CONFIDENTIAL

|  |  |  |
| --- | --- | --- |
|  | VQF member no. | AMLA File No. |
|  |       |       |
| Identification Form  |

|  |  |
| --- | --- |
| http://www.clipartbest.com/cliparts/KTn/gBA/KTngBAETq.jpeg | *The customer has to be identified on entering into a permanent business relationship or on concluding a cash transaction, which meets the according threshold.*  |

**This form was completed by:**

|  |  |
| --- | --- |
| Full name |       |
| Date |       |

# Information on customer[[1]](#footnote-1)

## The customer is a natural person:

|  |  |
| --- | --- |
| Full name**\*** |       |
| Residential address**\*** |       |
| Telephone |       |
| E-mail |       |
| Date of birth**\*** |       |
| Nationality**\*** |       |
| Identification document**\*** |      **[ ]** [ ]  **Copy enclosed in appendix**  |

**\* mandatory**

For sole proprietorship (supplement to above):

|  |  |
| --- | --- |
| Company name |       |
| Registered office |       |
| Company identification document |       [ ]  **Copy enclosed in appendix** |

## The customer is a legal entity:

|  |  |
| --- | --- |
| Company name**\*** |       |
| Domicile**\*** |       |
| Contact person |       |
| Telephone |       |
| E-mail  |       |
| Identification document**\*** (*not older than 12 month*) |      [ ]  **Copy enclosed in appendix [ ]**  |

**\* mandatory**

# Information on the natural persons who establish the business relationship for legal entities and partnerships

|  |  |
| --- | --- |
| http://www.clipartbest.com/cliparts/KTn/gBA/KTngBAETq.jpeg | *For legal entities and partnerships the identity of the natural persons who establish the business relationship must be verified.*  |

|  |  |  |
| --- | --- | --- |
| Full name\* |       |       |
| Residential address\* |       |       |
| Date of birth\* |       |       |
| Nationality\* |       |       |
| Type of authorisation (signatory of representation)\*  |       |       |
| Identification document\* | [ ]  **Copy enclosed in appendix [ ]**  | [ ] [ ]  **Copy enclosed in appendix [ ]**  |
| Power of attorney arrangements\*  | [ ]  CR extract [ ] [ ] [ ]  Mandate [ ]  Other:       | [ ]  CR extract [ ] [ ] [ ]  Mandate [ ]  Other:       |

**\* mandatory**

# Acceptance of business relationship

|  |  |
| --- | --- |
| Date (conclusion of contract) |       |
| Accepted by | [ ] [ ]  Face-to-face meeting with customer[ ] [ ]  Way of correspondence:[ ] [ ]  authenticated copy of identification document obtained[ ] [ ]  residential address validated |
| Type of correspondence service | [ ] [ ]  to the customer[ ] [ ]  hold at bank[ ] [ ]  to the member[ ] [ ]  to a third party (full name and address):       |
| Language | [ ] [ ]  German [ ]  English [ ] [ ]  French [ ] [ ]  Other:       |
| Further information |       |

# Information on the beneficial owner of the assets and/or controlling person

|  |  |
| --- | --- |
| Establishment of the beneficial owner of the assets and/or controlling person | The customer is: [ ]  a natural person and there are no doubts that this person is the sole beneficial owner of the assets[ ]  an operational legal entity or partnership => VQF doc. No. 902.11 (K)[ ]  a foundation (or a similar construct; incl. underlying companies) => VQF doc. No. 902.12 (S)[ ]  a trust (incl. underlying companies) => VQF doc. No. 902.13 (T)[ ]  all other cases => VQF doc. No. 902.9 (A) |

# Evaluation with regard to embargo procedures/terrorism lists on establishing the business relationship

|  |  |
| --- | --- |
| Verification whether the customer, beneficial owners of the assets, controlling persons, authorised representatives or other involved persons are listed on an embargo-/terrorism list (date of verification/result)[[2]](#footnote-2) |       |

# In the case of cash transactions/occasional customers: Information on type and purpose of business relationship

|  |  |
| --- | --- |
| http://www.clipartbest.com/cliparts/KTn/gBA/KTngBAETq.jpeg | *These details are only necessary for occasional customers, i.e. money exchange, money and asset transfer or other cash transactions provided that no customer profile (VQF doc. No. 902.5) is created* |

|  |  |
| --- | --- |
| Type of business relationship | [ ]  Money exchange [ ]  Money and asset transfer[ ]  Other cash transaction, specify?       |
| Purpose of the business relationship (purpose of service requested) |       |

# Enclosures

|  |  |
| --- | --- |
| [ ] [ ]  | Customer identification documents (or: reference[[3]](#footnote-3) to AMLA File No.:      ) |
| [ ] [ ]  | Identification document of persons establishing the business relationship (or: reference[[4]](#footnote-4) to AMLA File No.:       |
| [ ] [ ]  | Establishing of the beneficial owner of the assets/controlling person (VQF Doc No. 902.9, 902.11, 902.12 or 902.13)  |
| [ ] [ ]  | Customer profile (VQF doc. No. 902.5; only in the case of permanent business relationship and regular customers) |
| [ ] [ ]  | Risk profile (VQF doc. No. 902.4) |

**🡺 This form has to be updated when changes occur.**

1. The customer is the person with whom the member concludes the contract with regard to the financial service provided (civil law). Does the member act as director of a domiciliary company, this domiciliary company is the customer. [↑](#footnote-ref-1)
2. The evaluation must be made at the beginning of the business relationship and has to be repeated in the case of permanent business relationship every time the according lists are updated. [↑](#footnote-ref-2)
3. If the identification document is lists kept in another AMLA-File (in the case of Art. 14 Para 3 SRO-Regulations) a reference to the according AMLA-File is sufficient. [↑](#footnote-ref-3)
4. If the identification document is kept in another AMLA-File (in the case of Art. 14 Para 3 SRO- Regulations) a reference to the according AMLA-File is sufficient. [↑](#footnote-ref-4)