



Customer Knowledge Questionnaire

Legal person

The new (swedish) Anti-Money Laundering and the Financing of Terrorism Act (2017:630), which is based on the the Fourth Anti-Money Laundering Directive (2015/849), requires Excalibur Asset Management AB to collect information from customers to obtain customer knowledge. Complete this questionnaire, and in lack of space, please use the back of the paper. Send the questionnaire and other required documents to us. If the documents are faxed or sent by E-mail please be aware that they also have to be sent by mail to Excalibur Asset Management AB in original. You find the address at the bottom of the page.

Simplified customer knowledge measures

Decide if the legal person belongs to be one of the following categories: (A) a limited company whose shares are traded on a market in Sweden, EES or in a corresponding market outside of EES ("listed companies"), (B) The government, counties, municipalities, municipal associations and regional authorities or a legal person over which the government, counties, municipalities, municipal associations and regional authorities, separately or together, have a direct or indirect legal influence in the decision making ("state/municipals/county"), or (C) a financial institute regulated by the above mentioned laws, and is under supervision by the Swedish Financial Supervisory Authority, Finansinspektionen, or an institute that is a resident in EES and therefore is being supervised by a foreign regulator in EES which corresponds to Finansinspektionen.

- (A) Yes, the legal person is a limited company (question 4-7 does not have to be answered)
- (B) Yes, the legal person is a government/municipal/municipal association (question 4-7 does not have to be answered)
- (C) Yes, the legal person is a financial institute under supervision of FI or similar regulator in EES (question 4-5 does not have to be answered)
- None of the above applies (please answer all questions listed below)

1. Name your line of business/business purpose and establishment.

Business: _____

Is the legal person established in a high-risk country/countries outside of EES?

- No
- Yes: _____

2. What is the main purpose with the business relationship/commitment?

- Saving
- Liquidity placement
- Risk allocation
- Value growth
- Nominee registered shares
- Other: _____

3. How often will deposits occur?

- One-off payment
- Regular deposits
- Other: _____



4. Estimated investment horizon?

- Long-term > 5 years Medium-term 1-5 years Short-term < 1 year

5. Estimated average transaction?

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

6. Beneficial owner. Is there any physical person that, directly or indirectly, alone or together with a relative, owns or controls more than 25% of the votes in, or exercise the control over the legal person, i.e. a beneficial owner?

Yes. Please fill out below.

No. Please fill out another alternative, for example Chair of the Board, CEO or equivalent.

Beneficial owner 1:

Name: _____ Personal ID no.: _____

Share of Stock or equivalent (%): _____ Votes (%) or equivalent (%): _____

Tax domicile, more than one option is possible:

Sweden Country: _____ TIN-number: _____

Beneficial owner 2:

Name: _____ Personal ID no.: _____

Share of Stock or equivalent (%): _____ Votes or equivalent (%): _____

Tax domicile, more than one option is possible:

Sweden Country: _____ TIN-number: _____

Beneficial owner 3:

Name: _____ Personal ID no.: _____

Share of Stock or equivalent (%): _____ Votes or equivalent (%): _____

Tax domicile, more than one option is possible:

Sweden Country: _____ TIN-number: _____

Alternative/another beneficial owner

Name: _____ Personal ID no.: _____ Title: _____



7. Is any beneficial owner currently, or have previously been, a Politically Exposed Person (PEP)? Is a beneficial owner a family member or a known coworker of a person who currently is or have been a PEP? A PEP is a person who has or have had one of the Prominent public functions listed below.

Head of state, head of government, minister, deputy or assistant minister, member of parliament, member of supreme court, member of constitutional courts or of other high level judicial bodies (whose decisions are not subject to further appeal, except in exceptional circumstances), member of courts of auditors, member of the board of a central bank, ambassador, chargés d'affaires, high-ranking officer in the armed forces, member of the administrative management or supervisory bodies of state owned enterprises, senior management or equivalent function of an international organization or board member of a political party.

- No. Continue to question no 8.
- Yes. Fill in the person/persons below and answer question 7 a and b.

| Name | Personal ID no | Relationship | Public function | Period |
|-----------------|----------------|--------------|-----------------|--------|
| Person 1: _____ | _____ | _____ | _____ | _____ |
| Person 2: _____ | _____ | _____ | _____ | _____ |

a) What is the origin of the financial resources that is being invested?
 Profit/Revenue Loan Sale of property Other: _____

b) Is the financial resources going to be invested from another country than Sweden?
 No Yes, from _____

8. What type of entity is the legal person?

- Financial Institute Active non-financial entity Passive non-financial entity

9. In which country/countries does the legal person have its tax domicile? More than one alternatives is possible.

- Tax domicile in Sweden
- Tax domicile in other countries (TIN-nummer = Tax Identification Number)
Country: _____ TIN-number: _____
Country: _____ TIN-number: _____

Signature

We hereby certify that the information above is current and correct. We have read, understood and accepted the Fund Prospectus, the Fund Provisions and Fact sheets. We vow to disclose to Excalibur Asset Management AB any new information in the event of any changes or up dates to the details given. We have attached a copy of certification of registration and certified copies of authorized signatories valid IDs.

Date

Signatures

Names in print

Please send us the filled out and signed questionnaire in original together with other requested documents in the mail.

Note that full explanations of the concepts above can be reviewed in the laws: Anti-Money Laundering PTL (2017:630), Registration of Beneficial Owners (2017:631), Identification of Reporting Duty Accounts with regards to the FATCA treaty (2015:62) or other similar legislation.