

Equilibristen gerechtsdeurwaarders

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APPENDIX 1a UBO-statement

Ultimate Beneficial Owner (UBO) statement related to the Auction of trademarks taking place on 17 June 2024

Why this form?

Bailiffs conducting an Auction have to comply with financial supervision regulations and legislation, such as the Money Laundering and Terrorist Financing (Prevention) Act, the Financial Supervision Act and the sanctions regulations and legislation, requiring us to conduct a customer due diligence review. Part of our due diligence is to determine the Ultimate Beneficial Owners, abbreviated to 'UBO', and check them against the domestic and international sanction lists. Without a customer due diligence review and completed UBO statement, we cannot process your bid or payments and you will not be admitted to the Auction.

Who are your UBOs?

If your organization is a legal entity, such as an association, foundation, co-operative, mutual benefit company, public company limited by shares, private company with limited liability or a similar legal form under foreign law, then your UBO(s) is/are:

- each natural person who holds a direct or indirect interest of 25% or more in the capital (shares or ownership interest) of your organisation and/or
- each natural person who can, directly or indirectly, exercise 25% or more of the voting rights at the general meeting of your organisation and/or
- each natural person who is the beneficiary of 25% or more of the assets of your organisation and/or
- each natural person who has special control of 25% or more of the assets of your organisation. This is understood to mean that the person has a special controlling right laid down in (for example) the articles of association and/or
- each natural person who has *effective control*¹ of your organisation.

Note: if the shares in your organisation have been transferred to a Trust Foundation, the holders of the corresponding depository receipts may qualify as UBOs based on the above-mentioned criteria.

If your organisation is a one-man business or unincorporated partnership, such as a general, trading or limited partnership or a similar legal form under foreign law, then your UBO is:

- each natural person who in case of dissolution of your organisation is entitled to 25% or more of the dissolved organisation and/or
- each natural person who is entitled to 25% or more of the profits of your organisation and/or

¹ *effective control* of a legal entity or unincorporated partnership is the case if a natural person:

(i) has the authority to appoint or discharge the majority of a supervisory, executive or administrative body,

(ii) has control of the majority of the voting rights,

(iii) has an otherwise controlling influence on the organisation and/or

(iv) has the power of disposal of (part of) the assets of the organisation.

Note: there has to be at least 1 person with effective control.



- each natural person who can exercise 25% or more of the voting rights if decision-making in your organisation requires a majority of votes and/or
- each natural person who has effective control of your organisation.

Details of your organisation

Registration number: _____

Name: _____

Legal form: _____

Address: _____

The undersigned:

declares that he/she is authorised to represent the organisation;

declares that he/she has attached the following documents to this form:

- a copy of the registration in the Trade Register or a legal certificate of incorporation or equivalent document
- if your organisation is not registered in a Trade Register: a copy of the memorandum of association and/or articles of association and/or trust deed, which is relevant for the determination of interest and control;
- a copy of his/her valid identity document;
- a copy of a valid identity document of the UBOs;
- an organisational chart of the ownership and control structure of the organisation;
- for EU registered entities: copy / extract of the UBO register, evidencing the registration of the UBOs.

Questionnaire

The following questions have to be answered to identify the UBOs of your organisation. If you answer one or more questions with Yes, please fill in the details of these natural persons on the next page. When in doubt, please fill in the details of potential UBOs on the next page as well. Attention: there may be more than one UBO.

1. Are there natural persons who directly or indirectly hold 25% or more shares in the legal entity either directly or through another legal entity?
 - Yes
 - No
2. Are there natural persons who directly or indirectly are entitled to or have special control of 25% or more in the profits of the organisation?
 - Yes
 - No
3. Are there natural persons who are directly or indirectly entitled to a share

of 25% or more in the profits of the organisation?

- Yes
- No

4. Are there natural persons who can directly or indirectly exercise 25% or more of the voting rights at the general meeting of the organisation?

- Yes
- No

In addition to the persons qualifying as UBO based on questions 1 through 4, persons with effective control are UBOs too. In this respect board members and/or authorised signatories should be considered.

Did you answer question 1 with Yes, then please fill in the details of all UBOs on the next page, stating the Percentage held per UBO.

Did you answer question 2, 3 or 4 with Yes, then please fill in the details of all UBOs on the next page and tick the field Control. In addition, please fill in the details of persons with effective control, including the title of the management position.

Note: there has to be at least 1 person with effective control.

If one UBO holds a Percentage Share and has Control as well, then please state both.

If in your opinion no UBO can be identified, please fill in the details of the natural persons who are authorised to take board resolutions and to sign on behalf of your organisation.

Per UBO, completion of all fields except Insertion(s) is required as well as one of the fields Percentage Share or Control

Details UBO 1

Given names _____ Home address _____

Middle name(s) _____

Surname _____ Postcode and city _____

Date of birth _____ Country _____

Place of birth _____

Country of birth _____ Nationality _____

Percentage directly held: _____ (% Share)

Percentage indirectly held: _____ (% Share)

Management position (title): _____ (Control)

Details UBO 2

Given names _____ Home address _____

Middle name(s) _____

Surname _____ Postcode and city _____

Date of birth _____ Country _____

Place of birth _____

Country of birth _____ Nationality _____

Percentage directly held: _____ (% Share)

Percentage indirectly held: _____ (% Share)

Management position (title): _____ (Control)

Details UBO 3

Given names _____ Home address _____

Middle name(s) _____

Surname _____ Postcode and city _____

Date of birth _____ Country _____

Place of birth _____

Country of birth _____ Nationality _____

Percentage directly held: _____ (% Share)

Percentage indirectly held: _____ (% Share)

Management position (title): _____ (Control)

Details UBO 4

Given names _____ Home address _____

Middle name(s) _____

Surname _____ Postcode and city _____

Date of birth _____ Country _____

Place of birth _____

Country of birth _____ Nationality _____

Percentage directly held: _____ (% Share)

Percentage indirectly held: _____ (% Share)



Management position (title): _____ (Control)

Signature

The undersigned, either severally or jointly authorised to sign on behalf of the organisation and thereby bind it, declare(s) to have completed this form in full and truthfully.

Signature by the organisation (to be signed by a duly authorised director).

1)

Name _____

Date _____

Place _____

Signature _____

2)

Name _____

Date _____

Place _____

Signature _____

Please enclose a copy of proof of identity for each signatory with this signed declaration.

Additional information on the business

Please answer the following questions

What precisely are the commercial activities of your organization and what is primary source of funds?

In which countries does the business operate?



Additional information on your business for the financial integrity check

We are required by law to check the persons involved with the Auction against lists of names available to financial institutions. We do this after we have received the signed registration form and UBO statement from you. Your admittance to the Auction will be under the suspensive condition that this check does not show that your company, a representative or authorised representative of your company, an ultimate beneficiary of your company or other person involved:

- is or may be connected with money laundering and/or financing terrorism;
- is on a domestic or foreign sanctions list;
- is a politically exposed person with an enhanced integrity risk.

If any of the above situations arises, the admittance to the Auction will be refused. We will notify you accordingly.

Privacy

The General Data Protection Regulation (GDPR/AVG) applies to the processing of personal data. The information provided in this form is processed as part of the screening that we have to perform to comply with the Due Diligence requirements arising from the Financial Supervision Act (Wet op het financieel toezicht), the Sanctions Act (Sanctiewet) and regulations. The information is also processed to prevent and combat fraud against financial institutions. The controller of the processing of personal data obtained from this UBO form is the legal entity named in the communications which this UBO form is part of.

