ANNEXURE A

Investor Information Sheet

Affidavit — Know Your Customer (KYC)

Investor's transaction code

Purpose of this document

The undertakings below must be given to the Bank so that everything is in place to ensure the proper execution of the obligations concerning verification of the identity of the contracting partner and identification of the beneficial owner, as established in articles 2 to 5 of the Due Diligence Convention (CDB), the Federal Banking Commission circular of December 1991 on the prevention of money laundering and article 305 of the Swiss Criminal Code, together with subsequent additions and revisions.

How to complete this form

1. Complete the form in capital letters, on screen or by hand, following the order of the sections.
2. If more space is needed, continue on a separate sheet, quoting the section number.
3. Sections B1 to B3 are only required in the case of a co-investment (partnership or consortium).
4. Initial each page at the bottom right, then sign and date the final declaration.
5. Attach all the supporting documents listed in section D.

A1 Investor's identity

Legal entity or individual investing the funds.

BUSINESS NAME

INCORPORATION NUMBER

DATE OF INCORPORATION

REGISTERED ADDRESS

BUSINESS ADDRESS

BUSINESS PHONE NUMBER

REPRESENTATIVE OFFICE

CORPORATE E-MAIL

OFFICE PHONE

BUSINESS FAX NUMBER

CHAIRMAN / CEO NAME

NAME OF DIRECTORS

NAME OF SHAREHOLDERS (AND % HELD)

LEGAL REPRESENTATION (LAW FIRM)

LAW FIRM ADDRESS

ATTORNEY

CONTACT PHONE

CONTACT E-MAIL

A2 Details of the investor's funds submitted for investment

Description of the assets and of the bank account on which they are held. The information must match the attached bank statement.

TYPE OF FUNDS / ASSETS

REGISTRATION NUMBER

ISIN / COMMON CODE

AMOUNT / FACE VALUE

CURRENCY

DEPOSITORY BANK NAME

BANK ADDRESS

BANK OFFICER [1]

BANK ID CODE [1]

BANK OFFICER [1] PHONE

BANK OFFICER [2]

BANK ID CODE [2]

BANK OFFICER [2] PHONE

ACCOUNT NAME

ACCOUNT NUMBER / IBAN

BIC / SWIFT CODE

A3 Account signatory

Person authorised to sign on the account holding the funds.

CORPORATE TITLE

FULL NAME

NATIONALITY

DATE OF BIRTH

PLACE OF BIRTH

PASSPORT NUMBER

ISSUING COUNTRY

EXPIRY DATE

ISSUED AT

B1 Co-investor's details

> Only when the investor has formed a partnership or consortium with a third party under contract, and funds may be credited directly from that third party's account, for and on behalf of the investment partnership or consortium, to the investment provider's designated transaction account.

BUSINESS NAME

INCORPORATION NUMBER

DATE OF INCORPORATION

REGISTERED ADDRESS

BUSINESS ADDRESS

BUSINESS PHONE NUMBER

REPRESENTATIVE OFFICE

CORPORATE E-MAIL

OFFICE PHONE

BUSINESS FAX NUMBER

CHAIRMAN / CEO NAME

NAME OF DIRECTORS

NAME OF SHAREHOLDERS (AND % HELD)

LEGAL REPRESENTATION (LAW FIRM)

LAW FIRM ADDRESS

ATTORNEY

CONTACT PHONE

CONTACT E-MAIL

B2 Nature of the partnership / consortium agreement

Briefly describe the arrangement between the investor and the co-investor (e.g. “an investment into the investor’s project on an … basis” or “an investment participation partnership on an … basis”). This is declared so that the compliance department of the transaction bank fully understands the relationship between the parties.

B3 Co-investor’s account signatory

Person authorised to sign on the co-investor’s account.

CORPORATE TITLE

FULL NAME

NATIONALITY

DATE OF BIRTH

PLACE OF BIRTH

PASSPORT NUMBER

ISSUING COUNTRY

EXPIRY DATE

ISSUED AT

C1 Origin of the financial assets

State the lawful origin of the funds by choosing one of the three options below.

☐ **Option 1 — Cash funds**

Our / my financial assets, which total

in words:

in the form of cash funds, were accrued as follows:

☐ **Option 2 — Purchased asset**

Our / my financial asset, which bears a face value of

in words:

which is free and clear of all liens and encumbrances, was purchased on

from Ref. invoice no.

☐ **Option 3 — Other origin**

Briefly explain how the funds were accumulated over time:

D Supporting documents

Tick the documents attached to this form.

A — Investment submission supporting documents

- ☐ **a)** Colour copy of the current bank statement of account showing the subject funds.
- ☐ **b)** Bank confirmation of the investor's signatory control of the account and of the bank's readiness to proceed with the transaction, signed by two bank officers (letter issued by the bank on its own letterhead).
- ☐ **c)** Scanned copies of the bank officers' business cards.
- ☐ **d)** Scanned copy of the passport(s) of the investor / directors.
- ☐ **e)** Board resolution appointing the corporate officer to open accounts, transfer funds and use them for investment purposes (corporations only).

B — Documents for opening the investor's new profit account

These documents may be presented once the transaction has been accepted by the provider.

- ☐ **a)** Certificate of incorporation and articles of association (corporations only).
- ☐ **b)** Recent proof of address (electricity, water bill or rental invoice) matching the home or business address.
- ☐ **c)** List of the board of directors (corporations only).

E Investor's declarations

I, the undersigned _____

have the personal / board-resolved power and authority to invest the subject funds upon satisfactory terms, and have never placed or tried to place the said assets before.

I, the undersigned _____

hereby confirm that I am the owner of the funds / the duly appointed officer of the corporation owning the funds, with full and absolute authority to execute all contracts and agreements relating to a private investment transaction.

F Signature

Avowed, signed and sealed on _____ in (city) _____

(country) _____

for and on behalf of the investor (full corporate name):

_____

AUTHORISED SIGNATURE

NAME _____

TITLE _____

PASSPORT NUMBER _____

ISSUING COUNTRY _____

CORPORATE SEAL / STAMP

Corporate seal / stamp

WITNESS

WITNESS NAME _____

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FILE RECEIVED ON _____

INTERNAL REFERENCE _____

CHECKED BY _____

UNICOM SIGNATURE AND STAMP _____

Decision : ☐ Accepted ☐ Further information requested ☐ Declined

The information collected is processed in strict confidence, solely for compliance verification purposes (KYC, anti-money laundering and counter-terrorist financing) and in accordance with applicable data protection regulations (GDPR). Any inaccurate or incomplete statement may result in the file being rejected.