



# Acceptance questionnaire

## 1. General Information

Legal entity identifier: \_\_\_\_\_

Full legal entity name: \_\_\_\_\_

Company registration number : \_\_\_\_\_

### Description of the company's ownership structure

### Information about your senior management

The data to be provided is that of your CEO  
(or the equivalent function with the power to act as the legal representative of your institution)

FIRST name: \_\_\_\_\_ Middle name: \_\_\_\_\_ LAST name: \_\_\_\_\_

BIRTH (Date): \_\_\_\_\_ BIRTH (Place): \_\_\_\_\_ NATIONALITY: \_\_\_\_\_

### Registered address

Street + number: \_\_\_\_\_

City (Code): \_\_\_\_\_ City (Name): \_\_\_\_\_ Country: \_\_\_\_\_

## Members of your board of directors (or equivalent corporate body)

If a Swedish company, please list the members of the board of directors (or equivalent corporate body).

If a non-Swedish company please provide the official list (either via minutes of shareholders' meeting, annual report, official publications, appointment letters, board resolutions etc.).

FIRST name: \_\_\_\_\_ Middle name: \_\_\_\_\_ LAST name: \_\_\_\_\_

BIRTH (Date): \_\_\_\_\_

FIRST name: \_\_\_\_\_ Middle name: \_\_\_\_\_ LAST name: \_\_\_\_\_

BIRTH (Date): \_\_\_\_\_

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BIRTH (Date): \_\_\_\_\_

## Ultimate Beneficiary

Not required if you or your parent company are listed on a regulated market.

The Ultimate Beneficiary (Sw. verklig huvudman) is the private person who, directly or indirectly, controls the company or a company in the client's ownership chain up to the ultimate parent company. A company is under the control of a private person if said private person e.g. has:

- a) more than 25 percent of the votes in the company (directly or indirectly), or
- b) the right to appoint or remove the majority of the members of the company's board of directors or any equivalent organ.

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Street + number: \_\_\_\_\_

City (Code): \_\_\_\_\_ City (Name): \_\_\_\_\_ Country: \_\_\_\_\_

FIRST name: \_\_\_\_\_ Middle name: \_\_\_\_\_ LAST name: \_\_\_\_\_

BIRTH (Date): \_\_\_\_\_ BIRTH (Place): \_\_\_\_\_ NATIONALITY: \_\_\_\_\_

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## 2. Business

Description of the company's business

Does your company have a financial market license or corresponding authorisation?  Yes  No  N/A

If yes, which entity has granted the authorisation \_\_\_\_\_

## 3. Source of funds

The source of funds of upcoming payments made to Euroclear Sweden or through Euroclear Sweden to the company's underlying investors:

Company's business

Other – If other, please describe the source of funds:

## 4. Anti-money laundering (AML) / Combating terrorist financing (CTF)

Do your AML/CTF policies and procedures cover the entire scope of your activities including securities related services?  Yes  No  N/A

Do you provide mandatory training which includes:

a) Examples of different forms of money laundering, terrorist financing and sanctions violations relevant for the types of products and services offered?  Yes  No  N/A

b) Conduct and culture  Yes  No  N/A

## 5. Anti-bribery and corruption (ABC)

Do you provide mandatory training which includes:

- a) Do you have documented policies and procedures consistent with the applicable ABC regulations and requirements to (reasonably) prevent, detect and report bribery and corruption?  Yes  No
- b) Do you have an enterprise wide programme that sets minimum that sets minimum ABC standards?  Yes  No

## 6. Offences and liabilities

Have you, your ultimate parent company, your senior management, members of the board of directors or main shareholders in the last two years, been:

- a) Subject to civil or criminal penalties stemming from deficiencies in your AML/CTF and ABC sanctions programme?  Yes  No
- b) Mentioned in adverse media/negative media reports, sanction lists or other relevant sources of negative AML or ABC information?  Yes  No

## 7. Sanctions exposure

- a) Do you have a physical presence, e.g., branches, subsidiaries or representative office located in countries or regions against which the UN, OFAC (US) or EU have enacted comprehensive jurisdiction-based sanctions?  Yes  No

If yes, please specify which countries: \_\_\_\_\_

- b) Do you have any business activities in countries or regions against which the UN, FAC (US) or EU have enacted comprehensive jurisdiction-based sanctions?  Yes  No

If yes, please specify which countries: \_\_\_\_\_

## 8. Sanctions certification

The certification below is provided with the purpose of assuring ES that the company's actions will not cause ES or a participant in the VPC system to violate sanctions.

- a) You certify that in all dealings with ES you will comply with EU and UN regulations regarding economic sanctions, as those regulations exist at the time of the service(s) provided by ES to you.
- b) In addition, you also certify that you comply with U.S. sanctions when; the service(s) provided by ES to you contains a U.S. nexus (e.g. transactions involving U.S. persons or the U.S. financial system)
- c) You confirm that you will not directly make use of ES services:
- To support any activities or business with any sanctioned person or entity, or any business activity sanctioned due to connection with any sanctioned country or territory
  - In any other manner that you have implemented the necessary procedures and controls to ensure that there will be no indirect use of ES services that would result in a violation of sanctions

## 9. Contact person for this form

FIRST name: \_\_\_\_\_ Middle name: \_\_\_\_\_ LAST name: \_\_\_\_\_

Email: \_\_\_\_\_ Telephone: \_\_\_\_\_

## 10. Information about material changes

By signing this questionnaire, the company certifies that the information provided in accordance with the above is accurate and that it will inform Euroclear Sweden of any material changes or events that result in the information provided above no longer being accurate:

Name of authorised signatory: \_\_\_\_\_

Title of authorised signatory: \_\_\_\_\_

Place: \_\_\_\_\_ Date: \_\_\_\_\_

Authorised signature

Any information provided by you will be processed in accordance with the EU General Data Protection Regulation (GDPR) and any other applicable national data protection legislation. The personal data will be collected for the purpose of financial crime regulation compliance, as well as for administrative purposes, in accordance with our personal data protection policy. The data will be stored securely and access rights are restricted to Euroclear staff. Should you have any questions about how Euroclear Sweden handles personal data, please contact our Data Protection Officer via [es.dpo@euroclear.eu](mailto:es.dpo@euroclear.eu)