LUXEMBOURG STOCK EXCHANGE

KYC FORM

Regulated Market / Euro MTF / SOL

In accordance with the requirements of the Law of 12 November 2004 on the fight against money laundering and terrorist financing and CSSF Regulation N° 12-02 of 14 December 2012 on the fight against money laundering and terrorist financing (both as amended), the Luxembourg Stock Exchange must identify and verify the identity of its Issuers whose securities are admitted or will be admitted on the financial markets operated by the Luxembourg Stock Exchange and/or the official list. Their beneficial owners and legal representatives are subject to the same verifications. Identification and verification must be carried out before admission of the securities and on a regular basis after admission.

Additionally, LuxSE is required to collect documents to verify the information outlined in the present KYC Form. In this context, during the course of the assessment process, LuxSE will request and collect any documents it reasonably considers necessary to comply with its legal and regulatory obligations. This process will be conducted on a case-by-case basis, taking into consideration the applicable ML/TF risk assessment performed by LuxSE.

Issuer

Full legal name:					
Legal form:					
Country of registered office:					
The entity is a Public Authority[1]:	☐	Yes	☐	No	
LEI code:					
The Issuer's shares are listed on a Regulated Market[2]:	☐	Yes	☐	No	☐ N/A
If the Issuer's shares are listed on an exchange market, please indicate the stock exchange and segment:					
The Issuer is a regulated entity in its country of establishment:	☐	Yes	☐	No	
If the Issuer is a regulated entity, please indicate the supervisory authority:					
Please indicate the email address of the department responsible for handling such AML/KYC requests:					

[1] *Please refer to the Definition section for "Public Authorities" on page 7.*

[2] *Please refer to the MiFID definition of Regulated Market in section 1 "Definitions" of the Form.*

Legal representatives

The legal representatives are natural persons who are members of a body or bodies designated in accordance with the Issuer's national law, and which are empowered to set the strategy, objectives and general direction of the entity, and that monitor and follow-up on management decisions, including the persons who actually direct the daily business of the entity.

- Please complete the table below with the information regarding the legal representatives[3].

Legal representative 1

First name / Last name:

Title / Position:

Personal address[4]:

Nationality:

Date / Place of birth:

Legal representative 2

First name / Last name:

Title / Position:

Personal address[4]:

Nationality:

Date / Place of birth:

Legal representative 3

First name / Last name:

Title / Position:

Personal address[4]:

Nationality:

Date / Place of birth:

[3] *If there are more than 4 legal representatives, please complete the information with the Form provided in the Annex 1. Please note that it is not required to provide the exhaustive list of individuals designated as legal representatives on behalf of the Issuer.*

[4] *Full postal address of the main residence: country, city, street and street number. Should you be unable to provide a personal address, please indicate at least the country of residence, the professional address and explain the reason why.*

Legal representative 4

First and last name:

Title / Position:

Personal address[5]:

Nationality:

Date / Place of birth:

Authorised signatories

The authorised signatories are the individuals who have the authority to sign on behalf of the Issuer in the framework of the business relationship with the Luxembourg Stock Exchange.

- Please complete the table with the information on the authorised signatories of the Issuer[6]; or tick the box below:

  ☐ Same as individual(s) mentioned in Legal Representative's section.

Authorised signatory 1

First and last name:

Title / Position:

Personal address[7]:

Nationality:

Date / Place of birth:

Authorised signatory 2

First and last name:

Title / Position:

Personal address[7]:

Nationality:

Date / Place of birth:

[5] [7] *Full postal address of the main residence: country, city, street and street number. Should you be unable to provide a personal address, please indicate at least the country of residence, the professional address and explain the reason why.*

[6] *If there are more than 4 authorised signatories, please complete the information with the Form provided in the Annex 2. Please note that it is not required to provide the exhaustive list of individuals designated as authorised signatories on behalf of the Issuer.*

Authorised signatory 3

First and last name:

Title / Position:

Personal address[8]:

Nationality:

Date / Place of birth:

Authorised signatory 4

First and last name:

Title / Position:

Personal address[8]:

Nationality:

Date / Place of birth:

Beneficial owners

Beneficial owner of an Issuer means, in accordance with the Luxembourg Anti-Money Laundering and Counter-Terrorism Financing ("AML/CTF") laws and regulations, any natural person(s) who ultimately owns or controls the customer or any natural person(s) on whose behalf a transaction or activity is being conducted[9]. Please note that the Beneficial Owner is always a natural person.

- ☐ N/A for a Public Authority *(LuxSE will assess the beneficial owner in accordance with Luxembourg AML and CTF laws and regulations.)*

Beneficial owner 1

First and last name:

Title / Position:

Personal address[10]:

Nationality:

Date / Place of birth:

[8] [10] *Full postal address of the main residence: country, city, street and street number.*
Should you be unable to provide a personal address, please indicate at least the country of residence, the professional address and explain the reason why.

[9] *In case of doubt, please refer to the exhaustive definition of UBO in section 1 "Definitions" of the Form.*
If there are more than 4 Beneficial Owners, please complete the information with the Form provided in the Annex 3.

Beneficial owner 2

First and last name:

Title / Position:

Personal address[11]:

Nationality:

Date / Place of birth:

Beneficial owner 3

First and last name:

Title / Position:

Personal address[11]:

Nationality:

Date / Place of birth:

Beneficial owner 4

First and last name:

Title / Position:

Personal address[11]:

Nationality:

Date / Place of birth:

[11] *Full postal address of the main residence: country, city, street and street number. Should you be unable to provide a personal address, please indicate at least the country of residence, the professional address and explain the reason why.*

Politically Exposed Persons

Politically exposed persons[12] (PEPs) mean, in accordance with the Luxembourg anti-money laundering and counter-terrorism financing laws and regulations, any natural persons who are or have been entrusted with prominent public functions and family members or persons known to be close associates, of such persons. PEPs can be involved at different level in the Issuer's structure (e.g. as Beneficial Owners, legal representatives, directors, and board members).

FULL NAME	CURRENT POSITION WITHIN THE ISSUER

Date and Signature of the Issuer

Date:
dd/mm/yyyy

Title:

Name:

Authorised signature:

[12] *In case of doubt, please refer to the exhaustive definition of PEP in section 1 "Definitions" of the Form.*

1 Definitions

Law of 12 November 2004

Law of 12 November 2004 on the fight against money laundering and terrorist financing transposing Directive 2001/97/EC of the European Parliament and of the Council of 4 December 2001 amending Council Directive 91/308/EEC on prevention of the use of the financial system for the purpose of money laundering (as amended).

CSSF Regulation N° 12-02 of 14 December 2012 (as amended)

Luxembourg CSSF Regulation No 12-02 of 14 December 2012 on the fight against money laundering and terrorist financing as amended.

Regulated Market

In accordance with Article 4(1)(21) of Directive 2014/65/EU on markets in financial instruments (MiFID II) a "Regulated Market" means a multilateral system operated and/or managed by a market operator, which brings together or facilitates the bringing together of multiple third-party buying and selling interests in financial instruments – in the system and in accordance with its non-discretionary rules – in a way that results in a contract, in respect of the financial instruments admitted to trading under its rules and/or systems, and which is authorised and functions regularly and in accordance with Title III of MiFID II.

Public Authorities

Any entity established under public law or public international law that exercises public functions or pursues a public mandate and is directly or indirectly controlled by one or more states or intergovernmental bodies.

Such entities are typically characterised by public law or treaty-based establishment, the exercise of governmental or development functions, public ownership or control, activities carried out in the public interest, and recognition as public sector entities under domestic or public international law.

The term "Public Authorities" includes, but is not limited to, the following categories:

1. **Sovereign States**
   Central governments, ministries of finance, national treasuries, debt management offices

2. **Sub-Sovereign Authorities**
   Regions, federal states, provinces, municipalities and local authorities, public territorial collectivities

3. **Public Agencies and Public Law Entities**
   Statutory bodies established under public law, public development banks, export credit agencies, social security funds, public infrastructure authorities

4. **Central Banks and Monetary Authorities**
   National central banks, monetary authorities exercising public monetary functions

5. **Government-Related Entities**
   Entities majority-owned or effectively controlled by a state, entities benefiting from an explicit or implicit state guarantee, public corporations exercising public policy functions

6. **Public International Bodies (Supranationals)**
   Entities established by international treaty or intergovernmental agreement, multilateral development banks, international financial institutions, other treaty-based organisations with legal personality under public international law

Beneficial owners

In accordance with the Law of 12 November 2004, a "beneficial owner" means any natural person(s) who ultimately owns or controls the customer or any natural person(s) on whose behalf a transaction or activity is being conducted.

The concept of beneficial owner shall include at least:

(a) In the case of corporate entities:

Any natural person who ultimately owns or controls directly or indirectly, a percentage of more than 25% of the shares or voting rights or ownership interest in that entity, including through bearer shareholdings, or through control via other means* other than a company listed on a Regulated Market that is subject to disclosure requirements consistent with European Union law or subject to equivalent international standards which ensure adequate transparency of ownership information.

If, after having exhausted all possible means and provided there are no grounds for suspicion, no person is identified under the paragraph above, or if there is any doubt that the person(s) identified are the beneficial owner(s), any natural person who holds the position of senior managing official*.

"Control via other means" may be determined in accordance with the following criteria:

(I) The direct or indirect right to exercise a dominant influence over a customer, on the basis of a contract entered into with that customer or of a clause of the articles of association of that customer, where the law governing that customer allows being subject to such contracts or such statutory clauses;

(II) The fact that a majority of the members of the administrative, management or supervisory bodies of the customer, in office during the financial year as well as the preceding financial year and until the preparation of the consolidated financial statements, were appointed through direct or indirect exercise of the voting rights of one natural person;

(III) The direct or indirect power to exercise or the actual direct or indirect exercise of a dominant influence or control over the customer, including the fact that the customer is placed under a single management with another undertaking;

(IV) An obligation, under the national law to which the parent undertaking of the customer is subject, to prepare consolidated financial statements and a consolidated management report.

"Senior management official" is to be understood in general as the legally prescribed management body and not only, for example, the chairperson of a Board of Directors. The senior management official may also be considered to be the Chief Executive Officer for the day-to-day management or any other equivalent body appointed by virtue of legal or statutory provisions, in which case only the Chief Executive Officer is to be recorded.

In principle, one senior managing official, and this being a natural person, where appropriate, should be retained as ultimate beneficial owner. Where a collegial or jointly responsible body is in charge, more than one senior managing official can be designated as UBO. The emphasis for determining the SMO should be on the actual senior managing responsibilities attributed and tasks performed rather than on the official title. The senior managing official can be understood as either the executive official or the member of the board of directors to whom the daily management has been delegated, and if no such delegation has taken place, the members of the board of directors. This will need to be considered on a case-by-case basis.

(b) In the case of fiducies and trusts, all following persons:

- the settlor(s);
- the fiduciaries(s) or trustee(s);
- the protector(s); if any;
- the beneficiaries; or
- where the individuals benefiting from the legal arrangement or entity have yet to be determined, the class of persons in whose main interest the legal arrangement or entity is set up or operates;
- any other natural person exercising ultimate control over the fiducie or trust by means of direct or indirect ownership or by other means.

(c) In the case of legal entities such as foundations, and legal arrangements similar to trusts: any natural person holding equivalent or similar positions to those referred to in point (b).

Political exposed persons (PEP)

Politically exposed persons mean, in accordance with the Law of 12 November 2004, natural persons who are or have been entrusted with prominent public functions and family members or persons known to be close associates, of such persons.

(a) **Natural persons who are or have been entrusted with prominent public functions** mean all natural persons, including:

- (I) Heads of State, heads of government, ministers and deputy or assistant ministers;
- (II) Members of parliament "or of similar legislative bodies";
- (III) Members of supreme courts, of constitutional courts or of other high-level judicial bodies, the decisions of which are not subject to further appeal, except in exceptional circumstances;
- (IV) Members of courts of auditors or of the boards "or directorates" of central banks;
- (V) Ambassadors, chargés d'affaires and high-ranking officers in the armed forces;
- (VI) Members of the administrative, management or supervisory bodies of State-owned entities;
- (VII) Important officials "and members of the governing bodies of political parties;
- (VIII) Directors, deputy directors and members of the board or equivalent function of an international organisation;
- (XIX) Natural persons exercising the functions included in the list published by the European Commission based on Article 20a(3) of Directive (EU) 2015/849 of the European Parliament and of the Council of 20 May 2015 on the prevention of the use of the financial system for the purpose of money laundering or terrorist financing."

(b) **Family members** mean all physical persons, including in particular:

- (I) The spouse;
- (II) Any partner considered by national law as equivalent to the spouse;
- (III) The children and their spouses, or partners "considered by national law as equivalent to a spouse";
- (IV) The parents;
- (V) The brothers and sisters.

(c) **Persons known to be close associates** mean all natural persons, including:

- (I) Any natural person who is known to have joint beneficial ownership of legal entities or legal arrangements, or any other close business relations,
- (II) Any natural person who has sole beneficial ownership of a legal entity or legal arrangement, which is known to have been set up for the benefit, de facto of the person referred as PEP.

2 Data Protection

Any personal data, as defined in the Regulation (EU) 2016/679 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (GDPR), provided by mean of this KYC Form (the "Personal Data") will be processed by LuxSE in compliance with the GDPR requirements. LuxSE will act as a data controller.

Purpose and lawfulness of the processing of Personal Data

Personal Data will be processed by LuxSE in order for LuxSE to comply with the customer due diligence obligations pursuant to the Luxembourg Law of 12 November 2004 on the fight against money laundering and terrorist financing ("AML/TF") and for managing the relationships and follow-up with the clients or their beneficial owners ("UBOs") and legal representatives. In this respect, LuxSE needs to collect information to identify and verify the identity of its clients, their UBOs and legal representatives. More specifically, this information and documentation is collected as part of the "know your customer" requirements ("KYC") set out in CSSF Regulation 20-05 with the aim of preventing the risk of ML/TF.

LuxSE will collect information and documentation containing Personal Data to fulfil its AML/KYC obligations during the onboarding process and this information will be updated on a periodic basis as part of the ongoing due diligence on its customers.

Personal Data collected by LuxSE

Pursuant to the Article 16(1) of CSSF Regulation 20-05, LuxSE is required to collect the following information to identify the UBOs and legal representatives of its clients: surname and first name, place and date of birth, nationality, full postal address of the customer's main residence, and, where necessary, the official identification number.

In addition, LuxSE is required to collect documents that may contain personal data to verify the information listed above.

It should be noted that LuxSE will not process specific categories of personal data under the meaning of the Article 9 of GDPR (i.e. sensitive data).

Retention period

The Personal Data collected during the KYC process will be stored for a duration determined in accordance with legal data retention periods, i.e. 5 year after the termination of the business relationship.

Transfer of Personal Data

LuxSE may share the Personal Data with:

- Relevant regulators and, more generally, any competent authority when LuxSE is required to do so;
- LuxSE's auditors where it is necessary as part of their auditing functions; and
- Third party service providers for screening, storage and reporting systems.

Security

LuxSE takes reasonable and appropriate technical and organisational security measures in order to:

- Store the Personal Data in secure databases or systems with restricted access:
  - The Personal Data processed through the KYC checks is kept in a secured folder that is only accessible by the compliance officers in charge of the control ; and
  - The Personal Data is segregated from the rest of the information and documents in the compliance environment.
- Protect the Personal Data against loss, accidental or intentional misuse, alteration, destruction and access by unauthorised persons.

However, LuxSE cannot be held liable for disclosure of Personal Data sent by e-mail or though other inherently unsecure communication means.

LuxSE will notify the Issuer without undue delay in the event LuxSE becomes aware of any unauthorised or improper use, access or disclosure of the Personal Data, which is likely to result in a high risk to the Issuer's rights and freedoms.

Data subjects rights and contact information

In accordance with the GDPR, the Issuer has the following rights with respect to the processing of the Personal Data:

- To access and, where applicable, to obtain copies of the Personal Data;
- To request the rectification or correction of the Personal Data if they are incomplete or incorrect;
- To require the deletion of the Personal Data, unless there is a legitimate reason for LuxSE to justify storing them;
- To require that the processing of the Personal Data be limited; and
- To object to the processing of Personal Data. However, this may be an obstacle to entering into a relationship or to the contractual relationship continuing between the Issuer and LuxSE.

To exercise these rights, the Client or the data subject may contact LuxSE by email at **privacy@luxse.com**. Similarly, if any of the Personal Data provided to LuxSE changes or becomes no longer up-to-date, the Issuer or the data subject should send an email to **privacy@luxse.com**. LuxSE will not be responsible for any losses arising from any inaccurate, inauthentic, deficient or incomplete Personal Data provided to LuxSE.

In addition, if the Client and/or the data subject considers that the processing of its personal data by LuxSE infringes the GDPR, the Client and/or the data subject can lodge a complaint with the CNPD (Commission Nationale pour la Protection des Données).

LUXEMBOURG
STOCK EXCHANGE

ANNEX 1: TABLE ON THE LEGAL REPRESENTATIVES

Legal representative 5

First and last name:

Title / Position:

Personal address[1]:

Nationality:

Date / Place of birth:

Legal representative 6

First and last name:

Title / Position:

Personal address[1]:

Nationality:

Date / Place of birth:

Legal representative 7

First and last name:

Title / Position:

Personal address[1]:

Nationality:

Date / Place of birth:

[1] *Full postal address of the main residence: country, city, street and street number. Should you be unable to provide a personal address, please indicate at least the country of residence, the professional address and explain the reason why.*

Legal representative 8

First and last name:

Title / Position:

Personal address[2]:

Nationality:

Date / Place of birth:

Legal representative 9

First and last name:

Title / Position:

Personal address[2]:

Nationality:

Date / Place of birth:

Legal representative 10

First and last name:

Title / Position:

Personal address[2]:

Nationality:

Date / Place of birth:

[2] *Full postal address of the main residence: country, city, street and street number. Should you be unable to provide a personal address, please indicate at least the country of residence, the professional address and explain the reason why.*

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STOCK EXCHANGE

ANNEX 2: TABLE ON THE AUTHORISED SIGNATORIES

Authorised signatory 5

First and last name:

Title / Position:

Personal address[1]:

Nationality:

Date / Place of birth:

Authorised signatory 6

First and last name:

Title / Position:

Personal address[1]:

Nationality:

Date / Place of birth:

Authorised signatory 7

First and last name:

Title / Position:

Personal address[1]:

Nationality:

Date / Place of birth:

[1] *Full postal address of the main residence: country, city, street and street number. Should you be unable to provide a personal address, please indicate at least the country of residence, the professional address and explain the reason why.*

Authorised signatory 8

First and last name:

Title / Position:

Personal address[2]:

Nationality:

Date / Place of birth:

Authorised signatory 9

First and last name:

Title / Position:

Personal address[2]:

Nationality:

Date / Place of birth:

Authorised signatory 10

First and last name:

Title / Position:

Personal address[2]:

Nationality:

Date / Place of birth:

[2] *Full postal address of the main residence: country, city, street and street number. Should you be unable to provide a personal address, please indicate at least the country of residence, the professional address and explain the reason why.*

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ANNEX 3: TABLE ON THE BENEFICIAL OWNERS

Beneficial owner 5

First and last name:

Title / Position:

Personal address[1]:

Nationality:

Date / Place of birth:

Beneficial owner 6

First and last name:

Title / Position:

Personal address[1]:

Nationality:

Date / Place of birth:

Beneficial owner 7

First and last name:

Title / Position:

Personal address[1]:

Nationality:

Date / Place of birth:

[1] *Full postal address of the main residence: country, city, street and street number.*
Should you be unable to provide a personal address, please indicate at least the country of residence, the professional address and explain the reason why.

Beneficial owner 8

First and last name:

Title / Position:

Personal address[2]:

Nationality:

Date / Place of birth:

Beneficial owner 9

First and last name:

Title / Position:

Personal address[2]:

Nationality:

Date / Place of birth:

Beneficial owner 10

First and last name:

Title / Position:

Personal address[2]:

Nationality:

Date / Place of birth:

[2] *Full postal address of the main residence: country, city, street and street number. Should you be unable to provide a personal address, please indicate at least the country of residence, the professional address and explain the reason why.*