



# 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](mailto: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:

### 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?

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. 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)

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	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 | <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	Country	Period

### 9. For individuals:

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

No     Yes, fill in you Tax Identification Number (TIN):



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**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

  
  

Yes\*  
Yes\*  
Yes\*

- A financial institution?<sup>1</sup>

- An excepted beneficial owner<sup>2</sup>, or an active non-financial entity<sup>3</sup>?

*\*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

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

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

<sup>3</sup> 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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chairman of the board (if no beneficial owner has been specified in the table above). Please also attach a certified copy of a valid identification document. Upon certification, the person certifying the document shall include signature, full name, and address or telephone number.

Name	National identification number	Country
Address	Postal code	City

## 12. For legal persons or agents:

Are, or have any of the persons listed above in question 2 or 12 above, been in a politically exposed position in the last 18 months (see definition above) or a family member or close business associate of such a person?

Yes, (describe below)

No

Name

## 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 Money Laundering and Terrorist Financing (Prevention) Act (2017:630) has no obligation to complete trades if a complete Know-Your-Customer (KYC) form has not been received.

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

***Please attach copies of identification and signatory documents***