

FORM FOR OPENING AN ACCOUNT FOR PRIVATE INDIVIDUALS

1. TYPE OF ACCOUNT

Type of account:

- Individual account
- Joint account * (please send us the "Joint account agreement" duly filled out).

* maximum 3 account holders - all the account holders will receive personal access codes. If you wish to open the account for 3 account holders, please make a copy of this document and fill out the data for the 3rd account holder.

2. PROMOTIONAL CODE

3. ACCOUNT HOLDER(S)

	ACCOUNT HOLDER 1	ACCOUNT HOLDER 2
	<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs.	<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs.
Last Name		
First Name		
Civil status	<input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Widowed <input type="checkbox"/> Divorced <input type="checkbox"/> Separated <input type="checkbox"/> Cohabiting Name and first name of partner	<input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Widowed <input type="checkbox"/> Divorced <input type="checkbox"/> Separated <input type="checkbox"/> Cohabiting Name and first name of partner
Legal address	Street N° Postcode City Country	Street N° Postcode City Country
Correspondence address if different from your legal address	Street N° Postcode City Country	Street N° Postcode City Country
Private telephone / mobile		
Office telephone		
E-mail address		
Date and place of birth		
Nationality		
Other nationality		
Identity paper type (passport, ID card, etc....)		
ID / passport nr Expiry date		
Purpose of the banking relationship	<input type="checkbox"/> Private purpose <input type="checkbox"/> Professional purpose, company name (Trade Register N°)	<input type="checkbox"/> Private purpose <input type="checkbox"/> Professional purpose, company name (Trade Register N°)
Profession / activity	<input type="checkbox"/> Private sector <input type="checkbox"/> Retired, (previous profession) <input type="checkbox"/> Public sector <input type="checkbox"/> Self employed <input type="checkbox"/> Unemployed <input type="checkbox"/> Executive Management/Board <input type="checkbox"/> Student, in which field?	<input type="checkbox"/> Private sector <input type="checkbox"/> Retired, (previous profession) <input type="checkbox"/> Public sector <input type="checkbox"/> Self employed <input type="checkbox"/> Unemployed <input type="checkbox"/> Executive Management/Board <input type="checkbox"/> Student, in which field?
Sector of activity		
Employer's name		

<p>Politically exposed persons</p>	<p>Do / did you exercise a political mandate or a public office on regional, national or international level¹?</p> <p><input type="checkbox"/> yes <input type="checkbox"/> no</p> <p>Is this the case for one of your parents, children or your spouse?</p> <p><input type="checkbox"/> yes <input type="checkbox"/> no</p> <p>If yes:</p> <p>Name of the person and link with you:</p> <p>.....</p> <p>Exact title or function:</p> <p>.....</p> <p>Description and role of the function and level:</p> <p>.....</p> <p>Date of the beginning and end of the function:</p> <p>.....</p>	<p>Do / did you exercise a political mandate or a public office on regional, national or international level¹?</p> <p><input type="checkbox"/> yes <input type="checkbox"/> no</p> <p>Is this the case for one of your parents, children or your spouse?</p> <p><input type="checkbox"/> yes <input type="checkbox"/> no</p> <p>If yes:</p> <p>Name of the person and link with you:</p> <p>.....</p> <p>Exact title or function:</p> <p>.....</p> <p>Description and role of the function and level:</p> <p>.....</p> <p>Date of the beginning and end of the function:</p> <p>.....</p>
<p>US person status</p>	<p>Are you American citizen (single, dual or multiple nationality)?</p> <p><input type="checkbox"/> no <input type="checkbox"/> yes</p> <p>Are you of another nationality, but resident in the United States with United States resident alien status (e.g. holder of a permanent US resident permit such as a green card or have been physically present in the United States for a period sufficient to qualify as a «substantial presence») ²?</p> <p><input type="checkbox"/> no <input type="checkbox"/> yes</p> <p>Are you an American taxpayer for another reason?</p> <p><input type="checkbox"/> no</p> <p><input type="checkbox"/> yes; For the following reason:.....</p>	<p>Are you American citizen (single, dual or multiple nationality)?</p> <p><input type="checkbox"/> no <input type="checkbox"/> yes</p> <p>Are you of another nationality, but resident in the United States with United States resident alien status (e.g. holder of a permanent US resident permit such as a green card or have been physically present in the United States for a period sufficient to qualify as a «substantial presence») ²?</p> <p><input type="checkbox"/> no <input type="checkbox"/> yes</p> <p>Are you an American taxpayer for another reason?</p> <p><input type="checkbox"/> no</p> <p><input type="checkbox"/> yes; For the following reason:.....</p>
<p>Insider Information</p>	<p>Are you likely to know Insider Information about financial markets?</p> <p><input type="checkbox"/> yes <input type="checkbox"/> no</p> <p>if yes, which securities (Issuer and ISIN code)?</p> <p>.....</p>	<p>Are you likely to know Insider Information about financial markets?</p> <p><input type="checkbox"/> yes <input type="checkbox"/> no</p> <p>if yes, which securities (Issuer and ISIN code)?</p> <p>.....</p>
<p>Tax residence</p>	<p>Country of residence:</p> <p>1. Switzerland : in case of tax residence in Switzerland, it is not necessary to indicate the TIN (tax identification number).</p> <p>2. Other countries : please indicate the TIN :</p> <p>If the TIN is not available, please indicate the reason :</p> <p><input type="checkbox"/> The country of tax residence does not assign a TIN to its residents</p> <p><input type="checkbox"/> No TIN is required if the tax residence is in a country other than the countries listed on the OECD website: https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/</p> <p><input type="checkbox"/> It is not possible to provide the TIN for any other reason. Please specify :</p>	<p>Country of residence:</p> <p>1. Switzerland : in case of tax residence in Switzerland, it is not necessary to indicate the TIN (tax identification number).</p> <p>2. Other countries : please indicate the TIN :</p> <p>If the TIN is not available, please indicate the reason :</p> <p><input type="checkbox"/> The country of tax residence does not assign a TIN to its residents</p> <p><input type="checkbox"/> No TIN is required if the tax residence is in a country other than the countries listed on the OECD website: https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/</p> <p><input type="checkbox"/> It is not possible to provide the TIN for any other reason. Please specify :</p>

1) As a Head of State, minister, member of Parliament, president of political parties represented within a government, senior official of the State (judicial power or executive - including the army), manager of public undertakings of national importance, high political leader or senior official for international or supranational organizations, such as the E.U., NATO...

2) You are considered to be a United States resident alien if, on the basis of a lengthy stay in the United States, you meet the criteria of the "substantial presence test": you must have been physically present in the United States on at least 21 days in the current year and 183 days in the past three years. Further details on how to determine the length of physical presence are available on the IRS Internet site at <http://www.irs.gov/taxtopics/tc851.html>.

INFORMATION RELATIVE TO THE ORIGIN OF THE CAPITAL TO BE INVESTED

Origin of the funds (several possible choices)	<input type="checkbox"/> Savings from regular income (salary, interest, etc....)	<input type="checkbox"/> Savings from regular income (salary, interest, etc....)
	<input type="checkbox"/> Stock market profits <input type="checkbox"/> Lottery gains	<input type="checkbox"/> Stock market profits <input type="checkbox"/> Lottery gains
	<input type="checkbox"/> Heritage <input type="checkbox"/> Gifts	<input type="checkbox"/> Heritage <input type="checkbox"/> Gifts
	<input type="checkbox"/> Other :	<input type="checkbox"/> Other :
Amount of the envisaged investments	<input type="checkbox"/> < CHF 100'000	<input type="checkbox"/> < CHF 100'000
	<input type="checkbox"/> > CHF 100'000 and < CHF 500'000	<input type="checkbox"/> > CHF 100'000 and < CHF 500'000
	<input type="checkbox"/> > CHF 500'000	<input type="checkbox"/> > CHF 500'000

4. REFERENCE BANK ACCOUNT

Via this secure site, you have the possibility to wire transfer money from your Strateo account. Could you please indicate an account that you hold in another bank for wire transfers. If you do not communicate a corresponding bank account, you can only ask for a cash transfer by a signed original written demand.

Account/IBAN N° (only account in CHF or EUR)		
BIC or SWIFT :		
Name of the Bank :		

5. DECLARATION

Each undersigned declare(s) and state(s) that:

- the information in this form is true, exact and complete;
- they warrant by their signature that the assets held with the Bank at any time do not originate from criminal activity;
- they pledge in favour of the Bank all the securities, stocks, assets and cash, Swiss or foreign, claims or other goods deposited now or in the future with the Bank and with its correspondents, to secure all present or future claims that the Bank might have against the Account Holder(s) pursuant to their business relationship.
- the income to which this form relates is not actually linked to the performance of a profession of operation of a company in the United States, or is actually linked to such activity but is not taxable by virtue of a tax treaty;
- they have read, understood and unreservedly accept the entire General Terms and Conditions, more specifically the terms relating to the right to pledge and set-off, governing law (i.e. Swiss law), and the choice of court for any proceedings (i.e. the Courts of Geneva), subject to recourse to the Swiss Federal Supreme Court in the cases provided for by law, the scales of charges and interest rates, and the terms of use of the www.strateo.ch site, and acknowledge that these documents are available at all times on the www.strateo.ch site, on the transactional site or on request from the Bank;
- they have received the brochure of the Swiss Bankers Association entitled «Special Risks in Securities Trading», have taken cognisance of its contents, understood the nature and extent of the risks described therein, accept these risks and acknowledge that this brochure is available at all times on the www.strateo.ch site, on the transactional site or on request from the Bank
- they accept liability for and all the risks relating to orders sent to the Bank, on the understanding that the Bank may not be held liable for the advisability of their investment decisions and the financial consequences of orders;
- he is a non-professional user (cfr. Art. 23 of the General Conditions) of the financial information provided by the Bank, that he will inform the Bank of any change in that status and that he will not sell or broadcast, in any way, this financial information,
- he commits himself to announce immediately any modification to one of the provided information, specifically a change in the status of (not) resident for tax reasons.

Place and date

Signature account holder(s)

Account/securities account number: _____

DECLARATION OF IDENTITY OF THE BENEFICIAL OWNER¹

(FORM A PURSUANT TO ART. 3 AND 4 CBD)²

Contracting partner

The contracting partner hereby declares that the individual(s)/partnership(s)/legal entity (entities) listed below is/are the beneficial owner(s) of the assets deposited under the above relationship. If the contracting partner is also the sole beneficial owner of the assets, the contracting partner's details must be set out below :

Last name/Company name		
First name		
Legal address	Street..... N° Zip code City..... Country.....	Street..... N° Zip code City..... Country.....
Date of birth Nationality		

The contracting partner undertakes to automatically inform the bank of any changes

Date

Signature

It is a criminal offence to deliberately provide false information on this form (Art. 251 of the Swiss Penal Code, document forgery; penalty: imprisonment for up to five years or a fine).

If the beneficial owner is different from the account holder, please fill out the form "Questionary on the economic background of the beneficial owner of the account".

1) The beneficial owner is the « economical owner » of the assets that will be deposited in the account. The beneficial owner is the person who has a financial interest in the deposited assets. The status of beneficial owner should not be confused with that of holder of a power of attorney or co-holder of the account (joint account) If you wish to grant someone authorisation to dispose of the assets in the Account (power of attorney), please duly complete the form "Power of Attorney" which is available in our website www.strateo.ch.

2) In accordance with the articles 3 and 4 of the Agreement on the Swiss banks' code of conduct with regard to the exercise of due diligence (CDB 08).



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1201 Geneva - Switzerland

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Fax +41(0)22 715 20 21
info@strateo.ch
www.strateo.ch

Your request can only be treated if your application form is complete and includes all the necessary appendices.

Enclosures that must be filled out, signed and returned to Strateo:

1. Account opening form
2. Declaration of Identity of the beneficial owner (Form A)
3. A copy of an identity document for each holder done by us or certified by a notary, a public institution (for example the Swiss Post Office)
4. A simple copy of an identity document of the beneficial owner if this person is not the account holder
5. A proof of address (less than 3 months) for non Swiss residents

For *joint accounts*, please fill in the following form:

- «Joint account agreement»
- join a certified copy of an identity document of each authorised representative

In case of *Power of Attorney*, please fill in the following form:

- «Power of Attorney»
- join a simple copy of an identity document of each authorised representative

If you would like to open an account by post, please check out our «Check list for opening your account by mail»