

Form for determining the ultimate beneficial owner of the entities in accordance with art. 3 sect. 1 letter a of the Due Diligence Ordinance (form C) incl. tax-relevant details

Note: although for purposes of readability the masculine gender form is used to reference persons in the relevant sections, this is, of course, always deemed to include members of both genders. The same applies to the plural form.

<input type="text"/>	<input type="text"/>
Account holder	Main number
<input type="text"/>	<input type="text"/>
Relationship manager	Contact number
<input type="text"/>	<input type="text"/>
Entity or account holder ¹	Mandate or account number

As beneficial owner in accordance with art. 3 sect. 1 letter a of the Due Diligence Ordinance, the following was determined:

- a natural person who ultimately directly or indirectly holds or controls a share or voting rights amounting to 25% or more of that legal entity or receives 25% or more of the profits of that legal entity
- a natural person who ultimately in another way exercises control over that legal entity
- a natural person who is a member of the governing body if – after having exhausted all possible means and provided that there are no grounds for suspicion – none of the abovementioned persons has been determined

Mr	Ms	<input type="text"/>
		Academic title
<input type="text"/>	<input type="text"/>	<input type="text"/>
Family name		Given name
<input type="text"/>	<input type="text"/>	<input type="text"/>
Addition		Street/number
<input type="text"/>	<input type="text"/>	<input type="text"/>
P. O. Box		Postcode Town or city
<input type="text"/>	<input type="text"/>	<input type="text"/>
Country of domicile		Nationality/nationalities (in the case of dual or multiple nationality, please state all nationalities)
<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of birth		Country of birth

Deliberately providing false information on this form constitutes a criminal offence under the Liechtenstein Criminal Code (Strafgesetzbuch). Any changes must be immediately notified to the person subject to due diligence. In the event of determining a member of the governing body as the beneficial owner, confirmation is provided by way of signature that the clarifications made have not given rise to any circumstances that would have to lead one to conclude that beneficial owners exist holding – notably indirectly – shares, voting rights, ownership interests or profit rights or having control in some other way.

¹ In the case of other designations, the name of the account holder must be stated as a mandatory requirement.



Supplementary section

The purpose of this supplementary section is to determine the tax residency of the controlling persons of a passive non-financial entity (NFE) or of an investment firm located in a non-participating jurisdiction and managed by another financial institution.

Declaration of information relevant for tax purposes

Please list all countries of residence for tax purposes of the individuals mentioned on Form C together with the associated tax identification numbers (TINs) in the table below. Where no information is provided, the individual expressly confirms that the country of residence stated on Form C is their sole country of residence for tax purposes. In these circumstances, the individual must also provide the Bank with a TIN or, if a TIN is unavailable, indicate the reason for this.

Countries of residence for tax purposes (please list all countries)	TIN	Reason why TIN is not available

Declaration

The legal entity acknowledges that it will be obliged to submit the form "Identification of the ultimate beneficial owner of legal entities" in accordance with Article 3(1)(a) of the Ordinance of 17 February 2009 on Professional Due Diligence to Combat Money Laundering, Organized Crime and Terrorist Financing (Due Diligence Ordinance, DDO; Verordnung vom 17. Februar 2009 über berufliche Sorgfaltspflichten zur Bekämpfung von Geldwäscherei, organisierter Kriminalität und Terrorismusfinanzierung, Sorgfaltspflichtverordnung, SPV) (Form C) and the supplementary section of this due diligence form to the Bank within 90 days or by the end of the calendar year, whichever date is later, if any of the information provided in this supplementary section changes.

The legal entity acknowledges that, where the relevant international and national statutory provisions are satisfied, the Bank may be obliged to report information about the legal entity and its banking relationship(s) with the Bank, and about its controlling persons, to the Liechtenstein tax authority, to be passed on to the relevant tax authorities of the country, or countries, of residence for tax purposes.

The legal entity confirms that the information provided in this supplementary section is, to the best of its knowledge, complete and correct. The legal entity acknowledges that the deliberate or negligent provision of false information in this supplementary section, failure to provide information about a change in circumstances and the provision of false information in connection with a change in circumstances are punishable offences under Article 28 para. 3(c) of the AEOI Act.

By signing this supplementary section, the signatory confirms that he/she is authorised to represent the legal entity.

In accordance with Article 4a(2) of the Ordinance of 15 December 2015 on the International Automatic Exchange of Information in Tax Matters (AEOI Ordinance; Verordnung vom 15. Dezember 2015 über den internationalen automatischen Informationsaustausch in Steuersachen, AIA-Verordnung), the legal entity confirms that the contents of this supplementary section comply precisely with the provisions of Article 4a(1) and Annex 4 of the AEOI Ordinance.

Name and position in block letters

Place and date

Signature of the legal entity's authorised representative