



## APPLICATION FORM

*To be able to register you as a customer, Max Mitteregger Kapitalförvaltning AB (the "Company") needs to receive this application form along with the documents specified below. Please note that in accordance with the provisions of the Swedish Act on Measures against Money Laundering and Terrorist Financing (2009:62) we are unable to administer investments without a complete application form including all requested documents.*

Subscriptions can only be made on the last business day of each calendar month. Your completed application form (including all requested documents) must be received by the Company no later than three business days before the date of subscription. The subscription amount shall be paid without any notice from Max Mitteregger Kapitalförvaltning AB. If the subscription amount has not been paid before the subscription date, the investment will be cancelled and the amount will be repaid. Payments shall be made to the bank account **SEB 5565-10 083 81**. When crediting the amount, please specify name/company name and/or personal/corporate identification number.

*Full name	*Social security number/ Corporate register number
*Postal Address	*Telephone number daytime (incl. area code)
*Zip code and city	*E-mail
*Country (if other than Sweden)	*Residence for tax purposes (if another country than Sweden)
*Legal guardian's name (if applicable)	*Legal guardian's personal identification number (if applicable)
*Legal guardian's social security number (if applicable)	*Legal guardian's social security number (if applicable)
*Subscription amount	
*Bank account incl. clearing no. (for payment of any dividend and redemption amount)	*Bank

*\* required information*

### **INFORMATION ACCORDING TO FATCA – OBLIGATION TO PAY TAXES IN THE UNITED STATES**

FATCA (Foreign Account Tax Compliance Act) imposes an obligation on financial institutions worldwide to report the taxable amount to the Internal Revenue Services (IRS) of persons who are liable to pay tax in the United States, so called U.S. Persons. The Company is therefore obligated to ascertain whether it will have reporting obligations regarding you as a customer.

#### **Natural person/Beneficial owner<sup>1</sup>**

Are you liable to pay tax in the United States because of citizenship or another connection?<sup>2</sup>

Yes     No

<sup>1</sup> Any natural person who ultimately control the customer through direct/indirect ownership or the holding of voting rights in excess of 25 percent.

<sup>2</sup> This applies to persons born in the United States, persons who have an address in the United States or a "green card" (permanent residence permit) in the United States, or a U.S. citizenship.



If "Yes", please specify your TIN-number: \_\_\_\_\_

**Legal person**

Is the legal person investing in the fund registered in the United States?

Yes  No

If "Yes", please specify the legal person's TIN-number: \_\_\_\_\_

Is the legal person a financial institution?

Yes  No

If "Yes", please specify the financial institution's GIIN-number: \_\_\_\_\_

Is the legal person an exempt beneficial owner or an active non-financial entity?<sup>3</sup>

Yes  No

**DOCUMENTS TO BE ENCLOSED**

**For private investors:**

- a certified and dated copy of a valid ID document (e.g. a valid driving license, certified ID card or passport)
- a complete customers questionnaire
- a certified and dated copy of the legal guardian's valid ID documents if the application regards a minor

**For legal entities:**

- a certified copy of the legal entity's certificate of registration (printed no more than three months ago)
- a certified copy of the contact person's valid passport or ID document
- a complete customers questionnaire
- a certified power of attorney if the contact person is not authorized to sign on behalf of the legal person
- a document (certified excerpt from a register of shareholders or equivalent document) listing owners/shareholders with shareholdings of 25 percent or more

**For Financial institutions under supervision:**

- a certified and dated copy of a valid ID document (e.g. a driving license, certified ID card or passport) for the authorized signatories and actual principals
- a certified and dated copy of the legal entity's certificate of registration (printed no more than three months ago)
- a current signature list
- a complete customers questionnaire

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<sup>3</sup> Legal entities who are subject of U.S. taxes include inter alia companies that are registered in the United States. The Company is obligated to identify what kind of business a customer conduct. At first, the Company shall identify whether the customer is a financial institution (a credit institution, a securities company, a fund management company or any other type of company that owns and/or manages financial assets of another entity). If a legal entity is not a financial institution, the Company shall investigate if the legal entity is an exempt beneficial owner or an active or passive non-financial entity. An exempt beneficial owner is for example a pension trust/fund under The Swedish Pension Protection Act (1967:531) (Swedish: lagen (1967:531) om tryggnad av pensionsutfästelse m.m.), foreign governments, authorities and international organizations.

A legal entity is defined as an active non-financial entity if one of the following conditions are met: (1) at least 50 % of the legal entity's net income before tax deductions derives from sales of products and/or services under the foregoing financial year; (2) the legal entity is owned by a state, municipality or county; (3) the legal entity's or the group's shares are traded on a regulated market place. Foundations, non-profit associations or registered religious associations established for public purposes are also to be considered as active non-financial entities.

A legal entity that is not considered as an exempt beneficial owner or an active non-financial entity is considered to be a passive non-financial entity. Such legal entity shall provide information on its beneficial owners (see note 1) provided that such beneficial owners are liable to pay tax in the United States. Further information regarding FATCA is available at <http://www.regeringen.se/sb/d/108/a/250426> and <https://www.skatteverket.se/foretagorganisationer/sjalvservice/svarpavanligafragor/fleromraden/foretagovrigtfaq/fatcavadardet.5.64a656d113f4c7597011335.html>



a certified power of attorney if the contact person is not authorized to sign on behalf of the financial institution

*Please note that if the required ID documents have not been received the issuance of fund units may be delayed or cancelled.*

### Signature

I/we declare that any information provided herein that is of importance to taxation, the application of legal provisions relating to reporting obligations etc. is correct and I/we undertake to promptly notify Max Mitteregger Kapitalförvaltning AB of any changes thereof, e.g. moving abroad and changes of names, addresses or bank accounts. I/we declare that I/we have read, understood and accepted the fund rules and the information about the fund provided in Gladiator's information brochure. I/we confirm that the Company relies on the information provided in this application form and that the Company is entitled to extradite this information upon request from a public authority. I/we understand and consent to that the Company will process my/our personal data (information provided both by me/us as well as information that may be obtained from elsewhere) to the extent necessary for performance of this agreement and in relation thereto and for the fulfillment of the Company's legal obligations, as well as that the personal data may be disclosed to and processed by companies to which the Company has outsourced operations. I/we furthermore understand and consent to that the Company will process my/our personal identification number as a customer number. I/we furthermore understand and consent to that the Company will use my/our social security number for the purpose of providing me/us with information.

Place and date

\_\_\_\_\_

Signature

\_\_\_\_\_

Name in print

\_\_\_\_\_

Legal guardians name and signature (if applicable)

\_\_\_\_\_

Legal guardians name and signature (if applicable)

\_\_\_\_\_

Gladiator is a special fund according to the Swedish Alternative Investment Fund Managers Act (2013:561). Gladiator is therefore not to be referred to as an UCITS-fond. The investor is responsible for that the investment in Gladiator complies with the current Swedish and foreign laws and regulations. Foreign law may prevent investors outside of Sweden from investing in the fund. The Company is not in any way responsible for ascertaining whether any investment from abroad complies with the laws of the relevant country. Disputes regarding the fund shall be determined in accordance with the Swedish law and exclusively by a Swedish court. There is no guarantee that an investment in the fund will give a return, in spite of a positive trend in the financial markets. Historical performance is no guarantee for that the fund will have a positive performance in the future. An Investment in the fund should be viewed as a long-term investment.

Please post the subscription form including other documents to  
Max Mitteregger Kapitalförvaltning AB  
Box 7472, 10392 Stockholm  
or  
Fax to 08-54504849



## CUSTOMER QUESTIONNAIRE

*According to the Swedish Act on Measures against Money Laundering and Terrorist Financing (2009:62) Max Mitteregger Kapitalförvaltning AB is subject to regulatory requirements. Under the law, Max Mitteregger Kapitalförvaltning AB is required to collect certain information from all new customers to improve its customer due diligence. Max Mitteregger Kapitalförvaltning AB would therefore like to request that you fill in the following questionnaire and send it to us along with the specified documents. Please note that without a complete form, we cannot register you as a customer.*

### **1. As a customer, do you belong to any of the following categories?**

1.1 A Swedish government agency; An institution domiciled in the EEA that is engaged in banking or financial activities; An institute domiciled in the EEA that is engaged in life insurance activities; An institute with domicile in the EEA that is engaged with securities activities; an institute domiciled in EEA that is engaged in financial or deposit-taking activities subject to a requirement of notification or application to the Swedish Financial Supervisory (Finansinspektionen); An institution domiciled in the EEA that is engaged in insurance brokerage activities; An institution domiciled in the EEA that is engaged in the issuance of electronic money; An institution domiciled in the EEA that is engaged in fund management activities; An institution domiciled in EEA that is engaged in activities as a payment institution; An institution domiciled in EEA that is engaged in activities as an alternative investment fund manager; An institution domiciled in EEA that is engaged in activities as referred to in The Swedish Act “lagen (2014:275) om viss verksamhet med konsumentkrediter”.

1.2 An institution engaged in any of the activities listed in Section 1.1 that is domiciled in a non-EEA state which have equivalent regulations on measures for the prevention of money laundering and terrorist financing and have an effective supervisory system for ensuring compliance with the regulations.

1.3 A company domiciled in the EEA whose transferable securities are traded on a regulated market.

1.4 A company domiciled outside the EEA whose transferable securities are traded in an equivalent manner and are subject to equivalent disclosure requirements as companies described in Section 1.3 above.

*If any of the above alternatives apply to you as a customer, please go straight to the signature section on the last page (Section 9). If none of the above alternatives apply to you as a customer, please answer the following questions.*

### **2. Which of the following alternatives best describes your purpose in becoming a customer of Max Mitteregger Kapitalförvaltning AB and investing in our products?**

- Regular savings, e.g. through monthly investments
- Risk diversification
- Other – please specify: \_\_\_\_\_

### **3. What is your investment horizon?**

- Long-term investment (> 5 years)
- Medium-term investment (1-5 years)
- Short-term investment (< 1 year)

### **4. How large do you estimate that your average transactions in Max Mitteregger Kapitalförvaltning AB products will be?**

- < SEK 500,000
- SEK 500,000–1,000,000
- > SEK 1,000,000

### **5. How frequent do you estimate that you will make transactions to Max Mitteregger Kapitalförvaltning AB's products?**

- Once a month
- Several times a year
- Once a year
- Less frequent

### **6. Actual beneficial owner. Are you acting as a manager/agent/trustee for another individual, group or unit?**

- No



Yes

If “Yes”, please state the name/company name and personal ID number/corporate number and address of the person on whose behalf you are acting (the actual beneficial owner):

Full name
Personal ID number/ Corporate register number or ID-or passport number*
Address

\* Attach a copy of a valid Passport or ID

Also answer the questions in Section 8 regarding the actual beneficial owner

### 7. Legal entities

**For customers that are legal entities, information about the customer’s ownership and control structure must be provided.**

(Legal entities whose shares are traded on a regulated market are exempted). Please state the names, addresses and personal ID numbers of all owners who, directly or indirectly, hold 25 percent or more of the shares or votes in the legal entity.

Also answer the questions in Section 8 regarding all owners who, directly or indirectly, hold 25 percent or more of the shares or votes in the legal entity.

Name/Company name
Personal ID-number/Corporate register number
Address
Country

Name/Company name
Personal ID-number/Corporate register number
Address
Country

If the legal entity is a foundation, trust or similar institution, please state the names, addresses and personal ID/ Corporate register number/s of future beneficiaries or, alternatively, the names of the natural persons in whose primary interest the legal entity has been established or operates.

Full name
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Personal ID-number/ Corporate register number*
Address
Country

Full name
Personal ID-number/ Corporate register number*
Address
Country

\* Attach a copy of a valid Passport or ID

#### 8. Politically Exposed Persons (PEP)

8.1 If a person wish to invest in Gladiator Max Mitteregger Kapitalförvaltning AB is obliged to investigate whether the investor is a so-called PEP (Politically Exposed Person). PEPs, their family members and closest associates are considered to belong to a customer category where the risk of money laundering is higher than normal. A PEP is a person who has or have had an important public political function in a state or a important position at the head of an international organization.

Are you, or have you had a position as:

- The Heads of State or Government, Minister or Deputy / Assistant Minister
  - Member of Parliament
  - Judge of the Supreme Court, Constitutional Court or other judicial bodies at a high level, whose decisions only in exceptional cases can be appealed
  - Senior official of the audit authority or board member of a Central Bank
  - Ambassador, diplomatic envoy or high officer in the armed forces
  - Member of a state-owned company's administrative, management or supervisory
  - A Position at the head of an international organization (e.g. U.N., NATO, WTO)
- No.** *If the answer is no, please move on to the next question.*
- Yes.** *If the answer is yes, please specify the information below*

Name
Country
Function
Personal ID-number, ID-number or Passport number
Period

Name
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Country
Function
Personal ID-number, ID-number or Passport number
Period

**8.2 Are you a family member or a close associate to a person who is or has been in a position as:**

- The Heads of State or Government, Minister or Deputy / Assistant Minister
- Member of Parliament
- Judge of the Supreme Court, Constitutional Court or other judicial bodies at a high level, whose decisions only in exceptional cases can be appealed
- Senior official of the Audit authority or board member of a Central Bank
- Ambassador, diplomatic envoy or high officer in the armed forces
- Member of a state-owned company's administrative, management or supervisory
- A Position at the head of an international organization (e.g. U.N., NATO, WTO)

**A family member is referred to as one the following:**

- Spouse
- Partner considered by national law to be equivalent with spouse
- Partner, as defined in Sambolagen (2003:376)
- Children or childrens spouse
- Parent

**An associate is referred to as one the following:**

- Natural person who has a close connection with a person in a political exposed position e.g. by being a legal entities actual principal together with such person

- No.** If the answer is no, please move on to the next question.
- Yes.** If the answer is yes, please leave the information below.

Name
Country
Function
Relation
Personal ID- number and ID-number or passport number
Period

Name
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# Gladiator

Country
Function
Relation
Personal ID- number and ID-number or passport number
Period

## 9. Certification

*I hereby certify that the above provided information is accurate. I undertake to submit new information to Max Mitteregger Kapitalförvaltning AB in case of any changes.*

\_\_\_\_\_  
Place and date

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Printed name