



CUSTOMER APPLICATION

This application shall be sent in original to Nordic Equities Kapitalförvaltning AB, Grev Turegatan 7, Box 7238, 103 89 Stockholm, SWEDEN, 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) <small>PLEASE NOTE! The account must be registered on the holder of fund units. (This apply also to minors.)</small>
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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:

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.

DOCUMENTS TO ENCLOSE – LEGAL PERSON

- Documentation certifying that the signatory 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 Swedish Act (2017:630) on Measures against Money Laundering and Terrorist Financing 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?

Myself

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

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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?

Short term (<2 years) Medium term (2-5 years) Long term (>5 years)

5. To what amount do you estimate an average transaction?

<500,000 SEK 500,000-5,000,000 SEK >5,000,000 SEK

6. How often will you, at a rough estimate, realize transactions in Nordic Equities' funds?

Monthly or more often Several times per year 1 time per year More seldom

7. Are you, or have you been in an exposed political position?

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

- State president, prime minister, minister, deputy minister (or equivalent)?
- Member of parliament/member of a legislature?
- Member of the Supreme Court, Constitutional Court or another high court which passes non-appealable verdicts (except in exceptional cases)?
- Judge of a financial court or member of the council of the central bank?
- Ambassador, consul or a high ranked military officer?
- Member of the managing or supervisory board of (majority) state-owned legal entities?

No, I/we am/are not in, and have not been in a politically exposed position Yes, I/we am/are, or have been in a politically exposed position. (explain in the table below)

Function	Land	Period

8. 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 | <input type="checkbox"/> No | <input type="checkbox"/> Yes, explain in the table below |
| - Common-law partner | <input type="checkbox"/> No | <input type="checkbox"/> Yes, explain in the table below |
| - Child, spouse of child or common-law partner of child | <input type="checkbox"/> No | <input type="checkbox"/> Yes, explain in the table below |
| - Parent | <input type="checkbox"/> No | <input type="checkbox"/> Yes, explain in the table below |
| - Close business associate | <input type="checkbox"/> No | <input type="checkbox"/> Yes, explain in the table below |

Name	Relation	Function	Land	Period

9. For private individuals

Are you a citizen or resident of the USA? Or for other reasons subject to US taxation? No Yes, fill in you Tax Identification Number (TIN): _____

10. For legal persons

Is the entity:

- | | | |
|--|-----------------------------|-------------------------------|
| - Registered in the USA? | <input type="checkbox"/> No | <input type="checkbox"/> Yes* |
| - A financial institution? ¹ | <input type="checkbox"/> No | <input type="checkbox"/> Yes* |
| - An excepted beneficial owner ² , or an active non-financial entity ³ ? | <input type="checkbox"/> No | <input type="checkbox"/> Yes* |

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

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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.



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11. Legal persons – Please list all direct/indirect natural proprietors with shares in excess of 25 % as well as natural persons with a controlling influence. For non-charitable foundation, or similar, please state information about future beneficiaries or natural persons in whose interest the foundation has been established or operates.

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

Charitable foundation, or association

Name	Address	Personal identification	Share in %

SIGNATURES

I/we declare that the information given here, that is of importance to taxation and the application of legislation relating to reporting obligations etc, is correct, and that I/we undertake to notify Nordic Equities Kapitalförvaltning AB (The Fund Company) promptly of any changes, e.g. moving abroad and changes of names or/and bank accounts. I/we confirm that the Fund Company is entitled to disclose any information I/we have submitted to the company if any authority should so request. The Fund Company will be processing the information I/we have submitted to the extent this is necessary for the performance of the company's obligations, and the information submitted may be disclosed to and processed by other companies associated with the Fund Company, and I/we understand and give our consent to this.

I/we understand that historical development does not guarantee future return and that the value of fund's units can both rise and fall. Exchange rate fluctuations may result in a rise or fall of the value of units of funds investing in foreign markets. There are no guarantees that an investment will not result in a loss. This applies also when the stock markets otherwise develop in a favourable manner. Each and every person that acquires units in our funds is obliged to make a personal assessment of the investment and the associated risks. Any prospective investor in our funds is obliged to ensure that the investment complies with all applicable laws and regulations, Swedish as well as foreign. The Fund Company is under no obligation to ascertain whether an investment from abroad complies with the laws of the relevant country.

I/we understand that the Fund Company does not provide financial advice as referred to in the Swedish Financial Advice to Consumers Act (*lagen om finansiell rådgivning till konsumenter*) (SFS 2003:862), and I/we furthermore confirm that I/we have not instructed Nordic Equities Kapitalförvaltning to provide any such advice.

I/we furthermore understand that the Fund Company, in accordance with the law about money laundering (SFS 2017:630) has no obligation to complete trades if a complete customer application has not been received. Information about Nordic Equities processing of personal data, please read our privacy policy at <http://www.nordeq.se/sv/intagritetspolicy>.

Place and date

Place and date

Authorized signature

Authorized signature

Printed name

Printed name

Do not forget to attach copies of identification and signatory documents