



## SUBSCRIPTION FORM FOR ENTITIES LYNX

PLEASE USE CAPITAL LETTERS!

*Complete company name			*Company reg. No.
*Official registered address		Contact person	
*Postal code	*City/town	*Country	
*Tel. daytime (incl. country and area codes)	Fax (incl. country and area codes)	*Country (domicile for tax purposes)	
Email address			
*Amount (minimum initial investment SEK 500,000 thereafter a minimum of SEK 100,000 per occasion)		*Bank	
*Account number/IBAN (for payment of redemptions)			*BIC

**\*Required information**

**\*Investment horizon**

<1 year    1–3 years    >3 years

**\*Is the money that is supposed to be invested transferred from another country than Sweden?**

No    Yes .....

**\*The money that is supposed to be invested originates from** (this applies for investments of SEK 5,000,000 or more)

- property sales    corporate sales
- funds from the company's ordinary activities
- other, .....

**\*Please tick A or B where relevant**

- A: Subscription is being made on own behalf
- B: Subscription is being made as an intermediary of persons who will be beneficially entitled to the investment

**Beneficial owner(s):**

For foundations: Beneficiary to 25 per cent or more of the foundation's resources – if any.

Other entities: Beneficial owner (this refers to a legal or natural person who owns or has voting rights to more than 25 per cent of the shares in the company) – if any. If there is no beneficial owner, the chairman of the board, the chief executive officer or equivalent senior person is referred to as beneficial owner and should be listed below.

There is no beneficial owner

Name	Address	Personal ID No./Company reg. No.	Beneficial owner through ownership/voting rights <input type="checkbox"/> Yes <input type="checkbox"/> No
Name	Address	Personal ID No./Company reg. No.	Beneficial owner through ownership/voting rights <input type="checkbox"/> Yes <input type="checkbox"/> No
Name	Address	Personal ID No./Company reg. No.	Beneficial owner through ownership/voting rights <input type="checkbox"/> Yes <input type="checkbox"/> No

**\*Is the beneficial owner a politically exposed person?**    Yes    No

**\*Is the beneficial owner a family member or known close associate to a politically exposed person?**    Yes    No

The subscription form must be received by SS&C Financial Services (Ireland) Limited ("SS&C") **not later than two business days** before the subscription date. The subscription date is the last business day in each month. After approval, the subscription form will be confirmed by email by SS&C. Payment shall be made to the fund's account with SEB, Skandinaviska Enskilda Banken AB (publ), to account number **SEB 5851-10 485 10. IBAN SE 22 5000 0000 0585 1104 8510, BIC ESSESESS** **no later than two business days** before the subscription date.

Please provide company registration number and company name with the deposit. A contract note will be provided after payment has been received and the unit value determined. The latter takes place after the end of the month.

**How to subscribe units in the Lynx Fund**

These instructions are a summary of the subscription rules provided in the fund's information memorandum.

- Fill in this subscription form. Remember to enclose the requested documents on page 2 regarding measures against money laundering. Your application to subscribe must reach SS&C no later than two business days before the applicable subscription date. The fund's subscription date is the last business day in each calendar month.
- Fill in the enclosed Simplified self-certification form.
- Send the form to: email: [LynxISTrading.IR@sscinc.com](mailto:LynxISTrading.IR@sscinc.com).
- Pay the subscription amount to the fund's bank account IBAN SE 22 5000 0000 0585 1104 8510. BIC: ESSESESS. The payment amount must be received no later than two business days before the subscription date. Please provide company registration number and company name with the deposit.

**Fees:**

- Subscription fee: 0 per cent.
- Management fee: 1 per cent per annum.
- Performance fee: 20 per cent above yield threshold (90-day Swedish treasury bill)

The complete fund terms and conditions are provided in a separate information memorandum.

Cont. on next page.

**LYNX ASSET MANAGEMENT AB**

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Fax +46 8 663 33 28

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[info@lynxhedge.se](mailto:info@lynxhedge.se)

Reg. no 556573-1782  
Registered office Stockholm

## THE ACT ON MEASURES AGAINST MONEY LAUNDERING AND TERRORIST FINANCING

There are rules in Sweden to prevent the financial system from being used for money laundering and terrorist financing. The rules are derived from the EU third money laundering directive, which means that the same rules are applicable in other EU countries. The rules state, i.e., that financial institutions have to collect information in order to "know their clients".

### Documentation requirements

The rules require the following documents to be handed over to the company in connection with subscriptions to and redemptions of fund units.

Application form, current certificate of incorporation/registration or equivalent and a certified copy of a valid identification document for the person(s) signing on behalf of the company (see below for instructions regarding certification). In the case of authorised signatories who are not Swedish citizens, such a valid identification document shall be their passport, national identity card or ID issued by a Government body showing the photograph and signature. In addition, persons who are not registered in Sweden must also enclose certified copies of two utility bills, by which is meant electricity, telephone, or water bills, or the like.

### Politically exposed persons

A politically exposed person is a person who holds or has held an important public position in a state or an international organisation. Individuals in important public positions are, among others, Heads of State, members of parliament, ministers, supreme court and supreme administrative court judges, national audit officers, members of the executive board of central banks, ambassadors, officers of high rank, directors or members of the board of state owned companies, or a member of senior management in an international organisation.

### Certification

To certify means to witness and confirm/verify that an abstract or copy is an identical copy of the original. In order for a copied identity document to be regarded as correctly certified it shall be endorsed by one person (other than the person who wishes to subscribe to units in the fund) by writing his signature, his name in block capitals and his telephone number directly on the copy together with wording to the effect that the copy is an identical copy of the original.

Example:

I herewith certify that this copy is an identical copy of the original document



FIRST NAME LAST NAME, TEL. +12 125 456 78

NB! As a consequence of the rules against money laundering we will be compelled not to accept applications to subscribe to the Fund if the above mentioned documentation is not complete. Subscription payments already received will be repaid to the sender's account, subject to applicable law, or to the account entered on the subscription form by the subscriber. The funds will be repaid without compensation for interest.

## ELECTRONIC DISTRIBUTION

I/we hereby confirm that I/we have read and understood the risks associated with electronic communications as described in the Information memorandum and agree to receive information about my/our holding(s) to the email address(es) below. I/we shall not hold the Fund, the Directors, the Administrator or any director, officer, employee or agent thereof, liable now or at any time for any damage, financial or otherwise, which I/we may suffer with respect to any electronic communication.

Email address .....

### Data Privacy

For information on our processing of personal data, please refer to our Privacy Notice available on Lynx Asset Management's web site, [www.lynxhedge.se](http://www.lynxhedge.se). The Administrator's data privacy statement is available at <https://www.ssctech.com/about/privacy>.

### Signature

*I/We solemnly declare that the above information is correct and that I/we will without delay inform Lynx Asset Management AB (the "Company") and/or SS&C Financial Services (Ireland) Limited (the "Administrator") about any changes to the information given above including change of domicile, any changes in name, address and bank account number. I/We confirm that I/we have read, understood and accept the fund terms and conditions and the information about the Fund as presented in the simplified prospectus and the information memorandum. Furthermore, I/we assure that I/we by signing this subscription form and following the purchase of units in the Fund am/are not violating the laws or regulations in my/our home country. I/We acknowledge that the Administrator in its absolute discretion reserves the right to request from me/us any such other or additional documentation where it deems it appropriate to do so to enable the Administrator to determine my/our compliance with applicable regulatory requirements. I/We confirm that the Company and/or the Administrator may use this information if the authorities so require. I am/We are aware that the Company does not provide financial advice of the kind that is referred to in the Act (2003:862) concerning Financial Advice to Customers or such investment advice referred to in the Act (2013:561) on managers of alternative investment funds. I/We further confirm that I/we have not engaged the Company to provide such information. I/We understand and agree that any redemption proceeds paid to me/us will only be paid to the account of record and to a bank account in my/our name and with a recognized financial institution and acknowledge that the Company and/or the Administrator reserve the right to refuse to make any redemption payment if such payment might result in a breach or violation of any applicable anti-money laundering or other laws or regulations.*

### Note!

A certificate of incorporation/registration or equivalent and a certified copy of good quality of a valid identification document of the authorized signatory must be enclosed.

.....  
City/town, date

.....  
City/town, date

.....  
Signature by authorised signatory

.....  
Signature by authorised signatory

.....  
Clarification of signature

.....  
Clarification of signature

# SELF-CERTIFICATION

Self-certification for companies, trusts, associations, financial institutions and other entities

Company name	Company reg. No.
*Country (domicile for tax purposes)	*Taxpayer Identification Number (TIN) (definition on next page)

\*If tax-resident in multiple countries, please indicate all.

The certification shall be completed on one of the three Parts of this form. For definitions, please see the instructions on the next page. Please contact the Fund's Administrator if none of the options below are applicable.

## Part 1 Financial institution

The undersigned authorised signatory/signatories certifies/certify that the entity is a Financial institution under supervision in:

Country	GIIN Number, or reason for not having a GIIN Number
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Please select as appropriate,

- An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.
- Other Investment Entity.
- Depository Institution, Custodial Institution or Specified Insurance Company.

## Part 2 Active non-financial entity

- The undersigned authorised signatory/signatories certifies/certify that the entity is an Active non-financial entity i.e. it is not a Financial institution or a Passive non-financial entity.

Please select as appropriate,

- A corporation the stock of which is regularly traded on an established market place.
- A Government Entity or Central Bank.
- An International Organisation.
- Other Active non-financial entity.

## Part 3 Passive non-financial entity

- a) The undersigned authorised signatory/signatories certifies/certify that the company is a Passive non-financial entity.  
Please select as appropriate, b or c
- b)  The undersigned hereby also certifies/certify that the entity does not have any Controlling persons or
- c)  The undersigned hereby also certifies/certify that the entity has indicated the name, address and TIN (taxpayer identification number) for all its Controlling persons below. If the entity has more than two Controlling persons, information corresponding to the below can be completed on a separate form for Controlling persons.

## Controlling person 1

Name	Date of birth
Address	
City/Country of birth	
Taxpayer Identification Number (TIN) (definition on next page)	Type of Controlling person (definition on next page)

## Controlling person 2

Name	Date of birth
Address	
City/Country of birth	
Taxpayer Identification Number (TIN) (definition on next page)	Type of Controlling person (definition on next page)

The undersigned shall provide a new self-certification within 30 days if any certification made herein becomes incorrect.

The undersigned hereby acknowledge that the information contained in this form and information regarding the investing entity and Controlling person may be reported to the tax authorities in Sweden and exchanged with tax authorities of other countries.

City/town, date	City/town, date
Authorized signatory	Authorized signatory
Clarification of signature	Clarification of signature

Lynx Asset Management AB or the Fund's Administrator may request further information in relation to FATCA and CRS. In order for a subscription order to be considered complete all requested information must be provided to Lynx Asset Management AB or the Fund's Administrator.

## **Instructions to the Self-certification form**

An entity is a company, trust or other association that is defined as an entity in the Act (2015:62) on identification of reportable financial accounts due to the FATCA agreement or the Act (2015:911) on identification of reportable financial accounts in relation to automatic exchange of information on financial accounts.

## **Definitions**

### **Active non-financial entity**

An entity where less than 50 percent of the gross income for the preceding calendar year or other appropriate reporting period is Passive income and less than 50 percent of the assets held by the company during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of Passive income.

The term Active non-financial entity is applied for:

- the stock of the non-financial entity is regularly traded on an established securities market or the company is a related entity of an entity the stock of which is regularly traded on an established securities market,
- the non-financial entity is not yet operating a business (the first two years),
- non-financial entities in liquidation or dissolution,
- holding companies where substantially all of the activities of the company consists of holding (in whole or in part) the outstanding stock of, or providing financing and services to, subsidiaries that are not financial entities,
- financial entities within a non-financial group that primarily engages in financing and hedging transactions with, or for, related entities that are not financial entities.

### **Trusts and other associations that are deemed as Active non-financial entities**

- entities that are non-profit organizations acting for public benefit or registered faith communities subject to particular tax exemption under Chapter 7 in the Swedish Income Tax Code (1999:1229);
- charitable foundations that meet the requirements for particular tax exemptions in Chapter 7 in the Swedish Income Tax Code (1999:1229); and
- any other entity subject to tax exemption in Chapter 7, Sections 15-17 in the Swedish Income Tax Code (1999:1229).

### **Controlling person**

A Controlling person can be any natural person who ultimately exercises control over an entity through direct or indirect ownership of or control over more than 25 per cent of the shares (capital, units or equivalent) or voting rights, or who otherwise controls the entity. A future beneficiary and holder of 25 per cent or more of assets managed by i.e. a trust is also considered a Controlling person.

### **Financial institution**

The term Financial institution means a custodial institution, a company providing depository services within its role as a credit institution or certain specified insurance companies. Investment entities are also to be viewed as Financial institutions. An entity is an Investment entity if it in its line of business conducts one of the following activities:

- trading in financial instruments
- individual and collective portfolio management, or
- other investing, administering, or managing of assets.

An entity shall also be considered as a Financial institution if the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets where the entity is managed by another entity that is a Financial institution as described in the first section.

### **Passive income**

Passive income can be: dividend, interest, rent and royalty, annuity, capital from a life insurance, certain other insurance compensation, capital gains from sales that produce Passive income, capital gain from commodity sales, capital gains from foreign exchange and capital gains from derivatives. Rent in a business with employed personnel is most commonly not regarded as passive income.

### **Passive non-financial entity**

A Passive non-financial entity is a company that is neither a Financial institution nor an Active non-financial entity.

### **Taxpayer identification number**

An identification number for a taxpayer or the equivalent (if such number does not exist).

### **Please note!**

All definitions above are summaries of terms defined under Swedish law. For full legal definitions, please refer to the Act (2015:62) on identification of reportable financial accounts due to the FATCA agreement or the Act (2015:911) on identification of reportable financial accounts in relation to automatic exchange of information on financial accounts.