

Please complete this questionnaire fully and truthfully. All information is treated with strict confidentiality and used exclusively for compliance with the legal due diligence obligations of ALVIAL Holding AG. Incomplete information may result in the rejection of the business relationship.

A. Identification of Company / Person

A.1 General Information

Full Company Name / Name

Legal Form

e.g. AG, GmbH, KG, individual

Date of Incorporation / Date of Birth

DD.MM.YYYY

Commercial Register Number

e.g. CHE-xxx.xxx.xxx / HRB xxxxx

UID / Tax Number

Country of Registration

A.2 Contact Details

Business Address (Street, No.)

Postcode / City

Country

Phone

Email

Website

Contact Person

Name and function

B. Ownership Structure and Beneficial Owners

B.1 Ownership Structure

Is the company listed on a stock exchange?

Yes ☐

No ☐

Are there direct owners holding more than 25%?

Yes ☐

No ☐

Are there indirect owners with more than 25% control?

Yes ☐

No ☐

Are there fiduciary arrangements or nominee structures?

Yes ☐

No ☐

Is the company part of a corporate group?

Yes ☐

No ☐

B.2 Beneficial Owners (Ultimate Beneficial Owner)

Please list all beneficial owners with more than 25%:

Surname, First Name	Date of Birth	Nationality	Shareholding %	Place of Residence

C. Politically Exposed Persons (PEP)

Are you yourself a politically exposed person (PEP)?

Yes ☐

No ☐

Are you a family member or close associate of a PEP?

Yes ☐

No ☐

Do you or close associates hold or have held public office?

Yes ☐

No ☐

If yes: Please describe the function / office

D. Business Activity and Purpose of Relationship**D.1 Description of Business Activity**

Main Business Activity

Industry / Sector

Annual Revenue (CHF)

approximate figure

Number of Employees

Main Markets / Countries

Countries of operation

D.2 Purpose of Business Relationship with ALVIAL Holding AG

Desired Service

e.g. Investment, Capital Participation, Financing

Transaction Volume (estimated)

CHF

Planned Duration of Cooperation

E. Source of Funds and Wealth

Do the funds used for the transaction originate from regular business operations?

Yes ☐

No ☐

N/A ☐

Were funds generated from the sale of assets (real estate, companies)?

Yes ☐

No ☐

N/A ☐

Do the funds originate from an inheritance, gift or advance on inheritance?

Yes ☐

No ☐

N/A ☐

Has debt financing (loans, credit) been used? Yes ☐ No ☐ N/A ☐

Are cryptocurrencies or digital assets involved? Yes ☐ No ☐ N/A ☐

Please describe the exact origin of the funds intended for this transaction

F. Sanctions and Compliance

Are you or any affiliated companies listed on a sanctions list (EU, OFAC, UN, Switzerland)? Yes ☐ No ☐

Are you or your company subject to any regulatory or government investigation? Yes ☐ No ☐

Have criminal proceedings been initiated against you (money laundering, fraud, corruption)? Yes ☐ No ☐

Do you operate in a country on the FATF high-risk list? Yes ☐ No ☐

Does your organisation have its own AML / compliance programme? Yes ☐ No ☐

Has your organisation submitted AML reports in the last 5 years? Yes ☐ No ☐

If yes to any of the above: Please provide details

G. Banking and Payment Details

Name of Main Bank

Country of Main Bank

IBAN / Account Number
for verification only

SWIFT / BIC

Are payments processed through third parties? Yes ☐ No ☐

Are cryptocurrencies used as means of payment? Yes ☐ No ☐

Do you hold accounts in offshore jurisdictions? Yes ☐ No ☐

H. Declaration and Signature

Declaration: I/We confirm that all information provided above is complete and truthful. I/We undertake to notify any changes to the information provided without delay. I/We acknowledge that false information may result in the immediate termination of the business relationship and the filing of a criminal complaint. I/We consent to the processing of the above data for compliance purposes.



Place, Date



Legally valid signature / stamp

*Please send this completed questionnaire together with the required documents (commercial register extract, ID copy, proof of address) to:
info@alvialholdingag.com*