



HAUCK  
AUFHÄUSER  
ALTERNATIVE  
INVESTMENT SERVICES

# KYC Manager

## Investor Flow Guide - Company

October 2023

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*NOTE: Illustrative example of onboarding a natural person. The Investor Flow Guides (Individual and Company) are currently in progress and will be updated regularly.*

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## Background and Introduction

The KYC Manager is a digital tool for conducting the regulatory mandatory KYC ("Know Your Customer") checks. The Investor Flow is used to onboard investors online. The Investor Flow Guide describes how an investor or a responsible goes through the flow and it entails a detailed description of each step of the flow.

For a better overview, here is a brief introduction to the components of the flow. The flow is divided into the following 4 parts:

1. **Identity:** This is where the responsible must provide personal information.
2. **Dossier:** This is where the responsible fills in the dossier questionnaire and uploads documents if necessary.
3. **Client details:** Information about the client must be entered here.
4. **UBO:** This is where the responsible must provide information about the UBO(s)
5. **Form:** At the end, a PDF form is created containing all the collected data entered during the flow.

The investor's/ responsible's current position in the flow is always displayed at the top left of the flow. By clicking on the "Previous" button at the bottom left, the investor can go to the previous page. The "Next" field at the bottom right allows the investor to save the entered data and continue with the flow. The latter is possible if the investor has filled in all mandatory fields. Optional fields are marked with "(optional)". All other fields are mandatory.

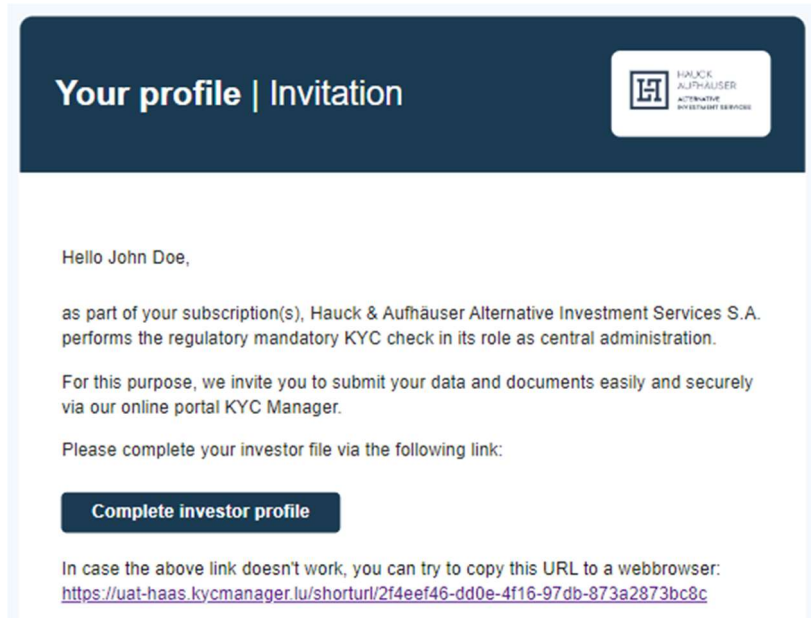


Once the investor has completed all 4 parts, the profile is automatically sent back to Hauck & Aufhäuser Alternative Investment Services S.A.

For ease of reading, only the generic masculine gender is used in this user guide. However, this personal designation applies to all genders.

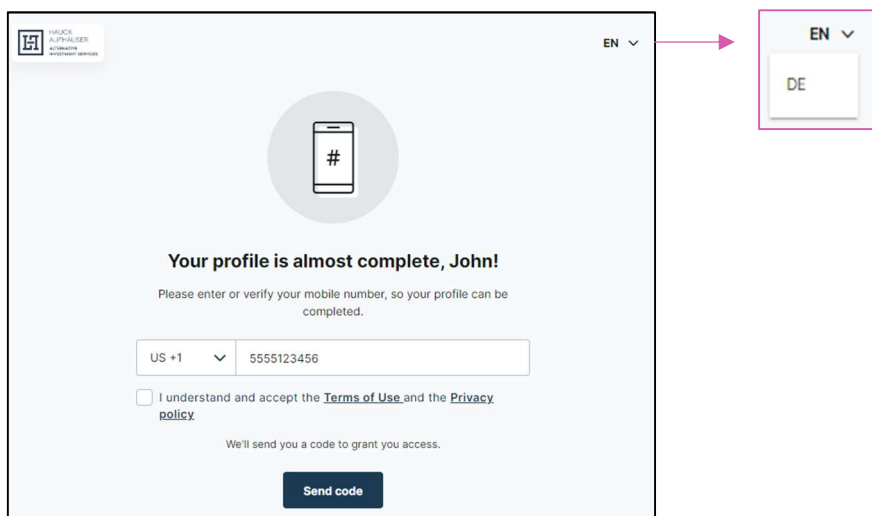
## Email and 2-Factor Authentication

After the company is created by an employee of Transfer Agent & Registrar of HAAS, the responsible will receive the following invitation email. To access and start the flow, the responsible must click on "Complete Investor File".




## Language Determination of the Flow

The responsible will then be redirected to the following page and can first select a language (English or German) from the drop-down menu at the top right. Once registration is complete and the flow has started, the language can no longer be changed.



# Login per SMS

The responsible must now enter their mobile phone number including country code and acknowledge and agree to the terms of use and privacy policy. The country can be selected from the drop down menu or manually entered in the format "XX +00". The responsible will then receive a 6-digit code via SMS to the previously specified number, which the investor will enter in the password field. The button "Verify code" completes the registration and the responsible is automatically redirected to the flow.



**Your profile is almost complete, John!**


Please enter or verify your mobile number, so your profile can be completed.

DE +49

I understand and accept the [Terms of Use](#) and the [Privacy policy](#)

We'll send you a code to grant you access.

**Send code**



**Login | Code**

Fill in the code which has been sent to +4915131173080. The code is valid for 2 minutes.

**Verify code**

[New code](#) or [Code by email](#)

## Login per Email

Alternatively, the code can be requested by email by clicking on the "Code by Email" button (below the "Verify code" box). This will open the following window where the investor can enter their email address and then click on "Send email".

The image shows two sequential screenshots of a login interface. The left screenshot, titled "Login | Code", features a smartphone icon with a hash symbol. Below the icon, it says "Login | Code" and "Fill in the code which has been sent to +4915131173080. The code is valid for 2 minutes." There is a text input field labeled "Code" and a dark blue button labeled "Verify code". At the bottom, there is a link: "New code or Code by email". A pink arrow points from this link to the right screenshot. The right screenshot, titled "Send code by email", features a key and padlock icon. Below the icon, it says "Send code by email" and "Provide your email address, so we can send the code to you." There is a text input field labeled "Email" and a dark blue button labeled "Send email".

The responsible then receives a 6-digit code sent to the previously provided email address. The investor can now enter the code in the code field. The button "Verify code" completes the registration and the responsible is automatically redirected to the flow.

The image shows two screenshots of the code confirmation process. The left screenshot is an email confirmation message with a dark blue header "Code | Confirmation". The body of the email says "Hello John Doe, You have opted to receive your unique code by mail. The code is valid for 2 minutes." Below this is a box containing "Your security code" and the number "287854". At the bottom, it says "Use this code once as confirmation to proceed." The right screenshot, titled "Login | Code", features a paper airplane icon. Below the icon, it says "Login | Code" and "Fill in the code which has been sent to an\*\*\*@h\*\*\*.com. The code is valid for 2 minutes." There is a text input field labeled "Code" and a dark blue button labeled "Verify code". At the bottom, there is a link: "New code or Code by SMS".

# Identity

After logging in, the responsible will first see a page for personal detail. This is where the responsible must enter their data. The 'Country', 'Nationality', and 'Industry/Sector' fields can each be selected from a drop-down menu.

The screenshot shows a web application interface for 'Personal details of John Doe'. On the left is a vertical navigation menu with items: Identity (selected), Dossier, Client details, UBO, and Form. The main content area has a header with the company logo 'HAUCK AUFHÄUSER ACQUISITION INVESTMENT SERVICES', the user name 'John Doe', and the language 'EN'. The form title is 'Personal details of John Doe'. Below the title is a welcome message and instructions. A list of requirements follows: verify information and provide other requested data. The first step is to verify identity details. The form includes radio buttons for 'Mr.' (selected) and 'Mrs.'. Fields for 'First names' (John) and 'Last name' (Doe) are present. A phone number field shows 'US +1' and '5555123456'. An optional email field is empty. The address section includes 'Street + Number' (Main Street 12), 'Postal code' (112211), and 'City' (New York). The 'Country' dropdown menu is open, showing a list of countries including Afghanistan, Aland Islands, Albania, Algeria, American Samoa, and Andorra. Other fields include 'Date of birth' (02/01/1990), 'Place of birth' (New York), 'Nationality' (United States of America), 'Other nationalities' (optional), 'Most recent job title' (Designer), 'Name of employer' (Company1), and 'Industry/Sector' (IT, sports and information services). A 'Next' button is at the bottom right.

## Proof of Identity

Next, the responsible must provide information on his proof of identity.

**Proof of identity for John Doe**

Please verify the information from your proof of identity below. If necessary, please modify or complete the missing data.

ID Card Number  
1234567890

National identification number (optional)

Does the proof of identity have an expiration date?

Yes  No

Does the proof of identity have an expiration date?

Yes  No

Does the proof of identity have an expiration date?

Yes  No

Expiry date (dd/mm/yyyy)  
31/12/2030

On the next page, the responsible then has to upload a proof of identity. Documents can be uploaded by clicking on the 'Add document' button. The 'Select' button will take the investor to their file explorer and through double clicking a document can be selected. The 'Upload' button will then upload the document.

The responsible can upload either their passport or the front and back scan of their ID card. They can also upload the front and back as separate documents.

**Proof of identity of John Doe**

*i* Add proof of identity.

For identification purposes we have been able to collect the documents below. Please verify these documents before going to the next step. In case documents are missing, please add them to continue.

Drag and drop the documents to upload them.

The list is empty.

**Add document**



**Add document** ✕

You can add your own document in PDF, JPEG, JPG or PNG.

📁 Drag and drop the documents to upload them.

**Document 1** 🗑️

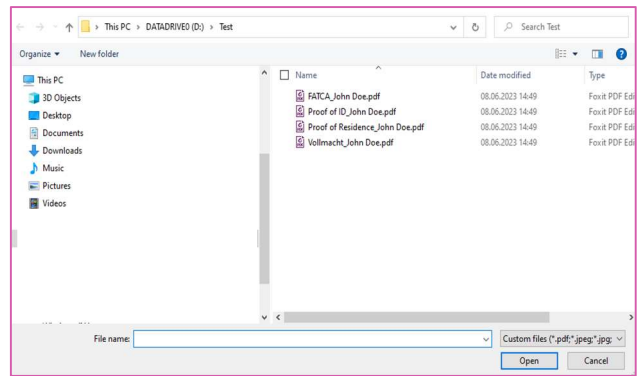
Select a file from your device Select

Document name (optional)

Type ▾

+ Document

Upload



**Add document** ✕

You can add your own document in PDF, JPEG, JPG or PNG.

📁 Drag and drop the documents to upload them.

**Document 1**

Proof of ID\_John Doe Added ✓

+ Document

Close

passport includes a recognisable photo as well as a...

**Front and back scan**  
A valid identification document like identity card or passport includes a recognisable photo as well as a...

**Front scan**  
A valid identification document like identity card or passport includes a recognisable photo as well as a...

**Passport**  
A valid identification document like identity card or passport includes a recognisable photo as well as a...

Type ⬆

## PEP

Next, the responsible must indicate whether he is a politically exposed person (PEP). If so, he must also indicate in which role.

The flowchart starts with a box titled "Identification Politically Exposed Person" containing the question "Are you a politically exposed person (PEP)?". It has two radio buttons: "Yes" (unselected) and "No" (selected). An arrow from the "Yes" button points to a box with "Yes" (selected) and "No" (unselected) radio buttons, followed by the text "In the following role" and a large empty text input field. An arrow from the "No" button points to a box with "Yes" (unselected) and "No" (selected) radio buttons.

## FATCA

The responsible must then answer a question about FATCA. If the investor is a Specified U.S. person, the responsible must also provide a Federal Taxpayer Identifying Number.

The flowchart starts with a box titled "FATCA" containing the instruction "Please choose one of the two options related to FATCA:". It has two radio buttons: "I confirm that I am a Specified U.S. Person." (selected) and "I confirm that I am not a Specified U.S. Person." (unselected). Below the first option is the question "What is your U.S. Taxpayer Identification Number (U.S. TIN)?" followed by a large empty text input field. An arrow from the "I confirm that I am not a Specified U.S. Person." radio button points to a second box titled "FATCA" containing the same instruction and two radio buttons: "I confirm that I am a Specified U.S. Person." (unselected) and "I confirm that I am not a Specified U.S. Person." (selected).

## Personal Documents

Every responsible must upload a proof of residence here. In addition, all responsables who have indicated in the FATCA question that they are a Specified U.S. Person are required to provide a FATCA document. All documents marked with the red "Required" field are mandatory. Documents are uploaded as for proof of identity (see pages 7 and 8) with the addition that the responsible can now select "URL" instead of uploading a file. He can then enter a web link as well as a document name in the opening window. In addition, a responsible can upload additional documents via the "Add document" field. However, this is optional.

### Personal documents of John Doe

1 document is missing.

All documents can be provided in the following languages: German, English, French and Luxembourgish. For any other languages, a translation must be submitted by a recognised professional translator to which the 'accuracy and completeness of the translation' is certified.

Please send all originals and certified copies - ideally by courier - to the stated mailing address. It is much appreciated to provide us with a tracking number to follow the documents sent. If you have any questions, you can use the central email mailbox: [investors@hal-privatbank.com](mailto:investors@hal-privatbank.com).

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Grand Duchy of Luxembourg

Proof of personal address **REQUIRED**

**Add** More information ⓘ

**Add**

By clicking on the 'Add Document' button, the responsible can optionally upload additional documents.

**Proof of residence** X

You can add your own document in PDF, JPEG, JPG, PNG or URL.

Drag and drop the documents to upload them.

**Document 1** [trash icon]

Source  File  URL

Select a file from your device **Select**

Document name

**+ Document**

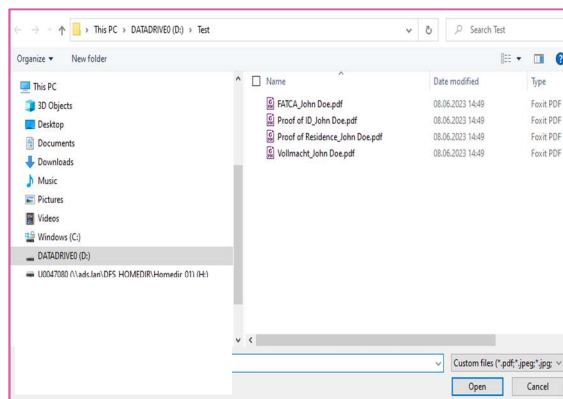
**Upload**

Option to upload the document as a file or via an

Source  File  URL

Document URL

Document name



Upload the requested documents.

**Proof of residence** X

You can add your own document in PDF, JPEG, JPG, PNG or URL.

Drag and drop the documents to upload them.

**Document 1**


Proof of Residence\_John Doe **Added ✓**

**+ Document**

**Close**

For the FATCA document, the uploading process is identical to the one above.

**FATCA - Request for Taxpayer Identification Number and Certification (form W-9)** REQUIRED

[Add](#) More information 

The information button provides the responsible with additional information if required.

## Primary Tax Information

If the fiscal address and the residential address are the same, the responsible only needs to provide the tax identification number. Otherwise, the responsible must also provide his fiscal address. If the responsible has more than one fiscal address and tax identification number, he can add them under 'Additional tax information'. However, this is optional.

**Primary tax information**

In line with our obligations as regulated institution you should provide us your fiscal address(es) and tax identification number(s) and keep them updated.


My fiscal address is equal to my residential address.

Tax identification number

Since (dd/mm/yyyy) (optional)

**Additional tax information**

If you have more than one fiscal address and tax identification number, add them all.

 There is no additional tax information. [Add](#)

If the fiscal address is not the same as the residential address, the responsible must also provide the fiscal address.

My fiscal address is equal to my residential address.

Street + Number

Postal code  City

Country

Optional.

**Add tax information** ×

In line with our obligations as regulated institution you should provide us your fiscal address(es) and tax identification number(s) and keep them updated.

Street + Number (optional)

Postal code (o...  City (optional)

Country

Tax identification number

Since (dd/mm/yyyy) (optional)

[Add](#)

## Dossier

The dossier consists of a dossier questionnaire. The responsible must indicate whether he is trading on his own behalf or on behalf of a third party. If the responsible is not acting on his own behalf, the names of the underlying investors acting on behalf of the investor and the relationship with these persons must be disclosed.

**Dossier questionnaire**

**Acting on own account or for the account and on behalf of a third party** ▼

Are you acting on own behalf or on behalf of a third party?

We act/invest directly for our own account and in our own name.

We act/invest on our own behalf as part of our economic activity and exercise control over the investment for the benefit of a third party that has NO control over the investment decisions.

We act/invest in our own name as a financial intermediary (e.g. nominee) for the account of a third party who has control over the investment decisions.

We act/invest NOT in our own name as a financial intermediary, because the underlying investor subscribes the fund through us as a financial intermediary and will be registered in the fund's share register itself.

We act/invest NOT in our own name as a financial intermediary, because the underlying investor subscribes the fund through us as a financial intermediary and will be registered in the fund's share register itself.

Please provide the name of the underlying investor for which you are acting for and briefly describe the relationship.

Here, the responsible has to indicate whether the company is acting on own behalf or on behalf of a third party. If the company is not acting on own behalf or if they invest on their names but for the account of a third party who has control over the investment decisions.

# Documents

If the responsible is acting on its own behalf, there are no required documents to upload. If this is not the case, the responsible must upload a power of attorney. Via the "Add document" field, a responsible can upload additional documents (AML questionnaire, Authorisation letter, Power of attorney, Questionnaire wolfsberg, Other).

If the responsible is acting on its own behalf, no further documents are required.

If the responsible is not acting on its own behalf, the responsible has to upload an authorisation letter and either the Questionnaire wolfsberg or the AML questionnaire (or both).

**Documents**

*i* No (additional) documents are requested, please continue to the next step.

All documents can be provided in the following languages: German, English, French and Luxembourgish. For any other languages, a translation must be submitted by a recognised professional translator to which the 'accuracy and completeness of the translation' is certified.

Please send all originals and certified copies - ideally by courier - to the stated mailing address. It is much appreciated to provide us with a tracking number to follow the documents sent. If you have any questions, you can use the central email mailbox: [investors@hal-privatbank.com](mailto:investors@hal-privatbank.com).

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Drag and drop the documents to upload them.

The list is empty.

**Add**

**Documents**

*i* Add questionnaire wolfsberg or AML.

All documents can be provided in the following languages: German, English, French and Luxembourgish. For any other languages, a translation must be submitted by a recognised professional translator to which the 'accuracy and completeness of the translation' is certified.

Please send all originals and certified copies - ideally by courier - to the stated mailing address. It is much appreciated to provide us with a tracking number to follow the documents sent. If you have any questions, you can use the central email mailbox: [investors@hal-privatbank.com](mailto:investors@hal-privatbank.com).

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<p><b>Authorisation Document</b> <span style="color: red;">REQUIRED</span></p> <p><b>Add</b> More information <i>i</i></p>	<p><b>AML Confirmation Letter of the Registrar and Transfer Agent responsible for investors AML/KYC</b></p> <p><b>Add</b> More information <i>i</i></p>
<p><b>Wolfsberg Questionnaire of the Registrar and Transfer Agent responsible for investors AML/KYC</b></p> <p><b>Add</b> More information <i>i</i></p>	
<p><b>Add</b></p>	

**Add document** ✕

You can add your own document in PDF, JPEG, JPG, PNG or URL.

Drag and drop the documents to upload them.

**Document 1** 🗑️

Source  File  URL

Select a file from your device **Select**

Document name

Type

**+ Document**

**Upload**

Option to upload the document as a file or via an URL

Source  File  URL

Document URL

Document name

Type

Account statement of the saved amount  
Please provide us with a document which contains the Name of the institution where the savings lie, th...

Letter from a third party (e.g. lawyer, legal adviser) explaining the company sale (with letterhead)

AML Confirmation Letter of the Registrar and Transfer Agent responsible for investors AML/KYC  
The document should not be older than three months before entering into the business relationship. The...

# Client Details

First, the responsible has to complete the information of the company. The "Company Type" as well as the "Country of incorporation", the "Industry/Sector" and the "Country" field can be selected from a drop-down menu.

### Overview company details

Confirm or adapt the details.

Complete the information of the company.

Type

Name

Commercial register number (optional)

Company type

Country of incorporation

Legal form

Industry/Sector

Street + Number

Postal code  City

Country

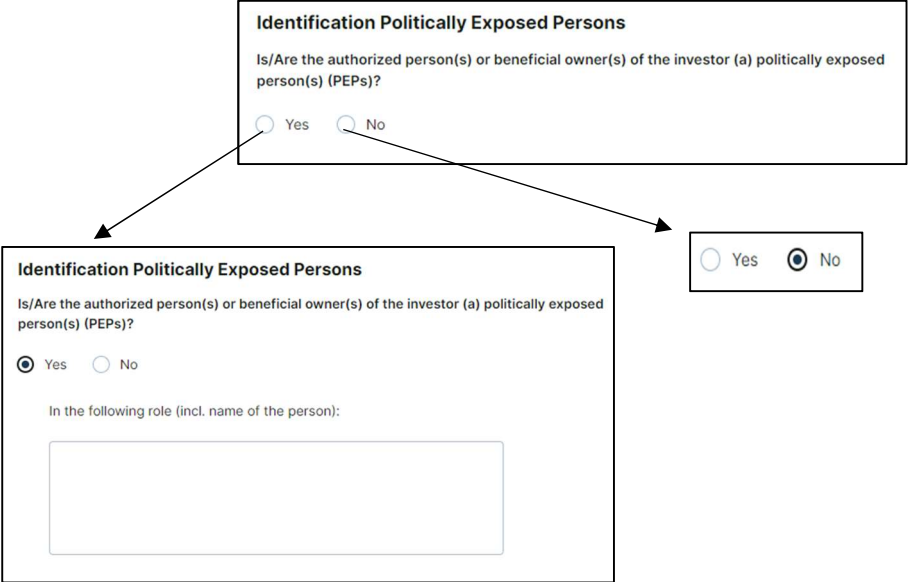
Email (optional)

Company type

- Financial institution listed
- Financial institution regulated
- Financial institution unregulated
- Foundation
- Insurance
- Investment fund

PEP

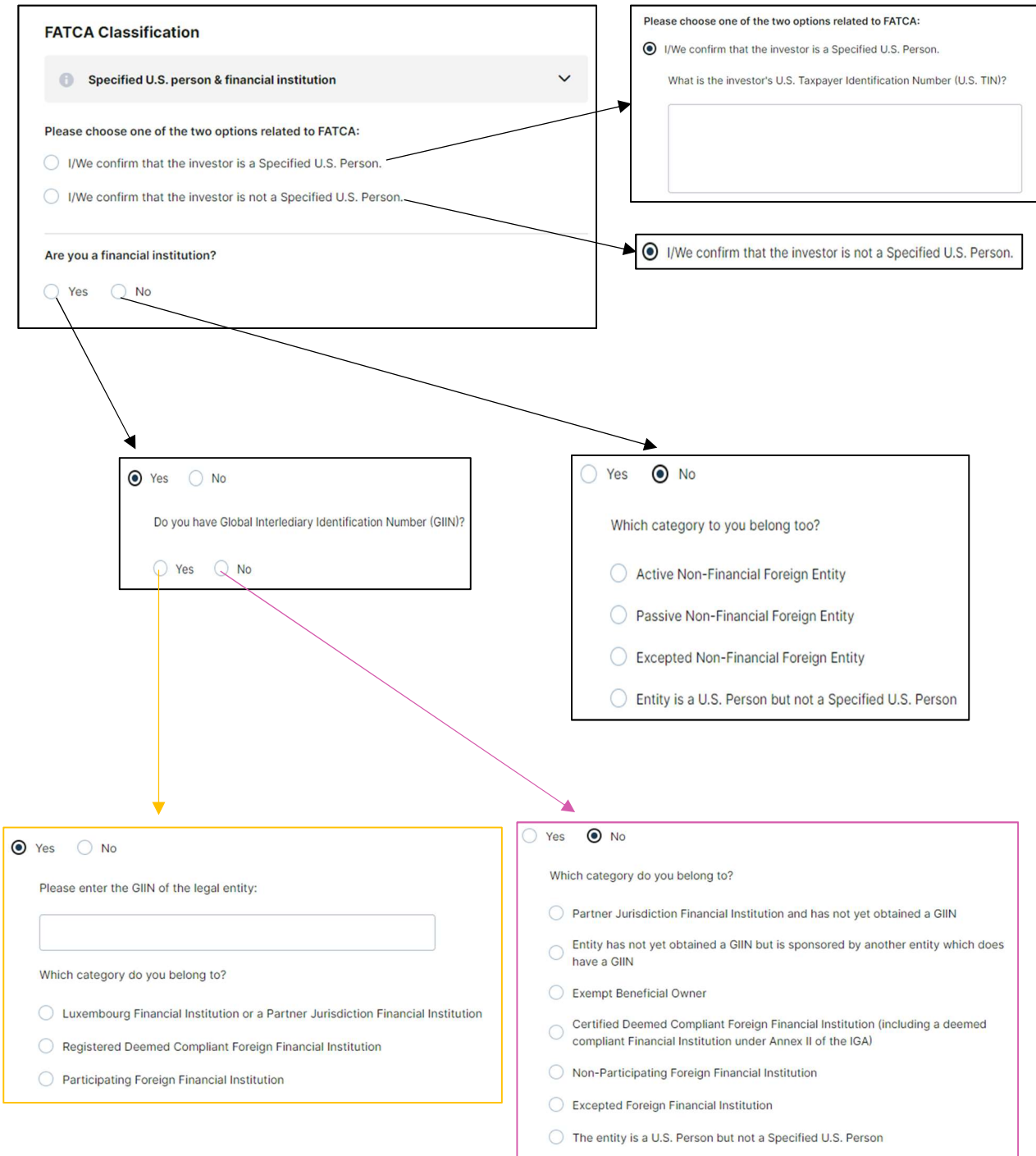
The responsible must indicate whether any of the authorized persons or beneficial owners of the investor are politically exposed persons (PEPs). If so, he must indicate in what function.






# FATCA

The responsible must indicate whether the investor is a Specified U.S. Person. If so, he must indicate the Federal Taxpayer Identifying Number. Moreover, it is asked whether the company is a financial institution. If so, the company must provide a GIIN, if available. If the company is not a financial institution, the responsible must select a category to which the company belongs to.



# Client Questionnaire

The client questionnaire asks for details about the customer. A detailed description of each question can be found on the following pages.

 John Doe | EN

---

- Identity
- Dossier
- Client details**
- UBO
- Form

### Client questionnaire

Are you tax resident in Germany?

Yes  No

---

What are your available free funds?

Between € 125.000 and € 1.000.000

Between € 1.000.000 and € 5.000.000

More than € 5.000.000

---

What is your source of wealth? Please provide a detailed explanation of your source of wealth.

Self-employed activity

Employment

Gift

Maturity or repurchase of life insurance

Sale/liquidation of investments

Real estate transaction

Proceeds from company sales

Corporate profits

Inheritance

Divorce Settlement

Pension income

Employer grant

Fixed deposit - savings

Dividend distribution

Other

---

Do you have investment knowledge?

Yes  No

---

Do you have investment experience ?

Yes  No

---

Do you have a postal address differing from your previously mentioned address?

Yes  No

---

Are there additional contacts?

Yes  No

---

[← Previous](#) [Next →](#)

## Tax Residency

Here the responsible must indicate whether the company is liable to tax in Germany. If so, another window will open where the responsible must enter the name and address of the tax office, the tax office number of the tax office and the tax status. If the responsible is exempt from tax, he must provide an explanation for the exemption and, upon presentation of the NV certificate, the responsible must indicate the expiration date of the certificate.

The diagram illustrates the flow of a tax residency questionnaire. It starts with a question: "Are you tax resident in Germany?". There are two radio buttons: "Yes" and "No".

- If "Yes" is selected, it leads to a "Client questionnaire" window. This window contains:
  - The question "Are you tax resident in Germany?" with "Yes" selected.
  - A text input field for "Please provide the name of the tax office:".
  - A text input field for "Please provide the address of the tax office:".
  - A text input field for "Please provide the tax office number:".
  - The question "Do you have a tax exemption?" with "No" selected.
- If "No" is selected, it leads to a smaller window with "Yes" and "No" radio buttons, where "No" is selected.
- From the "Client questionnaire" window, a yellow arrow points to a detailed view of the "Do you have a tax exemption?" section. This section includes:
  - "Do you have a tax exemption?" with "Yes" selected.
  - "Do you have a non-assessment certificate?" with "Yes" selected.
  - "What is the expiration date:" with a text input field containing "31/12/2025" and a placeholder "dd/mm/yyyy".

## Available Free Funds

Here, the responsible simply has to click on one of the 3 answer options that apply to his or her available free funds.

**What are your available free funds?**

Between € 125.000 and € 1.000.000

Between € 1.000.000 and € 5.000.000

More than € 5.000.000

## Source of Wealth

Here, the responsible has to choose the source of wealth of the company. Further, he has to indicate the core business activities/ sector as well as the countries of the company's main business partners. If other is selected, then the responsible has to specify it in the text box.

**What is your source of wealth? Please provide a detailed explanation of your source of wealth.**

Self-employed activity

Employment

Gift

Maturity or repurchase of life insurance

Sale/liquidation of investments

Real estate transaction

Proceeds from company sales

Corporate profits

Inheritance

Divorce Settlement

Pension income

Employer grant

Fixed deposit - savings

Dividend distribution

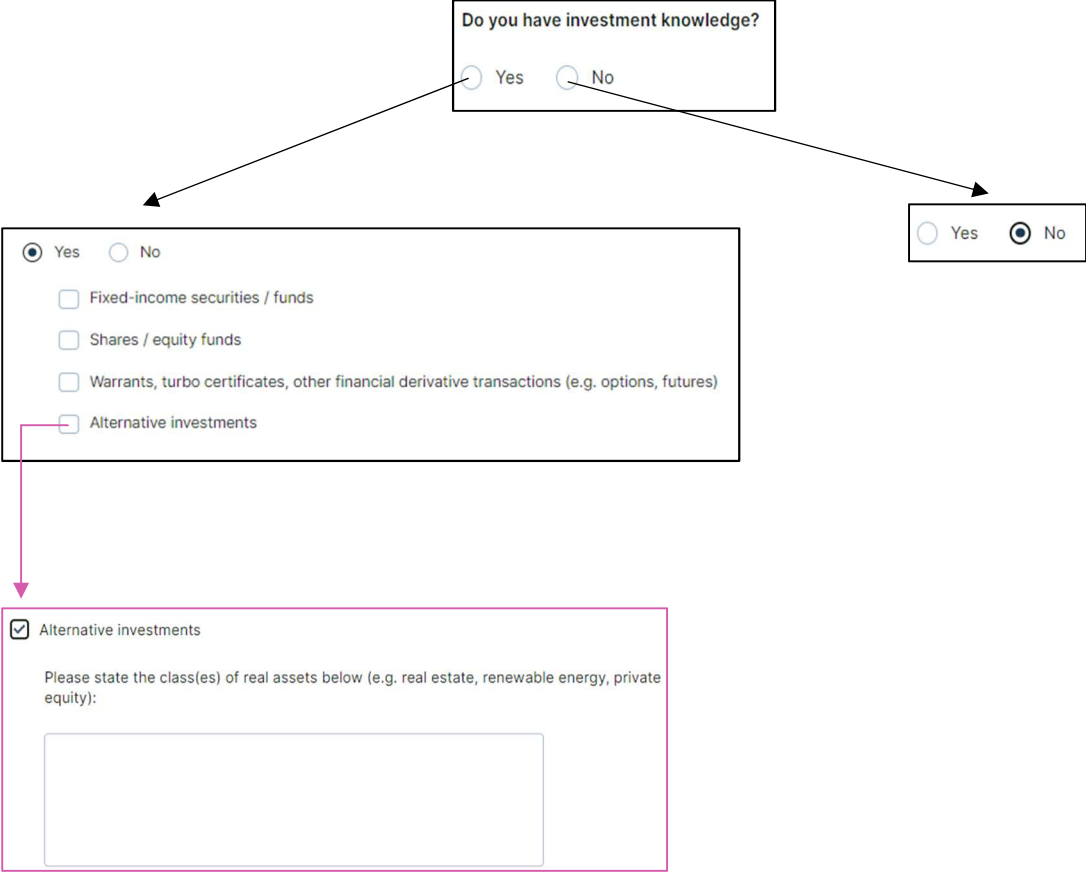
Other

Other

Please specify

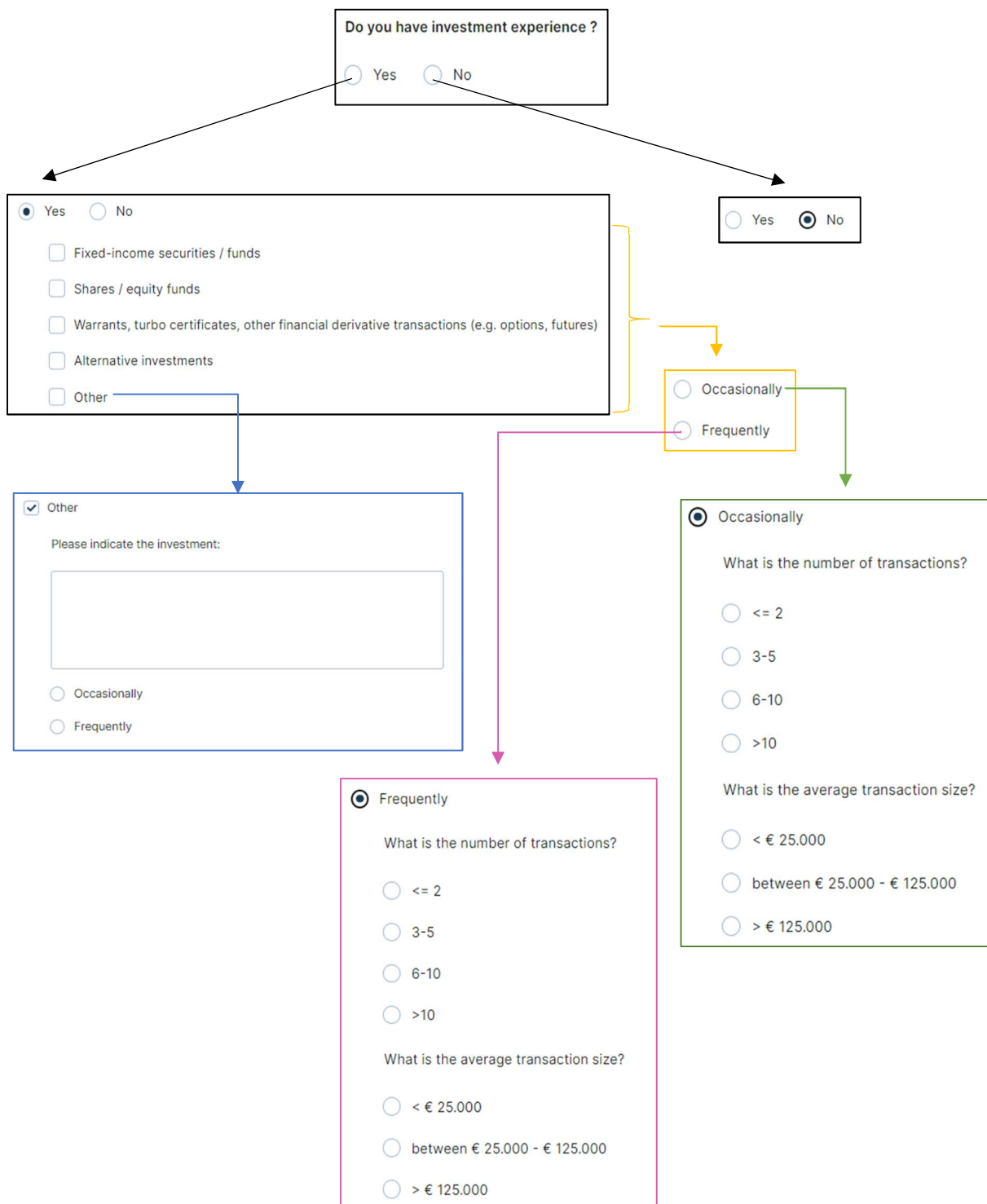
# Investment Knowledge

Here the responsible must indicate whether he has any investment knowledge. If so, he must select all the relevant knowledge. The responsible can tick as many boxes as he likes. If the responsible chooses "Alternative investments", he will also be asked about the asset classes of real assets.



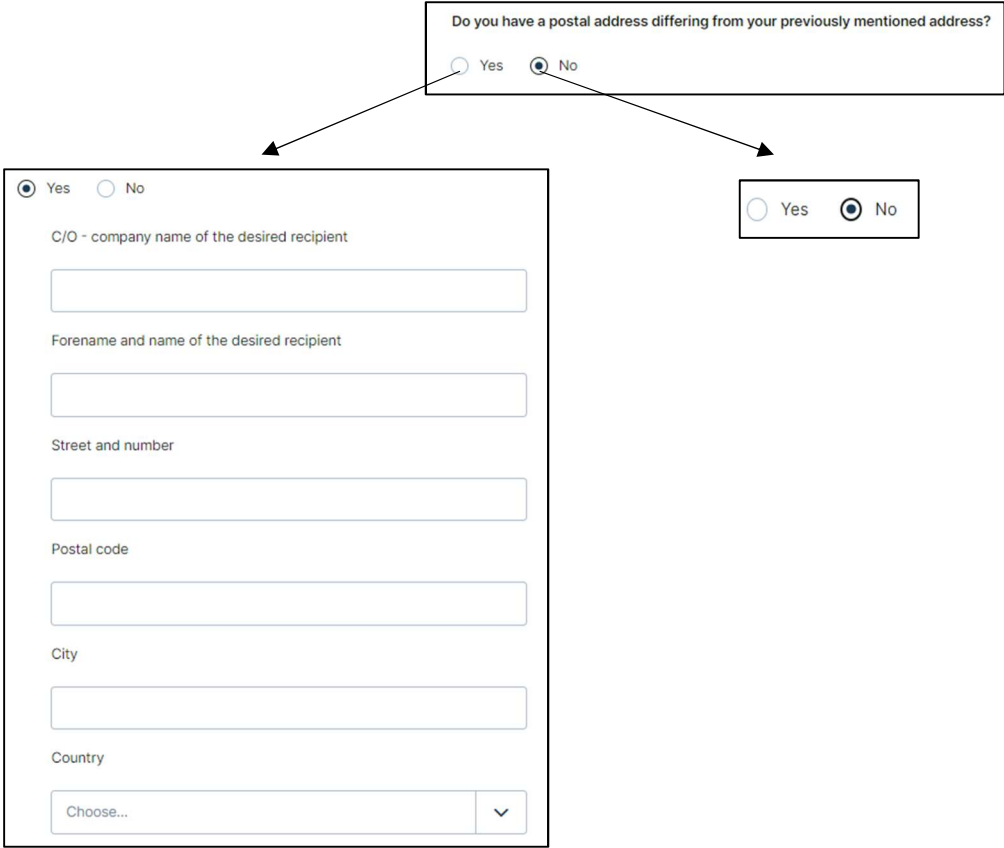
## Investment Experience

Unlike investment knowledge in the previous question, this is questions is about practical experience in relation to investments made. If the responsible already has investment experience, he must first specify this by selecting the corresponding experiences. Again, the responsible can choose as many as he likes. For each experience, the frequency, number of transactions and average transaction size are then asked.



# Mailing Address

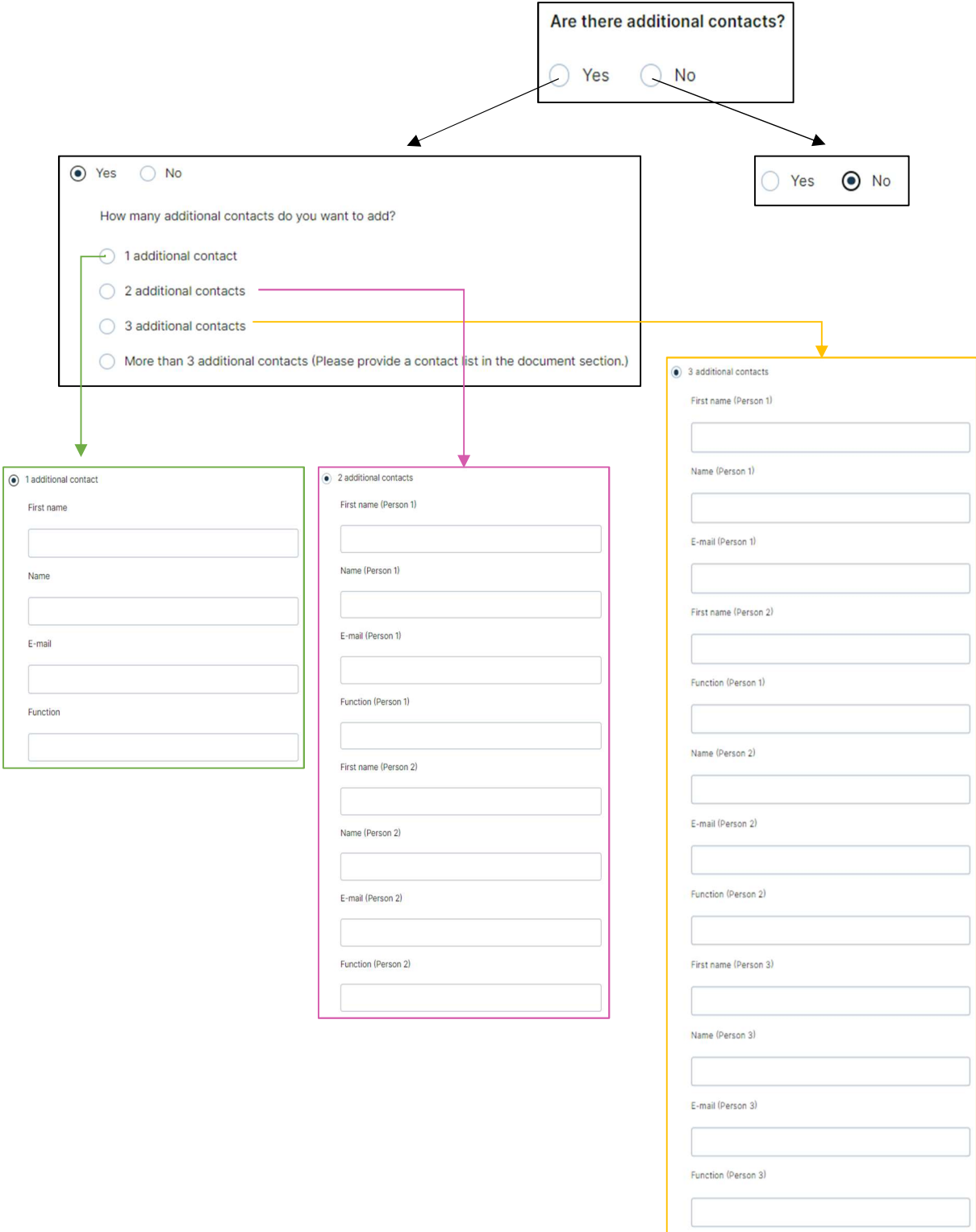
If the investor has a mailing address, he must enter it here. The country can again be selected from a drop-down menu.



# Additional Contacts

Here, the responsible is asked for additional contacts. If the responsible wishes to add any, he must specify the number and then provide the requested information for each additional contact.

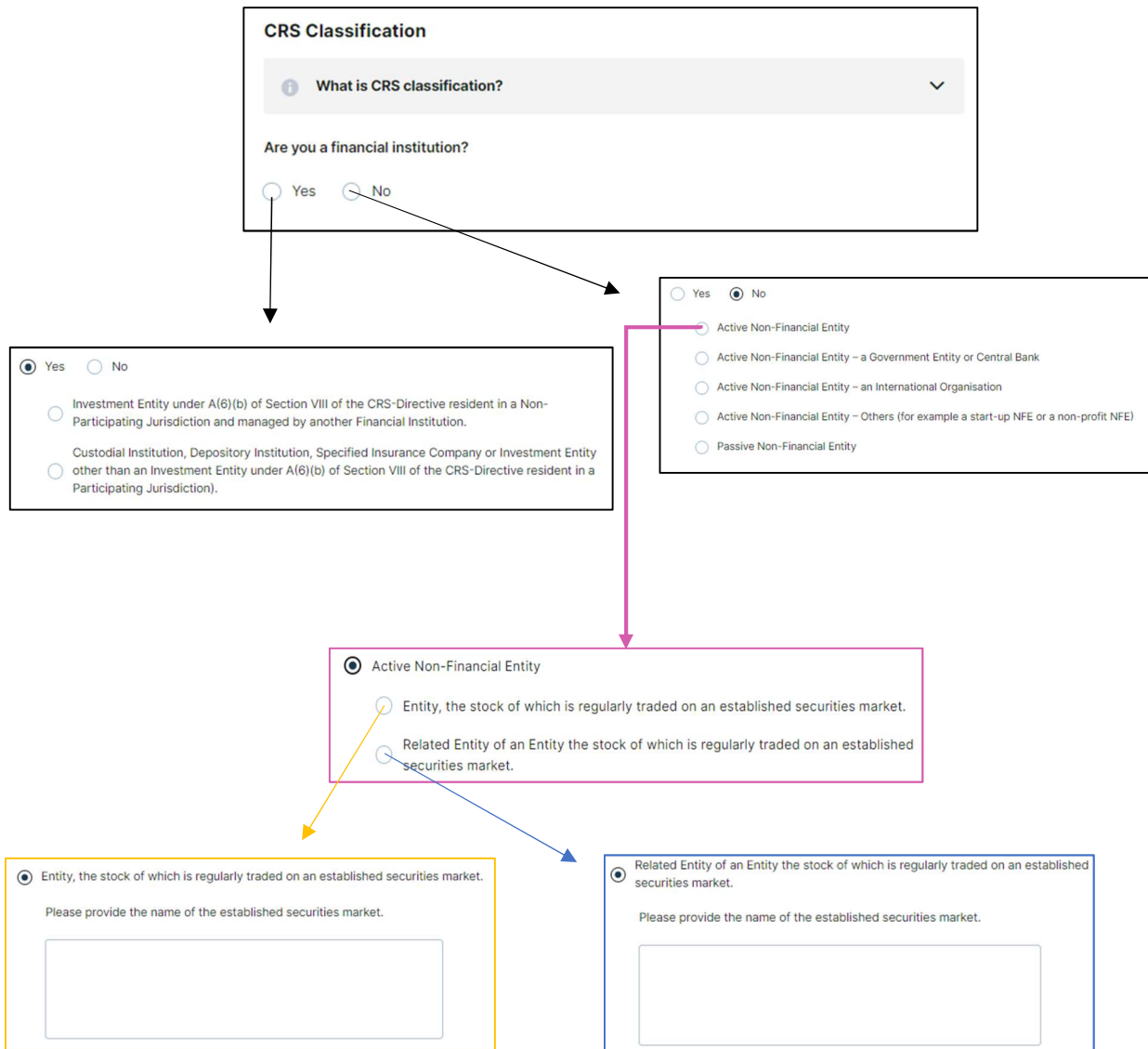
By choosing to add more than 3 additional contacts it will be possible to add a list in the following Document upload step, for example an Excel List can be uploaded that represents all contact details of these contacts.





## CRS

Here it is asked whether the company is a financial institution. If so, the responsible must specify this by selecting the corresponding statement. If the company is not a financial institution, the responsible must select a category to which the company belongs to. If he then selects “Active Non-Financial Entity”, he also has to specify this by selecting the corresponding statement and he then must additionally provide the name of the established securities market.



## UBO

The responsible must here provide the name and TIN numbers of the UBO. Further, he has to indicate whether the controlling persons are U.S. citizen or resident of the U.S. for tax purposes.

**Additional CRS/ FATCA information on controlling persons/ beneficial owners**

Please note that the information on controlling persons / beneficial owners must be consistent with the information in the UBO section.

**Who is the beneficial owner of a legal entity/other legal structure?** ▼

Please provide the names, tax residency and corresponding tax identification number (TIN) of all controlling persons/ beneficial owners.

Is at least one of the controlling persons/beneficial owners or the UBO(s) U.S. citizen or resident of the U.S. for tax purposes?

Yes  No

## Primary Tax Information

If the fiscal address and the residential address are the same, the responsible only needs to provide the tax identification number. Otherwise, he must also provide his or her fiscal address. If the company has more than one fiscal address and tax identification number, the responsible can add them under 'Additional tax information'. However, this is optional.

**Primary tax information**

In line with our obligations as regulated institution you should provide us your fiscal address(es) and Tax Identification Number(s) and keep them updated.


My fiscal address is equal to my residential address.

Tax identification number ℹ

Since (mm/dd/yyyy) (optional)

**Additional tax information**

If you have more than one fiscal address and tax identification number, add them all.

 There is no additional tax information.

**Add**

If the fiscal address is not the same as the residential address, the responsible must also provide the fiscal address..

My fiscal address is equal to my residential address.

Street + Number

Postal code  City

Country

**Optional.**

**Primary tax information**

**Add tax information** ✕

In line with our obligations as regulated institution you should provide us your fiscal address(es) and Tax Identification Number(s) and keep them updated.

Street + Number (optional)

Postal code (o...  City (optional)

Country

Tax identification number

Since (mm/dd/yyyy) (optional)

**Add**

## Documents

Here, the responsible can see all the documents he has to upload. Only documents marked with the red "REQUIRED" button are mandatory. Which ones are mandatory depends on the answers of the questions about the client details. In the following there is an example on how to upload a document (in this case Bylaws). This procedure also works for all other documents.

**Documents**

All documents can be provided in the following languages: German, English, French and Luxembourgish. For any other languages, a translation must be submitted by a recognised professional translator to which the 'accuracy and completeness of the translation' is certified.

Please send all originals and certified copies - ideally by courier - to the stated mailing address. It is much appreciated to provide us with a tracking number to follow the documents sent.  
If you have any questions, you can use the central email mailbox: [investors@hal-privatbank.com](mailto:investors@hal-privatbank.com).

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Grand Duchy of Luxembourg

<b>Certificate self-employed activity</b> <span>REQUIRED</span> <b>Add</b> More information ⓘ	<b>Current trade register extract or equivalent</b> <span>REQUIRED</span> <b>Add</b> More information ⓘ
<b>Current Articles of Association/ Statutes/Founding Document (or equivalent constitutive documents according to the legal form)</b> <span>REQUIRED</span> <b>Add</b> More information ⓘ	<b>Current list of authorised representatives/directors</b> <span>REQUIRED</span> <b>Add</b> More information ⓘ
<b>Proof of Residence of the UBO</b> <span>REQUIRED</span> <b>Add</b> More information ⓘ	<b>Current signed structure chart</b> <span>REQUIRED</span> <b>Add</b> More information ⓘ

**Option to upload the document as a file or via an URL**

Source  File  URL

Document URL

Document name

**Bylaws**

You can add your own document in PDF, JPEG, JPG, PNG or URL.

Drag and drop the documents to upload them.

Document 1

Source  File  URL

Select a file from your device **Select**

Document name

+ Document

**Upload**

**Bylaws**

You can add your own document in PDF, JPEG, JPG, PNG or URL.

Drag and drop the documents to upload them.

Document 1

Bylaws\_John Doe Added ✓

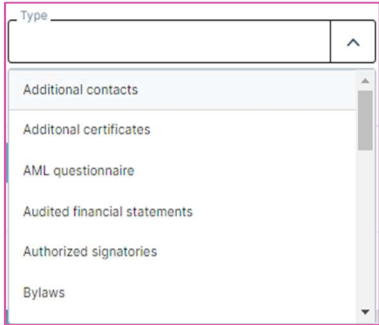
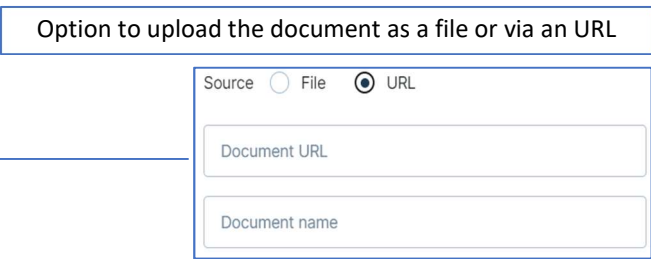
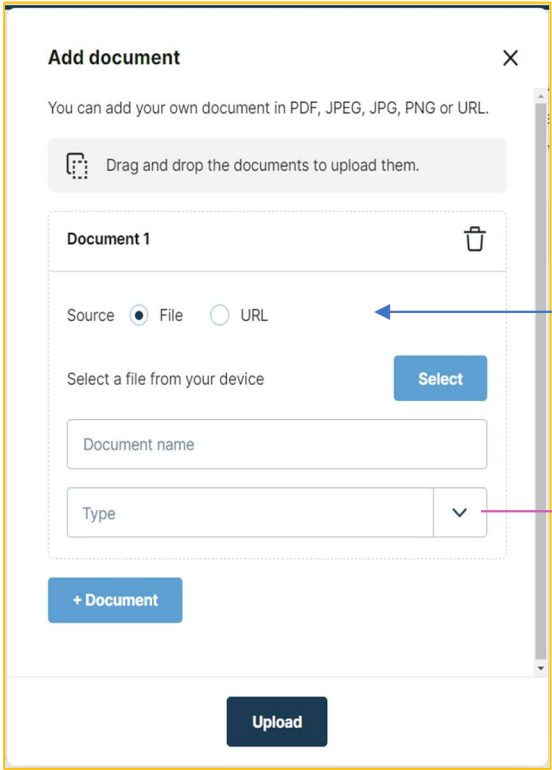
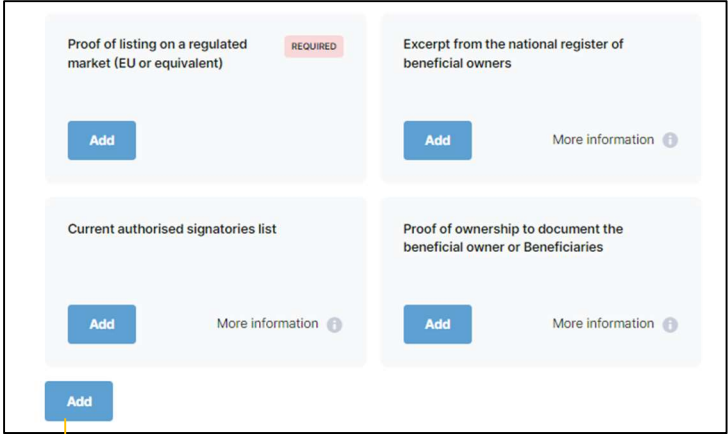
+ Document

**Close**

File Explorer: This PC > DATA DRIVED (D:) > Test

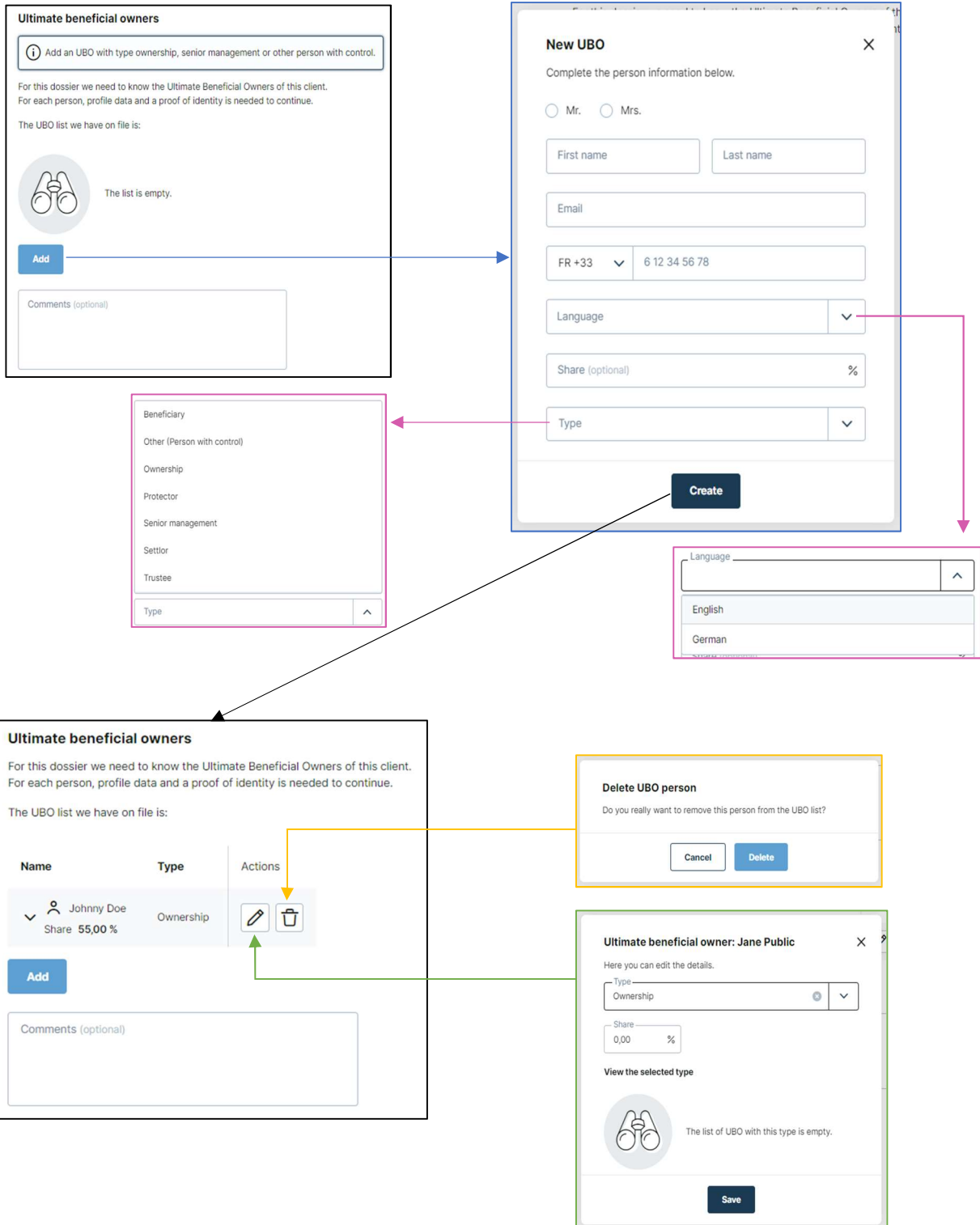
Name	Date modified	Type
FATCA_John Doe.pdf	08.06.2023 14:49	Foixit PDF Edit
Proof of ID_John Doe.pdf	08.06.2023 14:49	Foixit PDF Edit
Proof of Residence_John Doe.pdf	08.06.2023 14:49	Foixit PDF Edit
Vollmacht_John Doe.pdf	08.06.2023 14:49	Foixit PDF Edit

Via the "Add document" button, additional documents can be uploaded. However, this is optional.



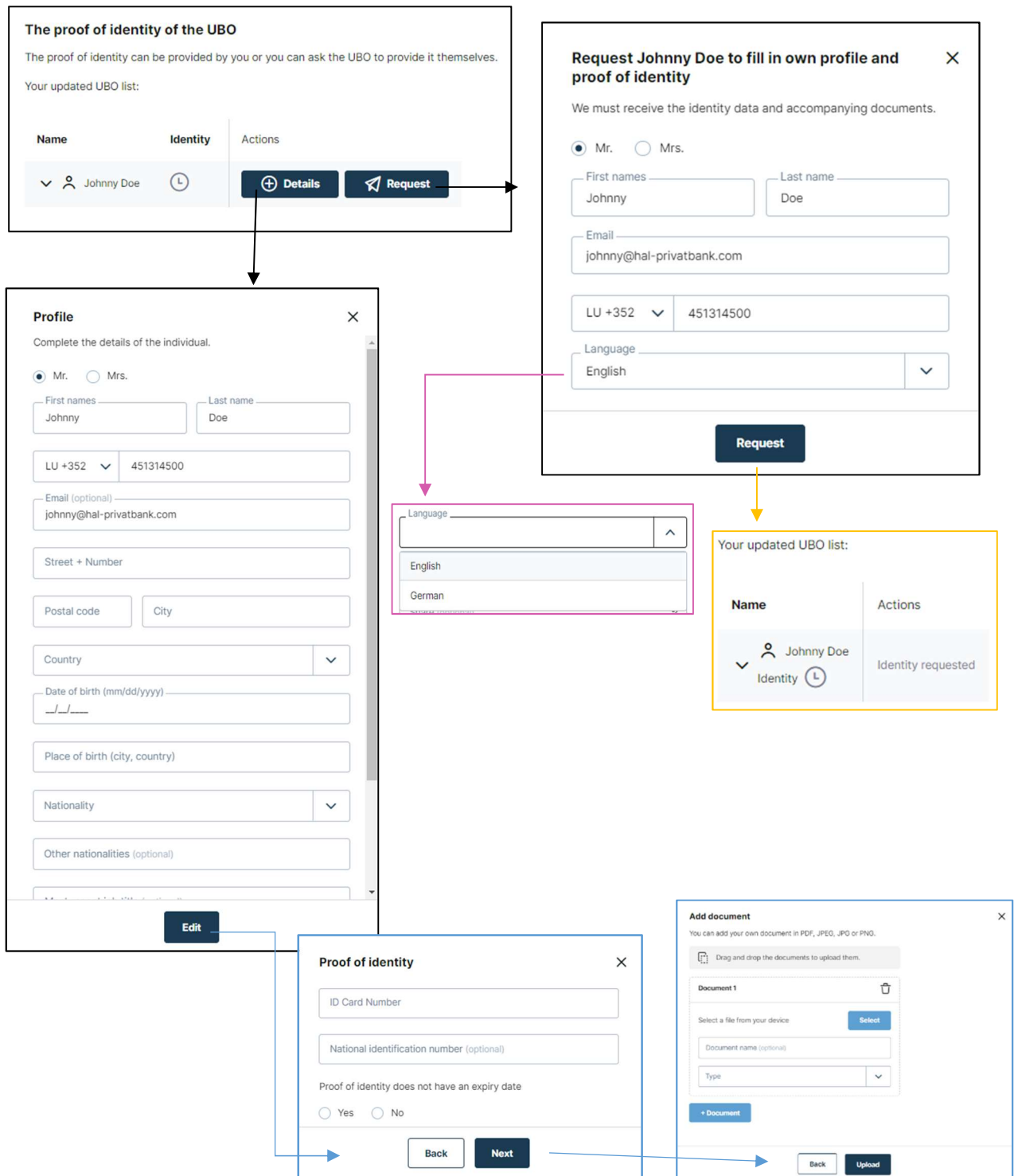
# UBO

Via the “Add” button, the responsible must add at least one UBO . In the opening window, he must then provide information about the UBO. The “Language” and “Type” fields can again be selected with a drop-down menu. The “Create” button finally adds the UBO. AN UBO can be edited by clicking on the pencil item. By clicking on the bin icon, an UBO can be deleted.



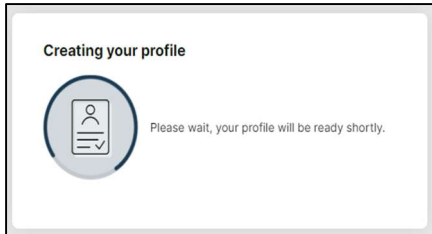
## Proof of Identity of the UBO

The responsible can either fill in the personal information and upload the proof of identity for each UBO or can request it from the UBOs. Via the “Details” button, the responsible can enter the personal information for the corresponding UBO. Via the “Request” button the responsible can enter the contact details of an UBO. When here again clicking on “Request”, an email including a link to complete their profile is sent to the UBO.



## Form

When the responsible clicks 'Next' after completing the UBO section, a PDF profile is created which contains all the data collected during the flow.



The responsible must look at the profile carefully, check all the information and, if necessary, go to the previous pages by clicking on "Previous" and make improvements or changes.

Once the responsible has done so, he can confirm at the bottom of the form that he has read and accepted the profile created. The "Confirm" button opens a window in which the responsible can cancel or re-confirm the transaction. By confirming again, the responsible closes the flow and the profile is submitted. From this point on, the responsible will not be able to make any changes.

If the investor does not agree with the profile, he can reject the file by clicking on "Reject". We ask you to specify the reasons for rejecting the profile. The data collected will be transmitted, but the dossier will be marked as "rejected by client". If the investor wants to proceed with the creation of the profile, he may request the flow to be reopened.

