

**ANTI MONEY LAUNDERING CHECK – TRADING MEMBER**

**In accordance with the Swedish Act (2017:630) on measures against money laundering and terrorist financing**

With reference to applicable regulations for the financial markets, including the rules on measures against money laundering and terrorist financing, the Swedish Financial Supervisory Authority (Finansinspektionen) has issued special regulations for supervised investment companies. The rules require investment companies to verify the identity of the parties with whom they transact business or for whom they perform transactions in accordance with a specifically prescribed arrangement.

Do you have any questions on how to fill in the form? Please call us on +46 (08)-511 68 000, and we will assist you.

ATS Finans AB	Investment company			Corporate ID number
	<b>Spotlight Stock Market, secondary name of ATS Finans AB</b>			<b>556736-8195</b>
	Address	Postcode	City	Telephone
	<b>Mäster Samuelsgatan 42</b>	<b>111 57</b>	<b>Stockholm</b>	<b>+46 (0) 8-511 68 000</b>

Party	Company name			Corporate ID number
	Authorised signatory (first name and surname)			Personal ID number
	Address			Telephone
	Postcode	Town/City	Country (if not Sweden)	Cell phone
	E-mail			Fax

Beneficial owners*	Natural person (first name and surname)	Personal ID number	Ownership (%)	Share of votes (%)

**NOTE! Companies whose shares are listed on a regulated market do not have to answer the question regarding beneficial owners.**

\* Beneficial owners are:

- Natural persons who, alone or with related persons, ultimately own more than 25 % of the votes in the legal entity.
- Natural persons who, alone or with related persons, has the right to elect or dismiss more than 50 % of the legal entity’s board members or equal executives.
- Natural persons who, alone or with related persons, as a result of agreement with owners, members, the legal entity, regulations in the articles of association, company agreements and/or comparable agreements can control the company in accordance with the above.

**There are no beneficial owners in accordance with the above.** Spotlight Stock Market will therefore consider the company’s Chairman of the Board, CEO or other equivalent executive as the beneficial owner.

If the ownership structure is complex or comprises a number of ownership levels, or the legal entity is owned by a foundation, please provide a diagram of the ownership structure in the box below.

**Control questions relating to measures against money laundering and terrorist financing**

**1. PEP – Politically exposed persons**

Have any of the beneficial owners or any of the company’s representatives (such as the CEO, board members, chairman and/or authorised signatories), any of their employees or any of their immediate family members been a politically exposed person (PEP\*) in the last 18 months?

Yes

No

If the answer is Yes, please specify:

Function: \_\_\_\_\_

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

The persons name and your relationship (if the person who held the function is someone other than the signatory):

\_\_\_\_\_

\* A PEP is a person in a politically exposed position who holds, or has held, an important public function in a governmental or international organisation. This person’s immediate family members and close colleagues should also be treated as PEPs. Examples are heads of state and of government, ministers, judges, ambassadors and members of parliament.

**2. Operations in high-risk jurisdictions**

Does the company have operations in any of the following high-risk jurisdictions; Afghanistan, Bosnia and Herzegovina, Guyana, Laos, Vanuatu, Syria, Iran, Iraq, Yemen, Ethiopia, Uganda or North Korea?

Yes

No

If the answer is yes, please specify

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

**Signatures**

The form must be signed and then sent to the e-mail address listed below.

<b>Signatures</b>	Place and date	Place and date
	Signature(s) of the Party	Spotlight Stock Market (ATS Finans AB)
	Print name(s)	Print name
	<i>I/we confirm that all questions have been answered correctly and I/we will inform Spotlight Stock Market in the event of any changes.</i>	