

## Form for the identification of the ultimate beneficial owner of legal entities as referred to in Article 3 (1)(a) DDO (Form C)

Legal entity or account holder<sup>1</sup>

Person No.  
(Will be completed by LLBCMF.)

The following person has been identified as the beneficial owner as referred to in Article 3(1)(a) DDO:

a natural person who ultimately directly or indirectly holds or controls a share or voting rights amounting to 25% or more of that legal entity or receives 25% or more of the profits of that legal entity

a natural person who ultimately in another way exercises control over that legal entity

a natural person who is a member of the governing body if – after exhausting all possibilities and provided there is no suspicion – no person mentioned above has been determined

Last name (official last name(s))

First name (official first name(s))

Street

Postal code

Town

Country of residence

Nationality

Date of birth

Learnt occupation and current  
business activities

(to be filled in by the division private and corporate clients only)

Deliberately providing false information on this form constitutes a criminal offence under the Liechtenstein Criminal Code (Strafgesetzbuch). Any changes must be immediately notified to the person subject to due diligence.

In the event that a member of the governing body is identified as a beneficial owner, it is confirmed by signing this form that the clarifications undertaken did not yield any circumstances indicating the existence of a beneficial owner who, particularly indirectly, holds shares, voting rights, or rights to profit or who otherwise exercises control.

### **Supplementary section of the form "Identification of the ultimate beneficial owner of legal entities" pursuant to Article 3(1)(a) of the Liechtenstein Due Diligence Ordinance (DDO; Sorgfaltspflichtverordnung – SPV) (Form C) based on Article 4a(1)(b) and Article 4a(2) of the Liechtenstein Ordinance concerning International Automatic Exchange of Information in Tax Matters**

The purpose of this supplementary section is to determine the tax residency of the controlling persons of a passive NFE or of an investment entity located in a non-participating jurisdiction and managed by another financial institution.

<sup>1</sup> In the case of deviating designations, the name of the account holder must be stated as a mandatory requirement.

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Client number  
(Will be completed by the bank)

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**Declaration of information relevant for tax purposes**

Please list in the following table all countries of residence for tax purposes of the individuals mentioned in Form C together with the associated tax identification numbers (TIN). Where no information is provided, the entity expressly confirms that the country of residence stated in Form C is its sole country of residence for tax purposes. In these circumstances too, the entity must provide the Bank/Investment Firm with a TIN or, if a TIN is unavailable, indicate the reason for this unless the individuals mentioned in Form C are not reportable persons.

Countries of residence for tax purposes (please list all countries)	TIN	Reason why TIN is not available

**Declaration**

The entity acknowledges that it will be obliged to submit the form "Identification of the ultimate beneficial owner of legal entities" in accordance with Article 3(1)(a) of the DDO (Form C) and the supplementary section of this DDO form to the Bank/Investment Firm within 90 days or by the end of the calendar year, whichever date is later, if any of the information provided in this supplementary section changes.

The entity acknowledges that, where the relevant international and national statutory provisions are satisfied, the Bank/Investment Firm may be obliged to report information about the entity and its banking relationship(s) with the Bank/Investment Firm, and about its controlling persons, to the Liechtenstein tax authority to be passed on to the relevant tax authorities of the country, or countries, of residence for tax purposes.

The entity confirms that the information provided in this supplementary section is, to the best of its knowledge, complete and correct.

The entity acknowledges that the deliberate or negligent provision of false information in this supplementary section, failure to provide information about a change in circumstances and the provision of false information in connection with a change in circumstances are punishable offences under Article 28(3)(c) of the Act concerning International Automatic Exchange of Information in Tax Matters (AEOI Act; Gesetz über den internationalen automatischen Informationsaustausch in Steuersachen – AIA-Gesetz).

By signing this supplementary section, the signatory confirms that he/she is authorised to represent the entity.

Place and date

**Signature(s) of the entity's authorised signatory (signatories)**

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Will be completed by the bank. Ersteller Ordernummer	Verantwortlicher* Kurzzeichen, Unterschrift	Erstkontrolle Datum, Kurzzeichen, Unterschrift	Zweitkontrolle Datum, Kurzzeichen, Unterschrift
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\*Hiermit bestätige ich, die Plausibilität der Angaben geprüft zu haben.

\*Name Checking durchgeführt