

## Instructions for subscription of units in Pareto Asset Management AB's ("the Fund Company") funds

### 1. Customer Registration Form

Please fill in the attached registration form and email the form to [operations.se@paretoam.com](mailto:operations.se@paretoam.com).

According to the Swedish Act (2017:630) on anti-money laundering and terrorist financing, fund management companies are obliged to collect certain information from its customers to achieve "customer knowledge". All questions need to be answered in the form for an investment to take place.

### 2. Registration

The Fund Company will notify the future shareholder when all documents are approved and that the submitted information, where appropriate, has been verified. For information about how the Fund Company processes personal data, see Pareto Asset Management AB's Privacy Policy at [www.enterfonder.se/om-oss/integritetspolicy](http://www.enterfonder.se/om-oss/integritetspolicy).

### 3. Subscription of fund units

When all documents are approved by the Fund Company, payments can be transferred to the funds bank account at Skandinaviska Enskilda Banken (SEB), according to the table below. Please notify us about the payment by e-mail to [operations.se@paretoam.com](mailto:operations.se@paretoam.com) or by telefax +46-8-790 57 50.

Fund	Bank account number in SEB	BIC	Minimum first investment
Pareto Sverige A	SE83 5000 0000 0585 1104 0331	ESSESESS	SEK 100
Pareto Sverige B	SE42 5000 0000 0585 1111 5080	ESSESESS	SEK 1 000 000
Pareto Sverige C	SE98 5000 0000 0585 1111 3878	ESSESESS	SEK 1 000 000
Pareto Sverige D	SE21 5000 0000 0585 1112 0696	ESSESESS	SEK 100
Pareto Småbolagsfond A	SE86 5000 0000 0585 1110 7401	ESSESESS	SEK 100
Pareto Småbolagsfond B	SE17 5000 0000 0585 1110 7576	ESSESESS	SEK 100
Pareto Småbolagsfond C	SE43 5000 0000 0585 1112 0300	ESSESESS	SEK 100
Pareto Småbolagsfond D	SE04 5000 0000 0556 5825 2644	ESSESESS	NOK 100
Pareto Småbolagsfond E	SE48 5000 0000 0556 5825 2628	ESSESESS	EUR 10
Pareto Micro Cap A	SE81 5000 0000 0556 5110 3716	ESSESESS	SEK 100
Pareto Micro Cap B	SE59 5000 0000 0556 5110 3724	ESSESESS	SEK 100
Pareto Micro Cap C	SE37 5000 0000 0556 5110 3732	ESSESESS	SEK 100
Pareto Micro Cap D	SE48 5000 0000 0556 5113 3313	ESSESESS	SEK 100
Pareto Micro Cap E	SE57 5000 0000 0556 5825 8286	ESSESESS	NOK 100
Pareto Micro Cap F	SE79 5000 0000 0556 5825 8278	ESSESESS	EUR 10
Pareto Räntefond A	SE68 5000 0000 0585 1103 1774	ESSESESS	SEK 100
Pareto Räntefond B	SE20 5000 0000 0585 1110 1314	ESSESESS	SEK 100
Pareto Räntefond C	SE82 5000 0000 0585 1111 3487	ESSESESS	SEK 5 000 000
Pareto Räntefond D	SE60 5000 0000 0585 1111 3495	ESSESESS	SEK 50 000 000
Pareto Räntefond E	SE60 5000 0000 0585 1111 5692	ESSESESS	SEK 5 000 000
Pareto Klimatfokus Ränta A	SE02 5000 0000 0585 1106 3226	ESSESESS	SEK 100
Pareto Klimatfokus Ränta B	SE42 5000 0000 0585 1110 1306	ESSESESS	SEK 100
Pareto Klimatfokus Ränta C	SE02 5000 0000 0585 1111 3991	ESSESESS	SEK 5 000 000
Pareto Klimatfokus Ränta D	SE02 5000 0000 0585 1111 5323	ESSESESS	SEK 50 000 000

#### Information about subscription and redemption of fund units

- Requests for subscription and redemption are binding and may be withdrawn only with the consent of the Fund Company.
- Requests for subscription and redemption must be received by the Fund Company before 3.30 PM Swedish time on regular business days and at the latest at 11.00 AM Swedish time on business day before holiday in order to receive the same unit price as the day the request for subscription and redemption was received by the Fund Company.
- When purchasing units, the settlement amount must be booked on the fund's bank account before 3.30 PM on a regular business day and no later than 11.00 AM on a business day before a holiday.
- If a request for redemption is received by the Fund Company after 3.30 PM Swedish time on an ordinary business day and after 11.00 AM on a business day before holiday the redemption will be settled at the NAV set on the following business day.
- Please send requests for subscription and redemption to [operations.se@paretoam.com](mailto:operations.se@paretoam.com).
- Information about the current calculated price of a unit is published on the Fund Company's website [enterfonder.se](http://enterfonder.se).
- Please note that Pareto Micro Cap is monthly traded. Please see the trading table for Pareto Micro Cap on our website.

## Customer Registration Form

Legal entity name:	Corporate registration No:
Legal form (llc, foundation etc.)	Business:
Turnover:	Geographical area of business and transactions:
Registered address:	Postal Code and City:
Country:	Contact person:
Telephone number:	E-mail:
Webpage address:	Seat of bank:
<input type="checkbox"/> I accept that the Fund Company send me information by e-mail/digital mailbox.	

### Bank account at redemption of units:

Bank:	Clearing number:	Bank account number:
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If the legal person is a foundation, a trust or similar, please supply name, address and personal identity number / corporate registration number of future beneficiaries or persons in whose main interest the legal entity is set up or operates:

Name:	Personal identity No / Corporate registration No:
Citizenship(s):	If a citizen of Russia or Belarus, please state if the person has a residence permit:
Address:	
Occupation:	
Connection to high risk third countries:	

We hereby confirm that the information we provided in the Customer Registration Form and in Customer Knowledge Information are correct and undertake to promptly notify changes to the Fund Company. We confirm that we have read the simplified prospectus and the prospectus for the fund / funds we intend to invest in. We agree that the Fund Company may process our personal data to the extent required for the completion of this contract and to complete the Fund Company's legal obligations. The Fund Company does not provide investment advice. By signing this Customer Registration Form you confirm that you have not commissioned the Fund Company to supply any services as mentioned above and/or get access to any investment advice service at the Fund Company.

.....  
Place and date

.....  
Place and date

.....  
Authorized signatory of the legal entity

.....  
Authorized signatory of the legal entity

.....  
Printed name

.....  
Printed name

Please attach the relevant documents:

- For legal entity, a Registration Certificate (not older than 3 months)
- A certified copy of ID document for authorized signatory of legal entity
- When applicable power of attorney
- When applicable signature list
- For foundations, an extract from the Foundation Register

## Customer Knowledge Information

### Questions regarding the Swedish Act (2017: 630) on measures against money laundering and terrorist financing

**1. Representative;** Are you acting on behalf of a legal entity?

☐ For wholly-owned company ☐ For company with more than one partner ☐ For company whose shares are admitted to trading on a regulated market, so called "listed company". *For listed company question no 2-7 need not be answered.*

**2. Investment form;** In what form will you invest?

☐ Periodic transaction ☐ Single deposit ☐ Other

**3. Transaction interval;** Indicate estimated interval of transactions.

☐ Several times a year ☐ Once a year ☐ More rarely

**4. Average transaction amount;** Indicate estimated transaction level.

☐ < 100 000 SEK ☐ 100 000–200 000 SEK ☐ 200 000–1 000 000 SEK ☐ > 1 000 000 SEK

**5. Investment horizon;** Indicate current investment horizon.

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

**6. Origin;** What is the source of the investment?

☐ Revenue from the company ☐ Sale of company ☐ Sale of property ☐ Other: \_\_\_\_\_

**7. Beneficial owner<sup>1</sup>;** Does the legal entity have owners whose share direct or indirect exceeds 25 per cent (25%) of the shares or the votes in the legal entity?

☐ No ☐ Yes

*If "Yes", please provide information about the owners and their ownership below:*

**The following person/persons owns or controls more than 25 % of the legal entity direct or indirect:**

Name (beneficial owner no. 1):	
Does the person hold, or have held in the recent 18 months, any of the below mentioned positions in Sweden or abroad?	
<input type="checkbox"/> Yes (provide information on what position below)	<input type="checkbox"/> No
<input type="checkbox"/> Head of state or government, ministers and deputy or assistant ministers	
<input type="checkbox"/> Member of parliament	
<input type="checkbox"/> Member of the board of a political party	
<input type="checkbox"/> Judge of the Supreme Court, judge of constitutional courts or of other high- level judicial bodies whose decisions are not subject to further appeal, except in exceptional circumstances	
<input type="checkbox"/> Senior official at auditing authorities or member of governing bodies of central banks	
<input type="checkbox"/> Ambassador, chargés d'affaires or high-ranking officer in the armed forces	
<input type="checkbox"/> Members of the administrative, management or supervisory bodies of state-owned enterprises	
<input type="checkbox"/> A role in the management of an international organization (such as the UN, NATO or EU)	

<sup>1</sup> **Beneficial owner is:** i any individual who ultimately owns or controls the legal entity and/or (ii) the individual on whose behalf a transaction or activity is being conducted. The latter is characterized as a person enjoying the benefits of someone else's action. A beneficial owner is assumed to be the individual who (i) as a result of him or her holding shares or membership interests, directly or indirectly through other legal entities, alone or together with closely related family members, controls more than 25 percent of the total number of votes in the relevant legal entity, (ii) has the right to appoint or remove more than half of the legal entity's directors or equivalent officials, or (iii) may exercise the equivalent control by agreement with the owner, member or the legal person itself, through provisions in the company's articles of association, a shareholders' agreement or similar.

**For trusts, the beneficial owner is assumed to be:** A member of the board of directors, representatives of the trust's trustee, the beneficiary of the trust or the recipient of a substantial part of the funds distributed by the trust.

Is the person a family member och known associate of a person who has, or has had, any of the abovementioned positions?	
"Family member of a politically exposed person" means parent, spouse, registered partner, cohabitant as well as children and their spouse, registered partner, cohabitant.	
"Known associate of a politically exposed person" means:	
1. An individual who, according to what is known or where there are reason to assume, together with a PEP is a beneficial owner of a legal entity or legal construction or in any other way has or has had close connections to a PEP. 2. An individual who, alone, is a beneficial owner of a legal entity or legal construction which, according to what is known or where there are reason to assume, has been established with the purpose of benefiting a PEP.	
"Close connections" means close business ties and other ties which can entail an increased risk of money-laundering and terrorism financing in connection to the known associate.	
<input type="checkbox"/> Yes (provide information on which relationship(s) below)	
<input type="checkbox"/> Parents	
<input type="checkbox"/> Husband/Wife	
<input type="checkbox"/> Registered partner	

<input type="checkbox"/> Cohabitant			
<input type="checkbox"/> Children and their spouses, registered partners or cohabitants			
<input type="checkbox"/> Known associate			
Name:		Personal identity no.:	
Country/Organization:	Position:	Date (from-to):	

Name (beneficial owner no. 2):	
Does the person hold, or have held in the recent 18 months, any of the below mentioned positions in Sweden or abroad?	
<input type="checkbox"/> Yes (provide information on what position below)	<input type="checkbox"/> No
<input type="checkbox"/> Head of state or government, ministers and deputy or assistant ministers	
<input type="checkbox"/> Member of parliament	
<input type="checkbox"/> Member of the board of a political party	
<input type="checkbox"/> Judge of the Supreme Court, judge of constitutional courts or of other high- level judicial bodies whose decisions are not subject to further appeal, except in exceptional circumstances	
<input type="checkbox"/> Senior official at auditing authorities or member of governing bodies of central banks	
<input type="checkbox"/> Ambassador, chargés d'affaires or high-ranking officer in the armed forces	
<input type="checkbox"/> Members of the administrative, management or supervisory bodies of state-owned enterprises	
<input type="checkbox"/> A role in the management of an international organization (such as the UN, NATO or EU)	
Is the person a family member och known associate of a person who has, or has had, any of the abovementioned positions?	
"Family member of a politically exposed person" means parent, spouse, registered partner, cohabitant as well as children and their spouse, registered partner, cohabitant.	
"Known associate of a politically exposed person" means:	
3. An individual who, according to what is known or where there are reason to assume, together with a PEP is a beneficial owner of a legal entity or legal construction or in any other way has or has had close connections to a PEP. 4. An individual who, alone, is a beneficial owner of a legal entity or legal construction which, according to what is known or where there are reason to assume, has been established with the purpose of benefiting a PEP.	
"Close connections" means close business ties and other ties which can entail an increased risk of money-laundering and terrorism financing in connection to the known associate.	
<input type="checkbox"/> Yes (provide information on which relationship(s) below)	
<input type="checkbox"/> Parents	
<input type="checkbox"/> Husband/Wife	
<input type="checkbox"/> Registered partner	

Name (beneficial owner no. 3):	
Does the person hold, or have held in the recent 18 months, any of the below mentioned positions in Sweden or abroad?	
<input type="checkbox"/> Yes (provide information on what position below)	<input type="checkbox"/> No
<input type="checkbox"/> Head of state or government, ministers and deputy or assistant ministers	
<input type="checkbox"/> Member of parliament	
<input type="checkbox"/> Member of the board of a political party	
<input type="checkbox"/> Judge of the Supreme Court, judge of constitutional courts or of other high- level judicial bodies whose decisions are not subject to further appeal, except in exceptional circumstances	
<input type="checkbox"/> Senior official at auditing authorities or member of governing bodies of central banks	
<input type="checkbox"/> Ambassador, chargés d'affaires or high-ranking officer in the armed forces	
<input type="checkbox"/> Members of the administrative, management or supervisory bodies of state-owned enterprises	
<input type="checkbox"/> A role in the management of an international organization (such as the UN, NATO or EU)	

Is the person a family member och known associate of a person who has, or has had, any of the abovementioned positions?
"Family member of a politically exposed person" means parent, spouse, registered partner, cohabitant as well as children and their spouse, registered partner, cohabitant.
"Known associate of a politically exposed person" means: 5. An individual who, according to what is known or where there are reason to assume, together with a PEP is a beneficial owner of a legal entity or legal construction or in any other way has or has had close connections to a PEP. 6. An individual who, alone, is a beneficial owner of a legal entity or legal construction which, according to what is known or where there are reason to assume, has been established with the purpose of benefiting a PEP.
"Close connections" means close business ties and other ties which can entail an increased risk of money-laundering and terrorism financing in connection to the known associate.
<input type="checkbox"/> Yes (provide information on which relationship(s) below)
<input type="checkbox"/> Parents
<input type="checkbox"/> Husband/Wife
<input type="checkbox"/> Registered partner

If "No", please provide information about the representative of the customer that has been appointed beneficial owner below:

**The following person has been appointed beneficial owner of the legal entity:**

Name:	Personal identity No:	Ownership in %:
Registered address:		
Occupation:		
Citizenship(s):		
If a citizen of Russia or Belarus, please state if the person has a residence permit:		
Connection to high risk third countries:		

If the legal entity does not any have beneficial owner due to the circumstances listed above, the Fund Company must, according to the regulations, appoint and identify a person who is to be considered as the beneficial owner of the legal entity. The Fund Company has adopted a routine to consider the Chairman of the Board of the costumer as the beneficial owner. Therefore, we need to identify this person. Please enter the name, address and Personal identity number of the Chairman of the Board below.

**The following person is the Chairman of the Board of the legal entity:**

Name:	Personal identity No:	Ownership in %:
Registered address:		
Occupation:		
Citizenship(s):		
If a citizen of Russia or Belarus, please state if the person has a residence permit:		
Connection to high risk third countries:		

## Tax liability in USA

**Questions regarding the Swedish Act (2015:62) on the identification of reportable accounts due to FATCA Agreement and the Swedish Act (2015:911) on the identification of reportable accounts at automatic exchange of information on financial accounts**

**1. Is the legal entity registered in USA or in another country than Sweden?**

☐ No ☐ Yes

*If "Yes", please supply the legal entity's Taxpayer Identification Number (TIN) and the country of registration.*

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

TIN: \_\_\_\_\_

*If "No", please proceed to the next question.*

**2. Is the legal entity a financial institution<sup>3</sup>?**

☐ No

☐ Yes, please supply GIIN: \_\_\_\_\_

If GIIN is not available, explain why: \_\_\_\_\_

*If "No", please proceed to the next question.*

**3. Is the legal entity an exempted actual holder<sup>4</sup> or an active non-financial entity<sup>5</sup>?**

☐ No ☐ Yes

*If "No", please proceed to the next question.*

**4. Are any of the legal entity's beneficial owner's resident for tax purposes in USA or in other countries than Sweden?<sup>6</sup>**

☐ No ☐ Yes

If "Yes", please supply the name/names of the beneficial owner/owners, residence for tax purposes and the TIN number.

Name: \_\_\_\_\_

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

TIN: \_\_\_\_\_

Name: \_\_\_\_\_

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

TIN: \_\_\_\_\_

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<sup>3</sup> A financial institution is 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.

<sup>4</sup> An exempted actual holder is for instance a pension fund (according to the Swedish Act 1967:531) on Pension Protection. Also authorities and international organisations are exempted actual holders.

<sup>5</sup> A company is defined as an active non-financial entity if any of the following apply;

i) at least 50 percent of the company's earnings before tax came from sales of products and/or services during the previous financial year,

ii) the company is owned by the state, municipality or country,

iii) the company's or the company group's shares are traded on an established marketplace.

The definition of an active non-financial entity also includes foundations, non-profit associations or registered religious communities with public purposes.

<sup>6</sup> A company that is not an exempted actual holder or an active non-financial entity is a passive non-financial entity. For companies that are passive non-financial entities, we need to find out if any of the beneficial owners (i.e. owner whose share exceeds 25 per cent) are taxable in the USA or in other countries than Sweden, so the question regards the legal entity's real beneficial owners.

Domicile for tax purposes in the USA includes persons who are; born in the US, have US address, have "green card" (permanent residence) in the USA, are US citizens, has power of attorney for American natural or legal person, or other tax relation to the USA. With reference to other countries than the USA the question should be answered with "yes" if the beneficial owner is resident in a country other than Sweden.

Pareto Asset Management AB

Regeringsgatan 48, Box 2165, 103 14 Stockholm, Sweden Tel No. +46-8-7905700 Fax No. +46-8-7905750

[www.paretoam.se](http://www.paretoam.se) Company registration number 556573-5114

## Certified copy of Identification document

*Place your ID document/your passport here and take a copy.  
The copy must be certified by another individual on indicated place below.*

Certified to be a true copy of the original:

.....  
Place and date

.....  
Signature

.....  
Printed name

**Please send us the form per email or telefax:**

- Per email: [operations.se@paretoam.com](mailto:operations.se@paretoam.com)
- Per telefax: +46-8-790 57 50



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