

# Form K

For the determination of the Controller in operationally active legal entities and partnerships

Client number

---

Company and domicile of contractual partner

---



---



---

## 1. Stock exchange listing

- The contractual partner hereby declares that it is itself listed on a domestic or foreign stock exchange or is majority-controlled by such a company and that – in the case of a listing on a foreign stock exchange – the stock exchange trading regulations with regard to disclosure requirements are comparable to the Swiss requirements.

**If you have made the declaration in accordance with Point 1, you do not need to complete the form any further apart from signing it. If not, continue with Points 2 and 3 below.**

## 2. Controller

The contractual partner hereby declares that the natural person(s) listed below are deemed to be the Controller(s) (A, B and C are alternative categories, therefore only one check can be made):

- A** The natural person(s) hold(s) capital or voting shares of 25% or more in the contractual partner (directly or indirectly, alone or in concert with third parties); or
- B** if the capital or voting interests cannot be determined or if there are no capital or voting interests of 25% or more: the natural person(s) otherwise exercise(s) control over the contractual partner; or
- C** if these natural person(s) cannot be identified either: the natural person(s) exercise(s) the management at the contractual partner.

Surname, first name

Date of birth

Residential address

---

Nationality

---

Surname, first name

Date of birth

Residential address

---

Nationality

---

Surname, first name

Date of birth

Residential address

---

Nationality

---

Surname, first name

Date of birth

Residential address

---

Nationality

---

## 3. Third party

- The contractual partner hereby declares that a third party is beneficially entitled to the assets used for the payment of interest, amortisation, deposits and other claims based on the leasing credit or trade finance contract and that it consequently holds these assets in trust. In this case, "Form wB" must also be completed in addition to "Form K". Please request these from ALPHERA Financial Services.

The contractual partner undertakes to report any changes without being asked to do so.

City and date

Surname, first name in block capitals

Legally valid signature

**Intentionally providing false information on this form is a criminal offence (forgery of documents pursuant to Art. 251 of the Swiss Penal Code).**