



## Subscription form – Legal entity

*To be able to register you as a customer, Max Mitteregger Kapitalförvaltning AB (the “Company”) needs to receive this subscription 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 (2017:630) as well as Swedens implementation acts adopted to implement the Organisation for Economic Co-operation and Development’s (OECD’s) Common Reporting Standard (CRS) and US Foreign Tax Account Compliance Act (FATCA) we are unable to administer investments without a complete subscription form including all requested documents.*

A subscription in the fund can only be made on the last business day of each calendar month. Your completed subscription 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 the Company. If the subscription amount has not been transferred in due time, the subscription will be cancelled and the transferred amount will be returned. The investment amount shall be transferred to the bank account SEB 5565-10 083 81. When transferring the amount, please specify your name and social security number.

### 1. CUSTOMER INFORMATION (Please text)

*Full name	*Organisation 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)
*Subscription amount	
*Bank account incl. clearing no. (for payment of any dividend and redemption amount)	*Bank

\* required information

The above address is other than customer’s registered address. Reason: \_\_\_\_\_

### 2. BENEFICIAL OWNERS

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 social security 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 [Appendix 1](#) regarding all owners who, directly or indirectly, hold 25 percent or more of the shares or votes in the legal entity.

Name	Social security number	Ownership share (%)
Address	Zip code and city	Country
Name	Social security number	Ownership share (%)
Address	Zip code and city	Country
Name	Social security number	Ownership share (%)
Address	Zip code and city	Country

Please attach a certified copy of a valid Passport or ID for all of the above stated owners.

If the legal entity does not have a beneficial owner as defined above, we have to appoint a natural person to be considered beneficial owner according to the Swedish Act on Measures against Money Laundering and Terrorist Financing (2017:630). Max Mitteregger Kapitalförvaltning AB has adopted as routine to consider CEO as the beneficial owner. Therefore, we need to identify this person.

**Subscription form is sent to:**  
**Postal address: Max Mitteregger Kapitalförvaltning AB, Box 7472, 103 92 STOCKHOLM**  
**E-mail: [fondorder-gladiator@mittkap.se](mailto:fondorder-gladiator@mittkap.se)**  
**Fax : 08-545 048 49**



Please state name, address and social security number for the CEO below.

Name	Social security number
Registered address	Zip code and city

If the legal entity is a foundation, trust or similar institution, please state the names, addresses and social security number / 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 in favour of.

Name/Company name	Social security number /Corporate register number
Address	Zip code and city
Name/Company name	Social security number /Corporate register number
Address	Zip code and city

Please attach a certified copy of a valid passport or ID for all persons above.

### 3. REPRESENTATIVE

Name	Social security number
Name	Social security number

Please attach a certified copy of a valid Passport or ID for all persons above.

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## 4. OBLIGATION TO PAY TAXES IN ANY OTHER COUNTRY THAN SWEDEN

### 4.1 Is the legal person investing in the fund registered in another country than Sweden or in the United States?

Yes  No

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

### 4.2 Is the legal person a financial institution?

Yes  No

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

### 4.3 Is the legal person an exempt beneficial owner or an active non-financial entity?<sup>1</sup>

Yes  No

### 4.4 Are any of the beneficial owners of the legal entity liable to pay tax in the United States or in any other country than Sweden?

Yes  No

If "Yes", please specify country and tax number (TIN) below.

Country: \_\_\_\_\_

Tax number (TIN): \_\_\_\_\_

## 5. CUSTOMER QUESTIONNAIRE

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

- The customer is a state, county or government agency or equivalent, or a legal entity over which a state, government agency or county has a controlling influence.
- The customer is domiciled in the EEA.
- The customer is an institution 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 similar to the ones in Sweden.

- The customer is a company domiciled in the EEA whose transferable securities are traded on a regulated market.
- The customer is active in a cash intensive business
- The customer is a legal entity which has nominal shareholders or shares issued to the owner
- The customer is a legal entity, a trust or a similar legal construction which aims to manage a certain natural person's assets.

### 5.2. Which of the following alternatives best describes your purpose with the investment?

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

### 5.4. What is the investment horizon of the legal entity?

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

### 5.3. 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

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

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- Once a month  
 Several times a year

- Once a year  
 Less frequent

### 5.5. Politically Exposed Persons (PEP)

5.5.1 Are you, or have you in the last 18 months had a position as:

- The Heads of State or Government, Minister or Deputy / Assistant Minister  
 Member of Parliament  
 Member of the Board of a political party  
 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 in [Appendix 1](#)*

5.5.2 Are you a family member or an associate to a person who is or has been in one of the positions above? The definition of a family member or an associate is in the information below.

**No.** *If the answer is no, please move on to the next question.*

**Yes.** *If the answer is yes, please specify the information in [Appendix 1](#)*

## 6. CERTIFICATION

<ul style="list-style-type: none"><li>• 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</li><li>• I/we undertake to promptly notify The Company of any changes thereof, e.g. moving abroad and changes of names, addresses or bank accounts.</li><li>• 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.</li><li>• I/we confirm that the Company relies on the information provided in this subscription form and that the Company is entitled to extradite this information upon request from a public authority.</li><li>• The Company does not provide any financial advice as described in the Swedish Act (2003: 862) on financial advice to consumers. By signing this subscription form, I / We have not instructed The Company to provide such advice nor can it be obtained from The Company.</li><li>• I/we understand 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 fulfilment 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.</li><li>• I / We confirm that the purpose of the business relationship is fund-saving.</li></ul>	
Place and date	Signature

## DISCLAIMER

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, despite 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.

The Company may due to regulatory demands be forced to deny a subscription in Gladiator, for example if this form is not completely filled in or if any other documents have not been handed to us. If we need to repay the subscription fee, it will be transferred to the account we received it from, or to the account specified in the subscription form.

## DOCUMENT TO BE ENCLOSED

- A certified and dated copy of a valid ID document (e.g. a valid driving license, certified ID card or passport)
- A registration certificate or another similar document no older than 2 months
- A power of attorney, a proxy document, a letter of appointment, whichever applies, for the representative, if other than an authorized signatory according to the registration certificate.
- A ledger extract or other document providing information on ownership (25 percent or more of share capital and/or voting rights in the legal person)

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## INFORMATION AND DEFINITIONS

Please note that in accordance with the provisions of the Swedish Act on Measures against Money Laundering and Terrorist Financing (2017:630) we are unable to administer investments without a complete subscription form including all requested documents. The subscription form shall be sent to The Company in original.

The Company will, in order to fulfil its obligations according to this agreement as well as other legal obligations mandatory for the Company, process personal data related to this agreement. For more information on personal data processing, please refer to the Personal Data Integrity Policy on the Company's website.

### Information on tax liability outside Sweden (article 4)

This information is collected due to legislation that has been adopted/changed by Swedish and/or other foreign jurisdiction (including, without restriction, FATCA, CRS, various agreements that aim to improve international tax compliance or other jurisdictions legislation with equivalent significance).

### Financial institution (article 4.2)

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.

### "Exempt beneficial holder" or "active non-financial entity" (article 4.3)

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.

### Beneficial owners' tax liability in the United States or another country than Sweden (punkten 4.4)

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 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/flero/mraden/foretagovrigtfaq/fatcavadardet.5.64a656d113f4c7597011335.html>

### Politically Exposed Persons (PEP) (article 4.5)

If a person wishes to invest in a fond, the fund broker shall, according to the Swedish Act on Measures against Money Laundering and Terrorist Financing (2017:630) 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.

### 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 children's 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.

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#### APPENDIX 1 - Politically Exposed Persons (PEP)

If a person wishes to invest in Gladiator The Company 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.

1 Are you, or have you during the last 18 months had a position as:

- |   |   |
|---|---|
| <input type="checkbox"/> The Heads of State or Government, Minister or Deputy / Assistant Minister  | <input type="checkbox"/> Senior official of the audit authority or board member of a Central Bank       |
| <input type="checkbox"/> Member of Parliament   | <input type="checkbox"/> Ambassador, diplomatic envoy or high officer in the armed forces               |
| <input type="checkbox"/> Member of the Board of a political party   | <input type="checkbox"/> Member of a state-owned company's administrative, management or supervisory    |
| <input type="checkbox"/> Judge of the Supreme Court, Constitutional Court or other judicial bodies at a high level, whose decisions only in exceptional cases can be appealed | <input type="checkbox"/> 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

2 Are you a family member or a close associate to a person who is or has in the last 18 months been in a position as:

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

**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
Personal ID-number, ID-number or Passport number
Period

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