



# Application form

Institutions (Non-US investors)

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Please observe that the application form has to be signed.

1. Send the application and questionnaire by mail to [info@tundrafonder.se](mailto:info@tundrafonder.se)
2. Send the original documentation by post to Tundra Fonder AB, Box 5216, 102 45 Stockholm, Sweden

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### Required documents

Please fill in the application form and the questionnaire below and attach the following documents:

1. A signed and witnessed copy of the legal entity's Company registrar certificate.
2. A copy of the financial institution's authorization from the competent supervisory authority or equivalent.
3. Authorized signatories list (signed and witnessed).
4. A signed and witnessed copy of the passport of the representative.
5. A document (attested excerpts from company register or equivalent) showing owners/interest groups with an ownership of 25% or more.
6. If an unlisted legal entity, identification of beneficial owner(s).<sup>1</sup>

<sup>1</sup> [Directive \(EU\) 2018/ of the European Parliament and of the Council of 30 May 2018 amending Directive \(EU\) 2015/849 on the prevention of the use of the financial system for the purposes of money laundering or terrorist financing, and amending Directives 2009/138/EC and 2013/36/EU \(europa.eu\)](#)

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### Tundra Fonder AB

1. Tundra Fonder AB will confirm receipt of the documentation as well as client registration accordingly, using the contact details stated in the application form on page 4. By then, a subscription can be made by transferring money to the relevant fund's bank account stated in Banking Details on page 3.
2. When transferring the money, please state the legal entity name and the account number (provided by Tundra Fonder) in the field for message to the receiver.
3. Please also notify of the money deposit to [order@tundrafonder.se](mailto:order@tundrafonder.se).

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### Trading Schedule

Redemption order received by Tundra Fonder AB are legally binding and can only be cancelled if Tundra Fonder AB agrees to cancellation.

### Subscription

Subscription takes place at the price established on the banking day on which the subscription request and cash settlement are received into the Fund's bank account, the "Subscription Date". Requests for subscription and cash settlement must be received by Tundra Fonder AB no later than 2.30 pm (CET) on the Subscription Date for subscription to take place on the Subscription Date. Otherwise, the subscription will take place on the subsequent Subscription Date.

### Redemption

Redemption takes place at the price established on the banking day on which the redemption request is received by Tundra Fonder AB, the "Redemption Date". Requests for redemption must be received by Tundra Fonder AB no later than 2.30 pm (CET) on the Redemption Date for redemption to take place on the Redemption Date. Otherwise, the redemption will take place on the subsequent Redemption Date.

## Banking details

Fund Name	Bank Account	Trading	ISIN Code
Tundra Sustainable Frontier Fund Class A SEK	SEB: 5851-10 783 55 IBAN: SE83 5000 0000 0585 1107 8355 BIC: ESSESESS	Daily	SE0004 211 282
Tundra Sustainable Frontier Fund Class C EUR	SEB: 5864-82 006 01 IBAN: SE97 5000 0000 0586 4820 0601 BIC: ESSESESS	Daily	SE0005 222 338
Tundra Sustainable Frontier Fund Class D USD	SEB: 5864-82 095 52 IBAN: SE47 5000 0000 0586 4820 9552 BIC: ESSESESS	Daily	SE0005 222 346
Tundra Sustainable Frontier Fund Class E NOK	SEB: SEB 5864-82 181 52 SE65 5000 0000 0586 4821 8152 BIC: ESSESESS	Daily	SE0005 222 353
Tundra Sustainable Frontier Fund Class F EUR	SEB: 5864-82 092 18 IBAN: SE44 5000 0000 0586 4820 9218 BIC: ESSESESS	Daily	SE0006 789 897
Tundra Sustainable Frontier Fund Class Q EUR	SEB: 5864-82 409 99 IBAN: SE19 5000 0000 0586 4824 0999 BIC: ESSESESS	Daily	SE0013 749 322

## Fund Type

UCITS

Please read the Full Prospectus as it includes additional information in regards to subscription and redemption. Publication of daily price per fund unit (NAV) is published at Tundra Fonder AB's website: [www.tundrafonder.se/en](http://www.tundrafonder.se/en), and can also be received from Tundra Fonder AB upon request. The fund share price is also available on Bloomberg, please see below.

Fund Name	ISIN	Bloomberg
Tundra Sustainable Frontier Fund A SEK	SE0004 211 282	TUNDFRO SS
Tundra Sustainable Frontier Fund C EUR	SE0005 222 338	TUNDFRC SS
Tundra Sustainable Frontier Fund D USD	SE0005 222 349	TUNDFRU SS
Tundra Sustainable Frontier Fund E NOK	SE0005 222 353	TUNDFRN SS
Tundra Sustainable Frontier Fund F min. 100 000 EUR	SE0006 789 897	TUNDFRF SS
Tundra Sustainable Frontier Fund Q NOK	SE0013 749 322	TUNDFRQ SS

Legal entity

 Financial Institution/Bank

 Trust

Legal entity/ Financial Institution name		Company registration number
Street address	Zip code	City
Country	Phone incl. country code	Fax number
GIIN (Global Intermediary Identification Number) <sup>1</sup>		
E-mail (The contract notes and statements will be sent to the email address, unless requested otherwise by the client)		

<sup>1</sup> Financial institution, i.e. a credit institution, a securities company, a fund management company or any other type of company that owns and /or manages financial assets to another entity, the company needs to be registered with the IRS and awarded a GIIN number (Global Intermediary Identification Number).

#### Banking details

Name of bank
BIC/SWIFT code
Bank account number (IBAN)

## AML/KYC Questionnaire

### AML/KYC

According to the Swedish Act (2017:630) on measures against money laundering and financing of terrorism as in regards to identity control, a certified copy of a passport has to be enclosed to the application. Tundra Fonder AB has no obligation to fulfil a subscription if the application is not fulfilled. Tundra Fonder AB does not advice in any financial activity referred to in Swedish Act (2003:862) on financial advice to consumers. By signing this document, you agree that Tundra Fonder AB not offering such service and that you will not receive any such service.

Is any individual who ultimately owns or controls the legal entity and/or the individual on whose behalf a transaction or activity is being conducted. The latter is characterized as a person enjoying the benefits of someone else's action. A beneficial owner is assumed to be the individual who (i) as a result of him or her holding shares or membership interests, directly or indirectly through other legal entities, alone or together with closely related family members, controls more than 25 percent of the total number of votes in the relevant legal entity, (ii) has the right to appoint or remove more than half of the legal entity's directors or equivalent officials, or (iii) may exercise the equivalent control by agreement with the owner, member or the legal person itself, through provisions in the company's articles of association, a shareholders' agreement or similar. For trusts, the beneficial owner is assumed to be: A member of the board of directors, representatives of the trust's trustee, the beneficiary of the trust or the recipient of a substantial part of the funds distributed by the trust.

1. Does any individual(s) qualify as a beneficial owner of the legal entity? (please see definition above)

- Yes**, if yes, please fill in information about the owners and their ownership below.
- No**, if no, please fill in information about the CEO or Chairman of the Board of the customer. If the legal entity does not have any beneficial owner due to the circumstances listed above, Tundra Fonder AB must, according to the regulations, appoint and identify a person who is to be considered as the beneficial owner of the legal entity. The Fund Company has adopted a routine to consider the CEO or the Chairman of the Board of the customer as the beneficial owner. Therefore, we need to identify this person. Please enter the name, address and Personal identity number of the CEO or the Chairman of the Board below.

Name of Beneficial owner (or Chairman of the Board)	Personal ID number
Address	<input type="checkbox"/> Percentage of votes and shares / <input type="checkbox"/> Title if appointed

Name of Beneficial owner	Personal ID number
Address	<input type="checkbox"/> Percentage of votes and shares / <input type="checkbox"/> Title if appointed

## 2. Politically Exposed Persons

During the 18 months, has the beneficial owner, or any of the beneficial owner's closest family members or somebody the beneficial owner has or has had a close business relationship with, been entrusted with prominent public functions<sup>1</sup>?

- Yes
- No

<sup>1</sup> Prominent public functions include (a) heads of State, heads of government, ministers and deputy or assistant ministers; (b) members of parliament or of similar legislative bodies; (c) members of the governing bodies of political parties; (d) 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; (e) members of courts of auditors or of the boards of central banks; (f) ambassadors, chargés d'affaires and high-ranking officers in the armed forces; (g) members of the administrative, management or supervisory bodies of State-owned enterprises; (h) directors, deputy directors and members of the board or equivalent function of an international organization.

If you have answered "Yes" to the above, you have to fill out the PEP-declaration, which will be sent to you.

## 3. Nature of business relationship

- One-off payment
- Regular savings (e.g. monthly investment)
- Other, please state: \_\_\_\_\_

## 4. What amount do you estimate that an average transaction with Tundra Fonder will amount to?

- 100 000 – 200 000 EUR
- 300 000 – 500 000 EUR
- More than 500 000 EUR

## 5. Most common source of invested capital:

- Revenue from the company we represent
- Property income
- Income from sale of company
- Other, please state: \_\_\_\_\_

## 6. Is the legal entity taxable in the United States?

- Yes, please add your TIN (Taxpayer Identification number): \_\_\_\_\_
- No

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### Additional questions for Financial institutions/Banks

If the entity is a financial institution or a bank, please also provide answers to the questions below.

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#### 1. Company Category

- Bank or credit institution
- Securities Firm
- Life Assurance Company
- Insurance Intermediary/Independent Financial Advisor
- Intermediary (for example a fund platform)
- Fund Management Company
- Other, please state: \_\_\_\_\_

#### 2. Supervisory Authority

\_\_\_\_\_

#### 3. If the company is a Bank or other Credit Institution or a Securities Firm, please specify if subscribed fund units are to be registered directly in the name of the company or in the name of the company "for its customers' account" (nominee/omnibus registration):

- Direct registration
- Nominee/omnibus registration

#### 4. Most common source of invested capital

\_\_\_\_\_

## DISCLAIMER

Consent to the processing of my personal data by Tundra Fonder: By issuing this consent, I accept the registration by Tundra Fonder AB ('the Company'), company registration number 556838-6303, Box 5216, 102 45 Stockholm, Sweden of my personal data, such as name, personal identity number, postal address, telephone number, electronic addresses, copy of ID and information based upon the use of the Company's services or informational materials. The Company processes personal data for the purposes of determining how many fund units their clients own, sending statements to the Swedish Tax Agency, preparing and distributing settlement notes and semi-annual and annual statements and to distribute information via email or postal letter. Personal data are disclosed to public authorities only where so required by law or official decision. Personal data are stored for the duration of the customer relationship and for a period thereafter, or in accordance with special legislation in the financial services sector such as the Swedish Act on Measures against Money Laundering and Terrorist Financing (2017:630) which is based and harmonized with the fourth money laundering directive, 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 purposes of money laundering or terrorist financing, amending Regulation (EU) No 648/2012 of the European Parliament and of the Council, and repealing Directive 2005/60/EC of the European Parliament and of the Council and Commission Directive 2006/70/EC, which normally means that the Company is required by law to retain personal data for a longer period than stipulated in the General Data Protection Regulation (2016/679).

Please read the Full Prospectus as it includes additional information in regards to subscription and redemption. Publication of daily price per fund unit (NAV) is published at Tundra Fonder AB's website: [www.tundrafonder.se/en](http://www.tundrafonder.se/en), and can also be received from Tundra Fonder AB upon request. The fund share price is also available on Bloomberg. The value of the capital invested in a fund may either increase or decrease in value and it is not certain that you will be able to recover all of your investment. Historical return is no guarantee of future return.



### Signatures

A copy of the certification of registration and a certified copy of the authorized signatories' valid identification. I hereby certify that the information above is current and correct. I vow to disclose to Tundra Fonder AB any new information in the event of any changes or updates to the details given.

City, date	City, date
Signature	Signature
Printed name	Printed name

If the legal person is a trust or similar, please state name, address, company number/personal ID-number for future policyholder, alternatively name of physical persons whose primary interest the legal person operates for.

Signature
City, date
Printed name