the legal person does not have a beneficial owner, we must, according to regulations, appoint an alternative beneficial owner. The Fund Company has adopted as a routine to consider the chairman of the board as the alternative beneficial owner. Please state the name, address, and national identification number of the

¹ An entity that holds/administers financial assets for the benefit of another entity/person

² Pension funds (according to the law (1967:531)), governmental entities, international organisations and central banks.

³ An entity is defined as an active non-financial entity if any of the following is applicable:

- i) More than 50% of its gross income for the preceding calendar year came from sales of products and/or services.
- ii) The entity is owned by the government, state or county.
- iii) The entity's shares are traded on an established stock exchange.



Name	National identification number	Country
Address	Postal code	City

☐ No

Information about Nordic Equities processing of personal data, please read our privacy policy at <http://nordeg.se/om-oss/legal-information/?tab=integritetspolicy>.

Place and Date	Place and Date
Authorized Signature	Authorized Signature
Printed Name	Printed Name

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