

FORM K

DETERMINATION OF THE CONTROLLING PERSON(S) OF BUSINESS CLIENTS

(EXCEPT FOR A SOLE PROPRIETORSHIP OR A STOCK EXCHANGE LISTED COMPANY)

Sales partner
Broker
Number

BB Wertmetall AG is a financial intermediary within the meaning of art. 2, section 3 of the Anti-Money Laundering Act (AMLA). Based on art. 4 of the AMLA, BB Wertmetall AG is obliged to obtain a written declaration as to who is/are the economic beneficiary or beneficiaries of the assets traded and/or to be held in safe custody.

Applicant/contracting partner

Company name	UID or VAT registration number or tax identification number
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The applicant/contracting partner, represented by the legally authorised signatory/signatories, hereby declares:

- ☐ that the person(s) listed below hold(s) shares (capital shares or voting rights) in the applicant of 25% or more;
- ☐ or if the shares of capital or voting rights cannot be ascertained or if there are no shares of capital or voting rights of 25% or more, the applicant hereby declares that the person(s) listed below exercise(s) **control over the applicant/contracting partner in another manner**;
- ☐ or if such person(s) also cannot be determined, or such person(s) do not exist, the applicant hereby declares that the person(s) listed below **is/are exercising the management of the company**.

Economic beneficiary 1: name(s)	First name(s)	Date of birth
Tel. (mobile)	E-mail	Nationality
Private: Street, no.	Country code, zip	Private: City/town
		Civil status

Economic beneficiary 2: name(s)	First name(s)	Date of birth
Tel. (mobile)	E-mail	Nationality
Private: Street, no.	Country code, zip	Private: City/town
		Civil status

Economic beneficiary 3: name(s)	First name(s)	Date of birth
Tel. (mobile)	E-mail	Nationality
Private: Street, no.	Country code, zip	Private: City/town
		Civil status

Economic beneficiary 4: name(s)	First name(s)	Date of birth
Tel. (mobile)	E-mail	Nationality
Private: Street, no.	Country code, zip	Private: City/town
		Civil status

Please note: Even in holding structures, the economic beneficiaries of the assets can only be natural persons.

- ☐ Business relationship with a US citizen or US tax liability
- ☐ Applicant has US tax liability ☐ Authorised signatory is US citizen/has US tax liability
- ☐ Economic beneficiary is US citizen/has US tax liability
- ☐ Business relationship with a politically exposed person (PEP) or person close to them
- ☐ Legally authorised signatory is a PEP ☐ Economic beneficiary is a PEP
- ☐ Authorised signatory is a PEP ☐ Person close to one or more of the above groups is a PEP



Holding of assets in trust

- ☐ No. ☐ Yes. The relevant information relating to the economic beneficiary must be supplied by completing a separate Form A to identify the economic beneficiaries/trustors for business clients.

Origin of the assets deposited

Where do the total assets deposited/to be deposited with BB Wertmetall AG come from?

- ☐ Business activities ☐ Investment reserve/reserves ☐ Investment assets ☐ Donations/gifts

Other sources and/or more detailed information

In the event of additional payments from sources other than those stated in this form, the applicant/contracting partner hereby undertakes to send a new Form K to BB Wertmetall AG without being asked to do so.

Reason for the business relationship (please state all reasons for the business relationship with BB Wertmetall AG)

- ☐ Customer acquisition and participation in barter trade ☐ Diversification of assets
☐ Protection against devaluation ☐ Securing of credits

Other sources and/or more detailed information

Compliance with legal regulations

The applicant/contracting partner hereby confirms compliance with the legal provisions applicable to him (including tax laws) with regard to all assets deposited or to be deposited and given into custody with BB Wertmetall AG.

Final declaration of the applicant/contracting partner, represented by legally authorised signatory/signatories

We undertake to notify BB Wertmetall AG of any changes without being asked to do so. We are aware that intentionally filling in this form incorrectly is a punishable offence (Art. 251 of the Swiss Penal Code, forgery of documents; penalty: imprisonment of up to five years or a fine).

Place, date	Signature of legally authorised signatory 1
Place, date	Signature of legally authorised signatory 2

Identification

Please note: Legally authorised signatories and all economic beneficiaries must enclose identification (certified copy of ID, passport or driving licence) together with Form K. This is valid for several transactions – as long as there is no change in physical appearance. BB Wertmetall supports various forms of identification.

Checklist Form K

1 2 1 = Legally authorised signatory 2 = All economic beneficiaries differing from 1

- ☐ ☐ Online identification
- ☐ ☐ ID verification by a notary/public authority or identification by a financial intermediary – For persons residing in Switzerland, 'Yellow identification' vouchers will be provided by any post office on request.
- ☐ ☐ Identification by appointment at the Service Centre of BB Wertmetall AG, Grenchenstrasse 5b, 2504 Biel
- ☐ ☐ Valid identification has already been submitted to BB Wertmetall AG
- ☐ Extract from the Commercial Register/Zefix (if available), or alternatively: ☐ Business registration
☐ Statutes/articles of association
- ☐ Extract from the shares register or list of shareholders ☐ Other proof of economic entitlement
- ☐ First-time submission of Form K ☐ Additions to existing form K (additional persons)
- ☐ Updating of Form K (new sources of newly introduced assets and/or replacement of older documents)
- ☐ Form E (required for an investment target or total commitment incl. other BB Wertmetall products of CHF 100 000 or more, or in the case of Politically Exposed Persons/PEP)

Forms without e-signatures should please be sent in the original to: BB Wertmetall AG, Grenchenstrasse 5b, CH-2504 Biel