



HAUCK  
AUFHÄUSER  
ADMINISTRATION  
SERVICES

# KYC Manager

## Investor Flow Guide - Company

March 2024

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*NOTE: Illustrative example of onboarding a legal person. The Investor Flow Guides (Individual and Company) are currently in progress and will be updated regularly.*

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## Background and Introduction

The KYC Manager is a digital tool for conducting the regulatory mandatory KYC ("Know Your Customer") and AML ("Anti-Money Laundering") checks. The Investor Flow is used to onboard investors online. The Investor Flow Guide describes how an investor or a responsible goes through the flow and it entails a detailed description of each step of the flow.

For a better overview, here is a brief introduction to the components of the flow. The flow is divided into the following 4 sections:

1. **Identity:** This is where the responsible must provide personal information.
2. **Dossier:** This is where the responsible fills in the dossier questionnaire and uploads documents if necessary.
3. **Client details:** Further information on the investor need to be entered here, such as postal address and other contact details of the investor / end customer, information on the origin of assets, information in the context of FATCA and CRS (tax residency), information on controlling persons and beneficial owners, etc.
4. **UBO:** This is where the responsible must provide information about the UBO(s)
5. **Form:** At the end, a PDF form is created containing all the collected data entered during the flow.

The investor's/ responsible's current position in the flow is always displayed at the top left of the flow. By clicking on the "Previous" button at the bottom left, the investor can go to the previous page. The "Next" field at the bottom right allows the investor to save the entered data and continue with the flow. The latter is possible if the investor has filled in all mandatory fields. Optional fields are marked with "(optional)". All other fields are mandatory.



Once the investor has completed all 5 sections, the profile is automatically sent back to Hauck & Aufhäuser Administration Services S.A. <sup>1</sup>

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<sup>1</sup> For ease of reading, only the generic masculine gender is used in this user guide. However, this personal designation applies to all genders.

## Email and 2-Factor Authentication

After the company has been created by an employee of Transfer Agent & Registrar of HAAS, the responsible will receive the following invitation email. To access and start the flow, the responsible must click on "Complete Investor File".

**Your profile | Invitation**

Dear John Doe,

as part of your subscription(s), Hauck & Aufhäuser Administration Services S.A. performs the regulatory mandatory KYC check in its role as central administration.

For this purpose, we invite you to submit your data and documents easily and securely via our online portal KYC Manager.

Please complete your investor file via the following link:

**Complete investor profile**

In case the above link doesn't work, you can try to copy this URL to a webbrowser:  
<https://uat-haas.kycmanager.lu/shorturl/758a19c7-aede-4643-90f7-ba8dd0845d5c>

You can pause the process at any time and continue later via the link above. All data that you have confirmed by then via the "Next" button will be saved.

Please note:

- Your data and documents can only be checked by us after your entries have been completed.
- In the course of this, it may happen that we additionally request documents uploaded by you in a different quality or address further document requests to you.

Please feel free to contact us by e-mail if you have any questions or problems: [investors@haa-privatbank.com](mailto:investors@haa-privatbank.com).

## Language Determination of the Flow

The responsible will then be redirected to the following page and can first select a language (English or German) from the drop-down menu at the top right. Once registration is complete and the flow has started, the language can no longer be changed.

EN ▾

HAUCK AUFHÄUSER ADMINISTRATION SERVICES

#

**Your profile is almost complete, John!**

Please enter or verify your mobile number, so your profile can be completed.

DE +49 ▾ 17622954663

I understand and accept the [Terms of Use](#) and the [Privacy policy](#).

We'll send you a code to grant you access.

Send code

EN ▾  
DE

# Login via SMS

The responsible must now enter their mobile phone number including country code and acknowledge and agree to the terms of use and privacy policy. The country can be selected from the drop down menu or manually entered in the format "XX +00". The responsible will then receive a 6-digit code via SMS to the previously specified number, which the investor will enter in the password field. The button "Verify code" completes the registration and the responsible is automatically redirected to the flow.



**Your profile is almost complete, John!**

Please enter or verify your mobile number, so your profile can be completed.

DE +49

I understand and accept the [Terms of Use](#) and the [Privacy policy](#)

We'll send you a code to grant you access.

**Send code**



**Login | Code**

Fill in the code which has been sent to +4915131173080. The code is valid for 2 minutes.

**Verify code**

[New code](#) or [Code by email](#)

## Login via Email

Alternatively, the code can be requested by email by clicking on the "Code by Email" button (below the "Verify code" box). This will open the following window where the investor can enter their email address and then click on "Send email".

The image shows two sequential screenshots of a login interface. The left screenshot, titled "Login | Code", features a smartphone icon with a hash symbol. Below the icon, it says "Login | Code" and "Fill in the code which has been sent to +4915131173080. The code is valid for 2 minutes." There is a text input field labeled "Code" and a dark blue button labeled "Verify code". At the bottom, there is a link: "New code or Code by email". A pink arrow points from this link to the right screenshot. The right screenshot, titled "Send code by email", features a key and padlock icon. Below the icon, it says "Send code by email" and "Provide your email address, so we can send the code to you." There is a text input field labeled "Email" and a dark blue button labeled "Send email".

The responsible then receives a 6-digit code sent to the previously provided email address. The investor can now enter the code in the code field. The button "Verify code" completes the registration and the responsible is automatically redirected to the flow.

The image shows two screenshots related to code confirmation. The left screenshot is an email confirmation message with a dark blue header "Code | Confirmation". The body text reads: "Hello John Doe, You have opted to receive your unique code by mail. The code is valid for 2 minutes." Below this is a box containing "Your security code" and the number "287854". At the bottom, it says "Use this code once as confirmation to proceed." The right screenshot, titled "Login | Code", features a paper airplane icon. Below the icon, it says "Login | Code" and "Fill in the code which has been sent to an\*\*\*@h\*\*\*.com. The code is valid for 2 minutes." There is a text input field labeled "Code" and a dark blue button labeled "Verify code". At the bottom, there is a link: "New code or Code by SMS".

# Identity

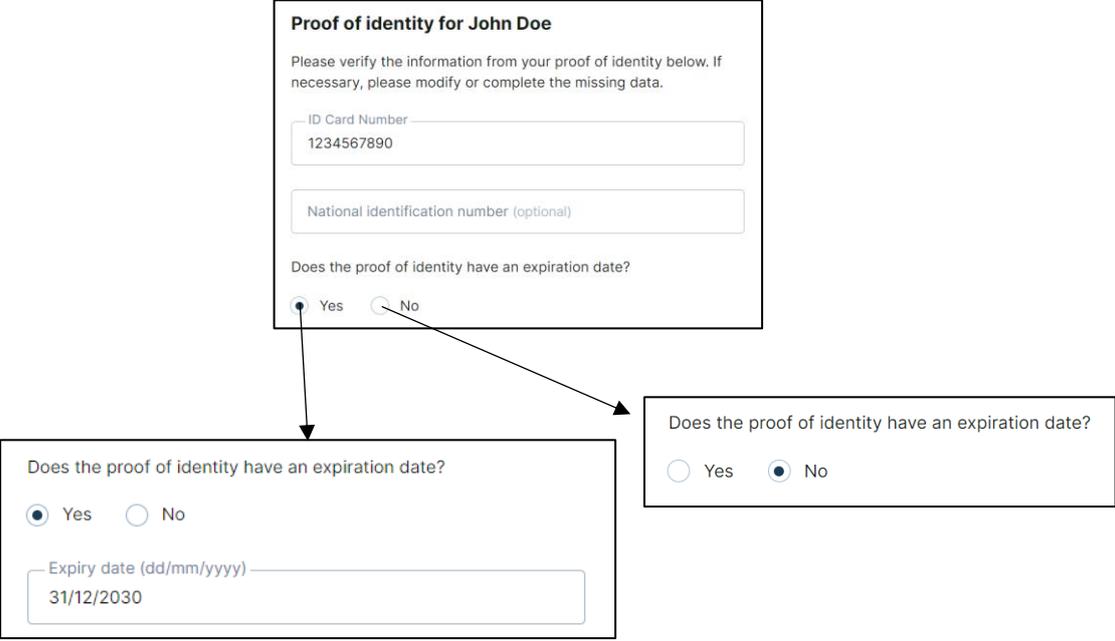
If the responsible must also identify himself, the first thing he has to do is enter personal data. The 'Country', 'Nationality', and 'Industry/Sector' fields can each be selected from a drop-down menu.

The screenshot shows a web form titled "Personal details of John Doe" from Hauck Aufhäuser Administration Services S.A. The form is part of a multi-step process, with "Identity" being the current step. The user is logged in as "John Doe" in "EN" language. The form contains the following fields and options:

- Identity:** A vertical navigation menu on the left with steps: Identity (selected), Dossier, Client details, UBO, and Form.
- Personal details of John Doe:**
  - Introduction text: "Hauck Aufhäuser Administration Services S.A. thanks you for accompanying them with the entry and the update of your personal details by answering the questions below. In this context, we ask you to:"
  - Instructions: "The first step consists of verifying your identity details. Complete the details of the individual."
  - Gender selection:  Mr.  Mrs.
  - First names: "John" (input field)
  - Last name: "Doe" (input field)
  - Phone number: "DE +49" (dropdown) and "17622954663" (input field)
  - Email (optional): "fernande.mueller@hal-privatbank.com" (input field)
  - Address section:
    - Street + Number: "Hauckstraße 3" (input field)
    - Postal code: "1111" (input field)
    - City: "Köln" (input field)
    - Country: "Germany" (dropdown menu)
  - Date of birth (dd/mm/yyyy): "25/03/2000" (input field)
- Country dropdown menu:** A pink arrow points to the "Country" dropdown, which is open, showing a list of countries: Afghanistan, Aland Islands, Albania, Algeria, American Samoa, and Andorra.
- Next button:** A dark blue button labeled "Next →" is located at the bottom right of the form.

# Proof of Identity

To confirm the identity of the responsible, a proof of identity must be uploaded. For this purpose, the number of the ID card / passport and the expiration date of the proof must be entered.



On the next page, the responsible then has to upload a proof of identity. Documents can be uploaded by clicking on the 'Add document' button. The 'Select' button will take the investor to their file explorer and through double clicking a document can be selected. The 'Upload' button will then upload the document.

The responsible can upload either their passport or the front and back scan of their ID card. They can also upload the front and back as separate documents.

**Proof of identity of John Doe**

*i* Add proof of identity.

For identification purposes we have been able to collect the documents below. Please verify these documents before going to the next step. In case documents are missing, please add them to continue.

Drag and drop the documents to upload them.

The list is empty.

**Add document**

**Add document** ✕

You can add your own document in PDF, JPEG, JPG or PNG.

Drag and drop the documents to upload them.

**Document 1** 🗑️

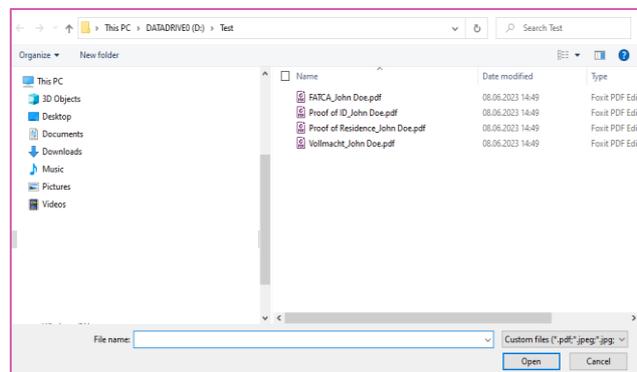
Select a file from your device **Select**

Document name (optional)

Type ▾

**+ Document**

**Upload**



**Add document** ✕

You can add your own document in PDF, JPEG, JPG or PNG.

Drag and drop the documents to upload them.

**Document 1**

Proof of ID\_John Doe Added ✓

**+ Document**

**Close**

passport includes a recognisable photo as well as a...

**Front and back scan**  
A valid identification document like identity card or passport includes a recognisable photo as well as a...

**Front scan**  
A valid identification document like identity card or passport includes a recognisable photo as well as a...

**Passport**  
A valid identification document like identity card or passport includes a recognisable photo as well as a...

Type ⬆

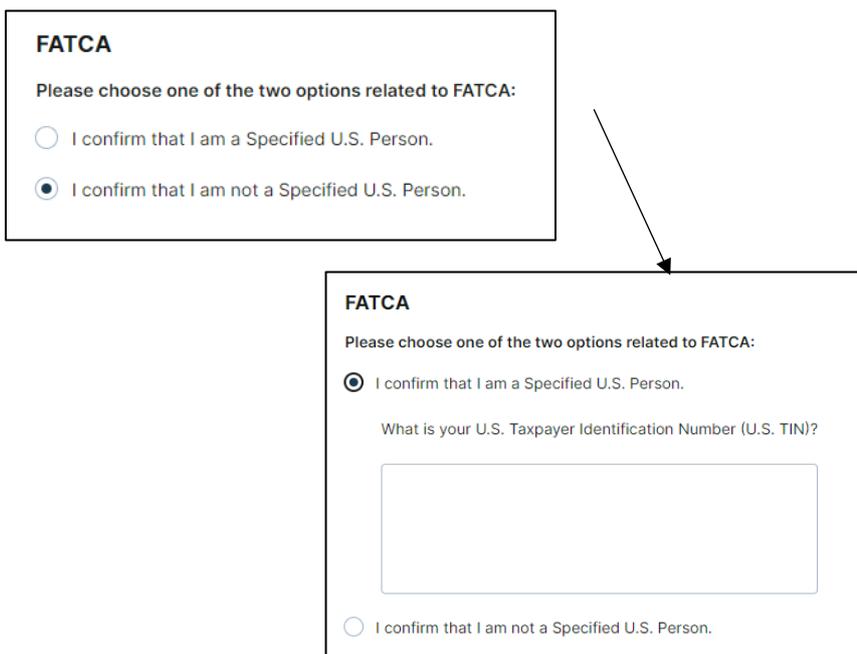
## PEP

Next, the responsible must indicate whether he is a politically exposed person (PEP). If so, he must also indicate in which role.



## FATCA

The responsible must then answer a question about FATCA. If the investor is a Specified U.S. person, the responsible must also provide a Federal Taxpayer Identifying Number.



## Personal Documents

Every responsible must upload a proof of residence here (e.g. a registration certificate or electricity bill). In addition, all responsables who have indicated question that they are a Specified U.S. Person in the FATCA are required to provide a FATCA document. All documents marked with the red "Required" field are mandatory. Documents are uploaded as for proof of identity (see pages 7 and 8) with the addition that the responsible can now select "URL" instead of uploading a file. He can then enter a web link as well as a document name in the opening window. In addition, a responsible can upload additional documents via the "Add document" field. However, this is optional.

**Personal documents of John Doe**

1 document is missing.

All documents can be provided in the following languages: German, English, French and Luxembourgish. For any other languages, a translation must be submitted by a recognised professional translator to which the 'accuracy and completeness of the translation' is certified.

Please send all originals and certified copies - ideally by courier - to the stated mailing address. It is much appreciated to provide us with a tracking number to follow the documents sent.  
If you have any questions, you can use the central email mailbox: [investors@hal-privatbank.com](mailto:investors@hal-privatbank.com).

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Grand Duchy of Luxembourg

**Proof of personal address** REQUIRED

**Add** More information ⓘ

**Add**

By clicking on the 'Add Document' button, the responsible can optionally upload additional documents.

**Proof of residence** X

You can add your own document in PDF, JPEG, JPG, PNG or URL.

Drag and drop the documents to upload them.

**Document 1**

Source  File  URL

Select a file from your device **Select**

Document name

**+ Document**

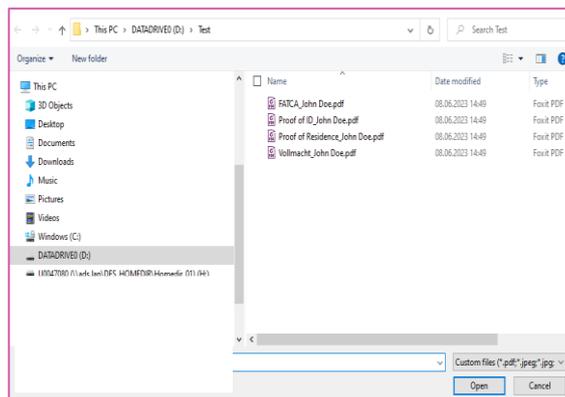
**Upload**

Option to upload the document as a file or via an

Source  File  URL

Document URL

Document name



Upload the requested documents.

**Proof of residence** X

You can add your own document in PDF, JPEG, JPG, PNG or URL.

Drag and drop the documents to upload them.

**Document 1**

Proof of Residence\_John Doe Added ✓

**+ Document**

**Close**

For the FATCA document, the uploading process is identical to the one above.

**FATCA - Request for Taxpayer Identification Number and Certification (form W-9)** REQUIRED

[Add](#) More information 

The information button provides the responsible with additional information if required.

## Primary Tax Information

If the fiscal address and the residential address are the same, the responsible can check the box “My fiscal address is equal to my residential address”. He then only needs to provide the tax identification number. If the fiscal address is different, the responsible must also provide his fiscal address. If the responsible has more than one fiscal address and tax identification number, he can add them under 'Additional tax information'. However, this is optional. It is important that all tax information is entered.

**Primary tax information**

In line with our obligations as regulated institution you should provide us your fiscal address(es) and tax identification number(s) and keep them updated.

My fiscal address is equal to my residential address.

Tax identification number

Since (dd/mm/yyyy) (optional)

**Additional tax information**

If you have more than one fiscal address and tax identification number, add them all.

 There is no additional tax information. [Add](#)

If the fiscal address is not the same as the residential address, the responsible must also provide the fiscal address.

My fiscal address is equal to my residential address.

Street + Number

Postal code  City

Country

Optional.

**Add tax information** ×

In line with our obligations as regulated institution you should provide us your fiscal address(es) and tax identification number(s) and keep them updated.

Street + Number (optional)

Postal code (o...  City (optional)

Country

Tax identification number

Since (dd/mm/yyyy) (optional)

[Add](#)

# Dossier

The dossier consists of a dossier questionnaire. The responsible must indicate whether he is trading on his own behalf or on behalf of a third party. If the responsible is not acting on his own behalf, the names of the underlying investors acting on behalf of the investor and the relationship with these persons must be disclosed.

**Dossier questionnaire**

*i* Acting on own account or for the account and on behalf of a third party ∨

Are you acting on own behalf or on behalf of a third party?

- We act/invest directly for our own account and in our own name.
- We act/invest on our own behalf as part of our economic activity and exercise control over the investment for the benefit of a third party that has NO control over the investment decisions.
- We act/invest in our own name as a financial intermediary (e.g. nominee) for the account of a third party who has control over the investment decisions.
- We act/invest NOT in our own name as a financial intermediary, because the underlying investor subscribes the fund through us as a financial intermediary and will be registered in the fund's share register itself.

Additional information on the action on own / third-party account

We act/invest NOT in our own name as a financial intermediary, because the underlying investor subscribes the fund through us as a financial intermediary and will be registered in the fund's share register itself.

Please provide the name of the underlying investor for which you are acting for and briefly describe the relationship.

## Documents

If the responsible is acting on his own behalf, there are no required documents to upload. If this is not the case, the responsible must upload a power of attorney. Via the "Add document" field, a responsible can upload additional documents (AML questionnaire, Authorization letter, Power of attorney, Questionnaire Wolfsberg, Other). If copies of the documents are required, this is noted in the information text, which can be opened by clicking on "i".

If the responsible is acting on his own behalf, no further documents are required.

If the responsible is not acting on its own behalf, the responsible has to upload an authorization letter and either the Questionnaire wolfsberg or the AML questionnaire (or both).

**Documents**

*i* No (additional) documents are requested, please continue to the next step.

All documents can be provided in the following languages: German, English, French and Luxembourgish. For any other languages, a translation must be submitted by a recognised professional translator to which the 'accuracy and completeness of the translation' is certified.

Please send all originals and certified copies - ideally by courier - to the stated mailing address. It is much appreciated to provide us with a tracking number to follow the documents sent. If you have any questions, you can use the central email mailbox: [investors@hal-privatbank.com](mailto:investors@hal-privatbank.com).

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Grand Duchy of Luxembourg

Drag and drop the documents to upload them.

The list is empty.

**Add**

**Documents**

*i* Add questionnaire wolfsberg or AML.

All documents can be provided in the following languages: German, English, French and Luxembourgish. For any other languages, a translation must be submitted by a recognised professional translator to which the 'accuracy and completeness of the translation' is certified.

Please send all originals and certified copies - ideally by courier - to the stated mailing address. It is much appreciated to provide us with a tracking number to follow the documents sent. If you have any questions, you can use the central email mailbox: [investors@hal-privatbank.com](mailto:investors@hal-privatbank.com).

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<p><b>Authorisation Document</b> <span style="color: red;">REQUIRED</span></p> <p><b>Add</b> <span>More information <i>i</i></span></p>	<p><b>AML Confirmation Letter of the Registrar and Transfer Agent responsible for investors AML/KYC</b></p> <p><b>Add</b> <span>More information <i>i</i></span></p>
<p><b>Wolfsberg Questionnaire of the Registrar and Transfer Agent responsible for investors AML/KYC</b></p> <p><b>Add</b> <span>More information <i>i</i></span></p>	
<p><b>Add</b></p>	

**Add document** ×

You can add your own document in PDF, JPEG, JPG, PNG or URL.

Drag and drop the documents to upload them.

**Document 1** 🗑️

Source  File  URL

Select a file from your device **Select**

Document name

Type

**+ Document**

**Upload**

### Option to upload the document as a file or via an URL

Source  File  URL

Document URL

Document name

Type

- Account statement of the saved amount  
Please provide us with a document which contains the Name of the institution where the savings lie, th...
- Letter from a third party (e.g. lawyer, legal adviser) explaining the company sale (with letterhead)
- AML Confirmation Letter of the Registrar and Transfer Agent responsible for investors AML/KYC  
The document should not be older than three months before entering into the business relationship. The...

# Client Details

First, the responsible has to complete the information of the company. The "Company Type" as well as the "Country of incorporation", the "Industry/Sector" and the "Country" field can be selected from a drop-down menu.

### Overview company details

Confirm or adapt the details.

Complete the information of the company.

Type

Name

Commercial register number (optional)

Company type

Country of incorporation

Legal form

Industry/Sector

Street + Number

Postal code  City

Country

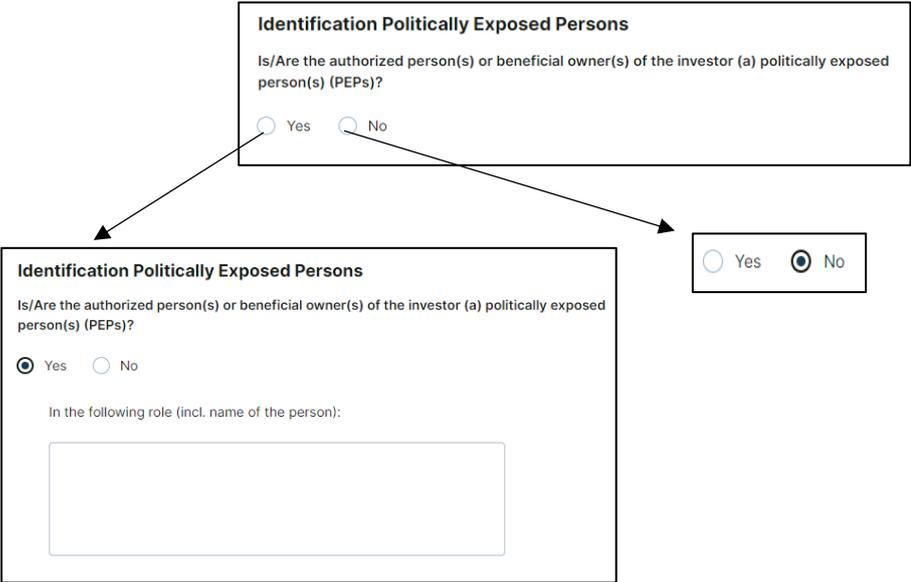
Email (optional)

Company type

- Financial institution listed
- Financial institution regulated
- Financial institution unregulated
- Foundation
- Insurance
- Investment fund

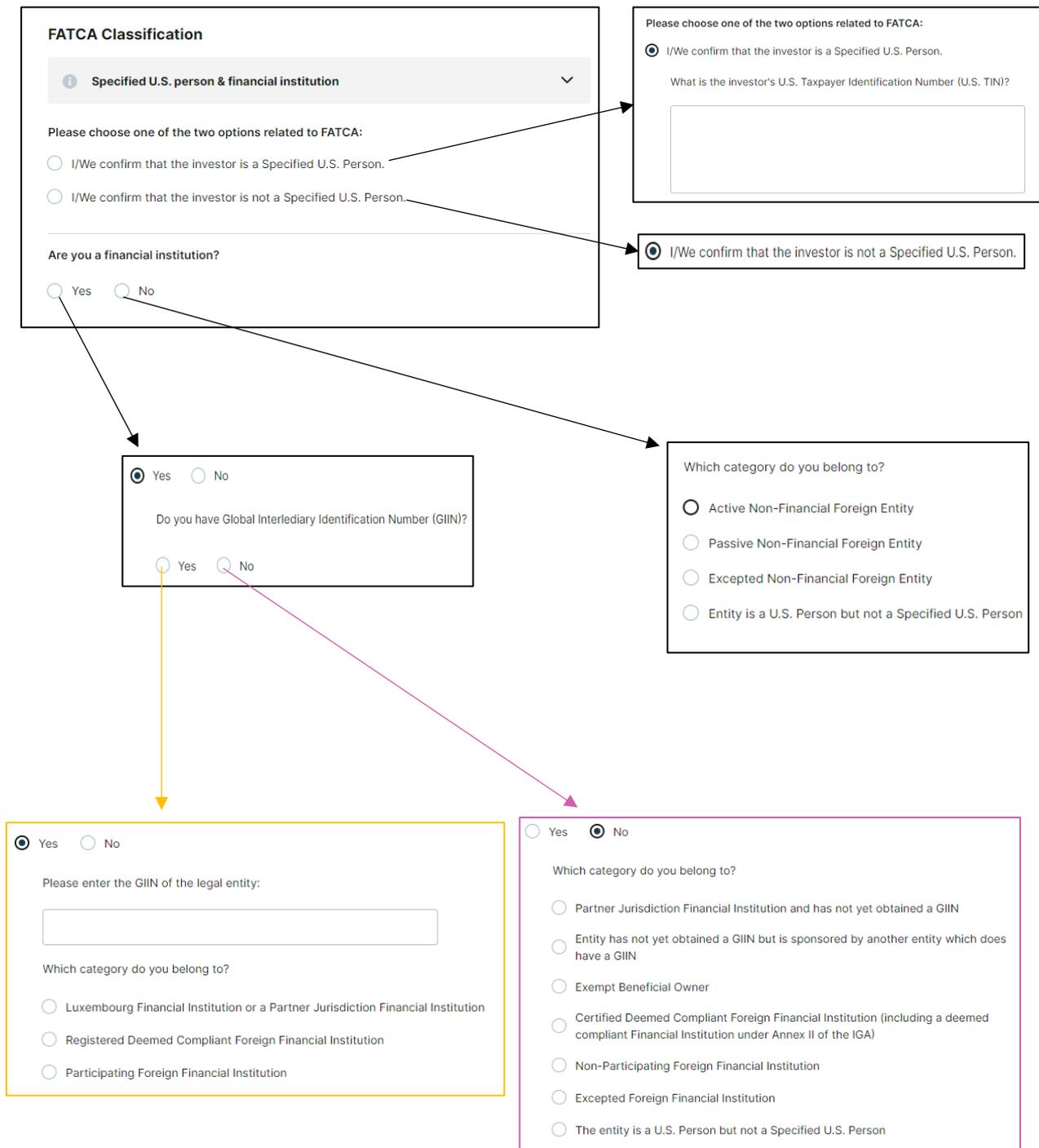
PEP

The responsible must indicate whether any of the authorized persons or beneficial owners of the investor are politically exposed persons (PEPs). If so, he must indicate in what function.



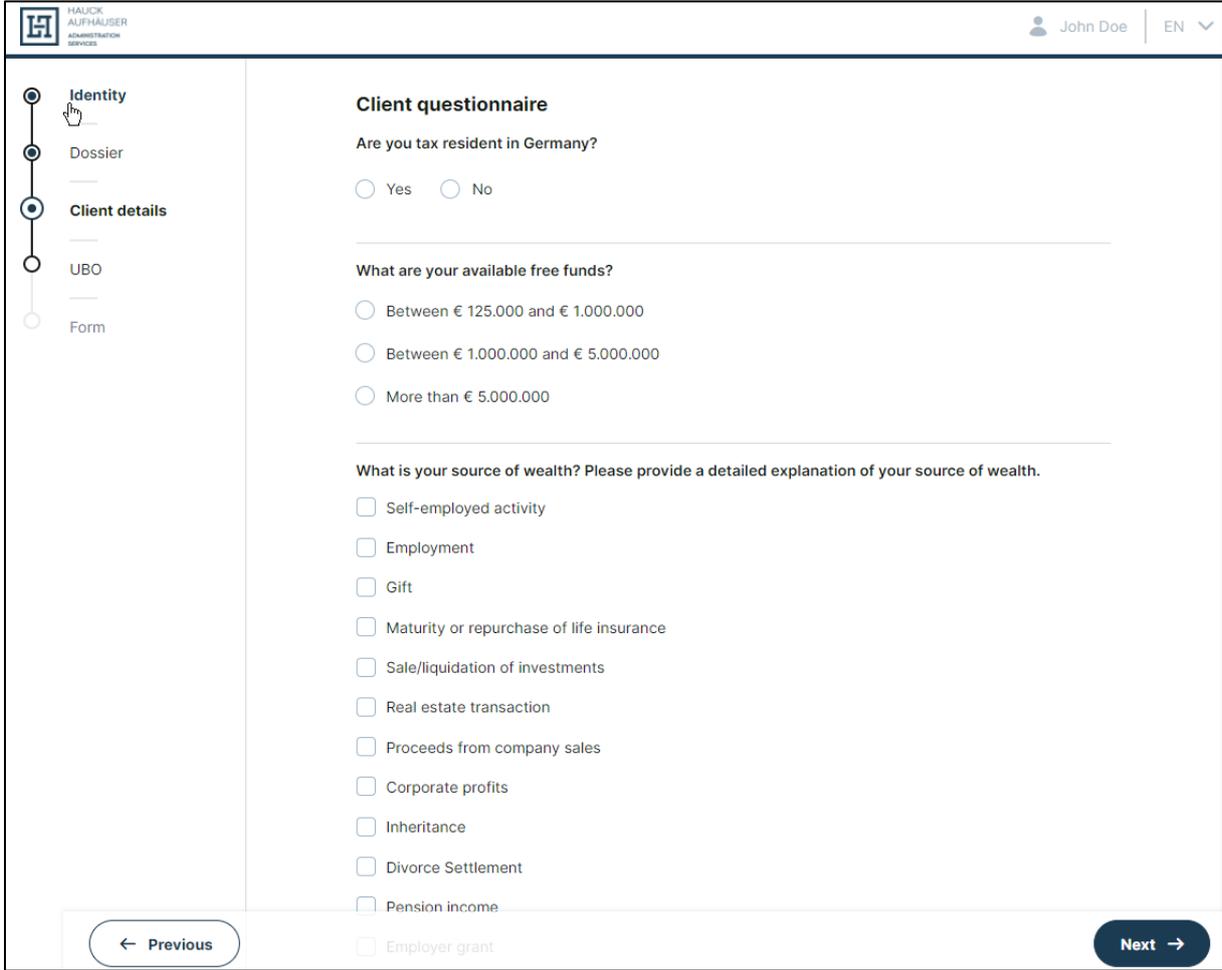
# FATCA

The responsible must indicate whether the investor is a Specified U.S. Person. If so, he must indicate the Federal Taxpayer Identifying Number. Moreover, it is asked whether the company is a financial institution. In this case, the company must provide a GIIN, if available. If the company is not a financial institution, the responsible must select a category to which the company belongs to.



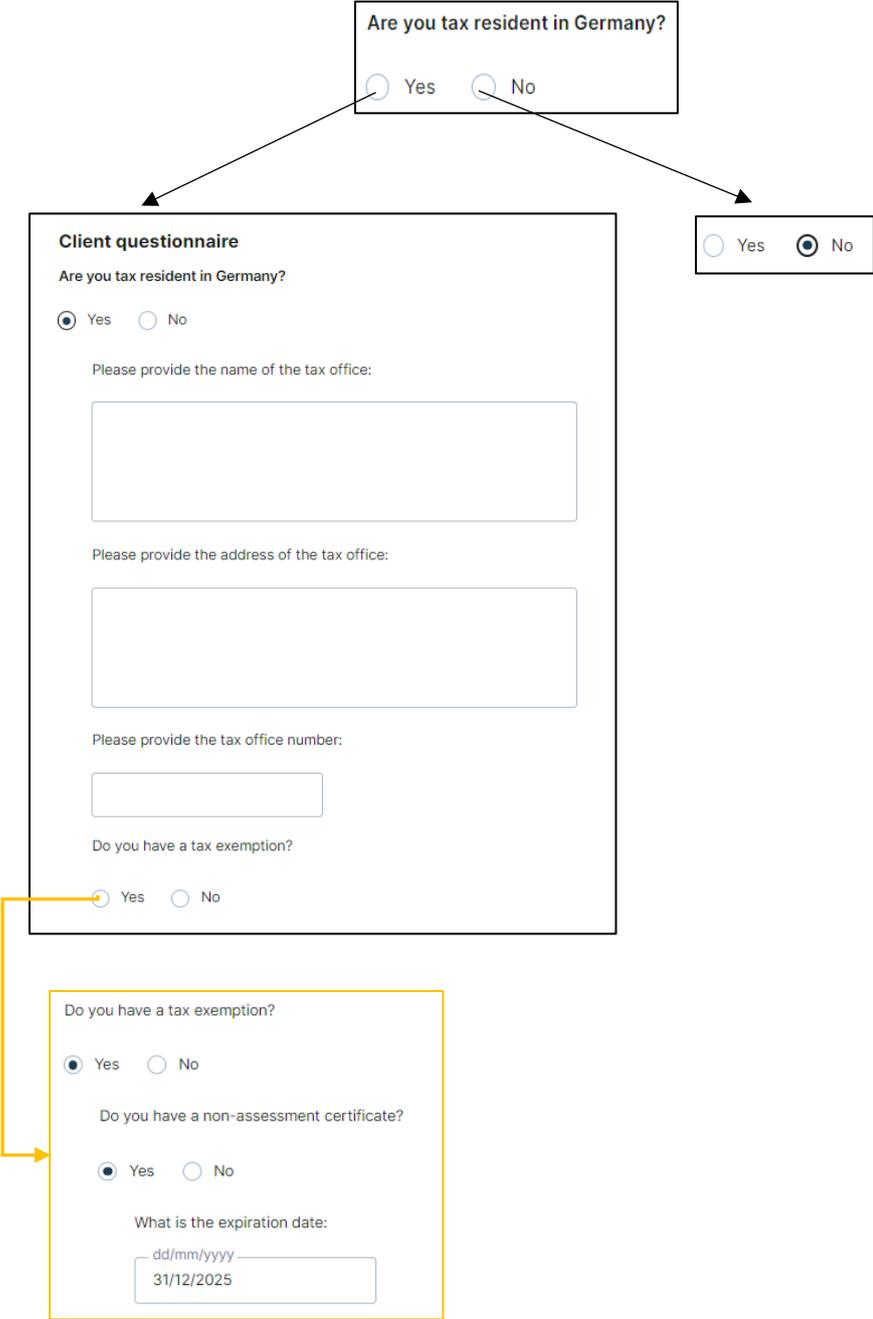
# Client Questionnaire

The client questionnaire asks for details about the customer. A detailed description of each question can be found on the following pages.



# Tax Residency

If the company is resident in Germany for tax purposes, the name, address and number of the relevant tax office must be provided. If there is also a tax exemption and a non-assessment certificate, their expiration date must be stated.



## Available Free Funds

Here, the responsible simply has to click on one of the 3 answer options that apply to his or her available free funds.

**What are your available free funds?**

- Between € 125.000 and € 1.000.000
- Between € 1.000.000 and € 5.000.000
- More than € 5.000.000

The responsible has to choose the source of wealth of the company. Further, he has to indicate the core business activities/ sector as well as the countries of the company's main business partners. If other is selected, then the responsible has to specify it in the text box.

**What is your source of wealth? Please provide a detailed explanation of your source of wealth.**

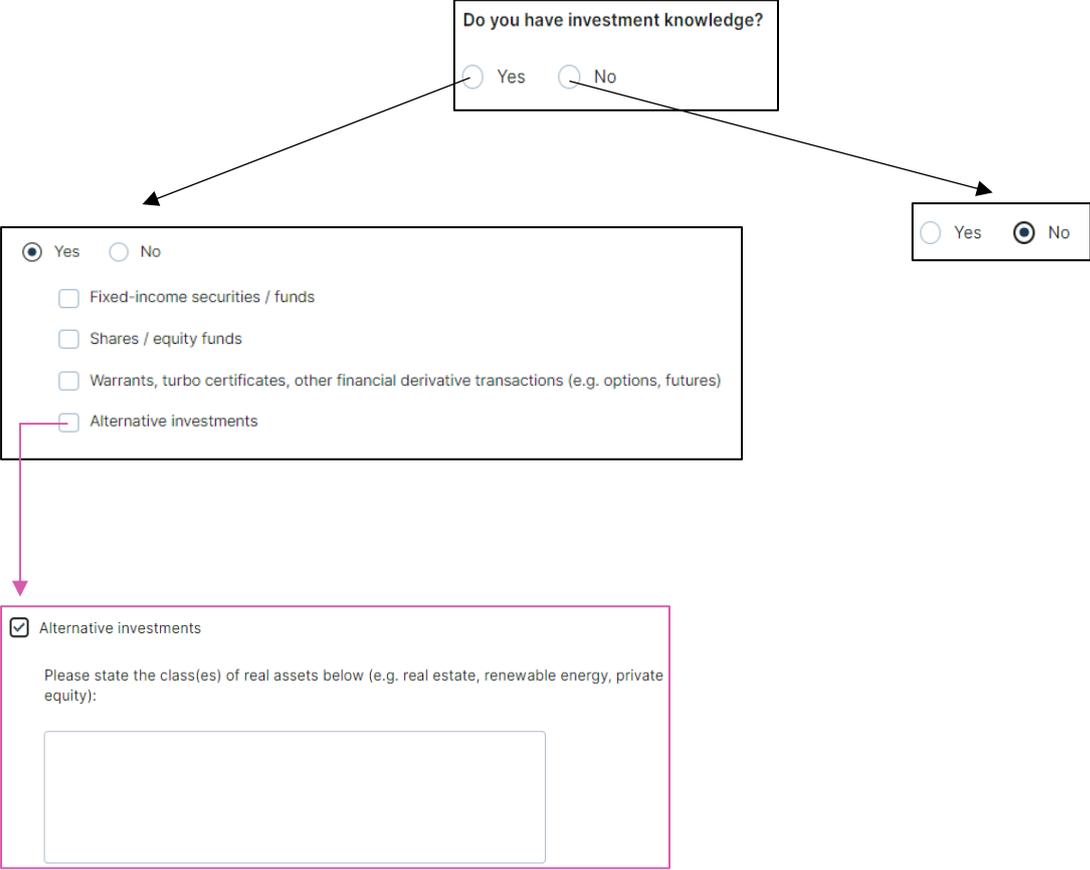
- Self-employed activity
- Employment
- Gift
- Maturity or repurchase of life insurance
- Sale/liquidation of investments
- Real estate transaction
- Proceeds from company sales
- Corporate profits
- Inheritance
- Divorce Settlement
- Pension income
- Employer grant
- Fixed deposit - savings
- Dividend distribution
- Other

Other

Please specify

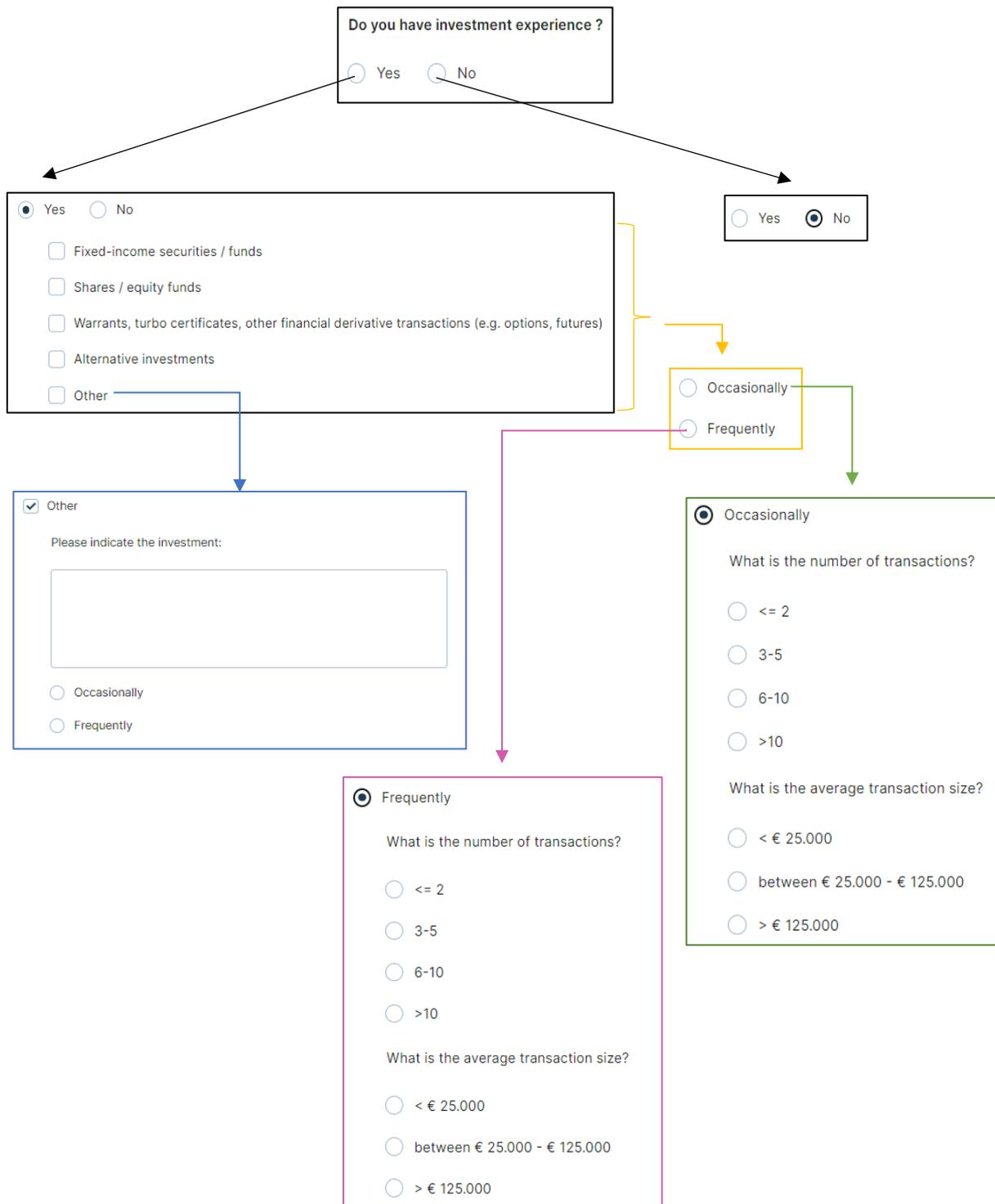
# Investment Knowledge

Here the responsible must indicate whether he has any investment knowledge. If so, he must select all the relevant knowledge. The responsible can tick as many boxes as he likes. If the responsible chooses "Alternative investments", he will also be asked about the asset classes of real assets.



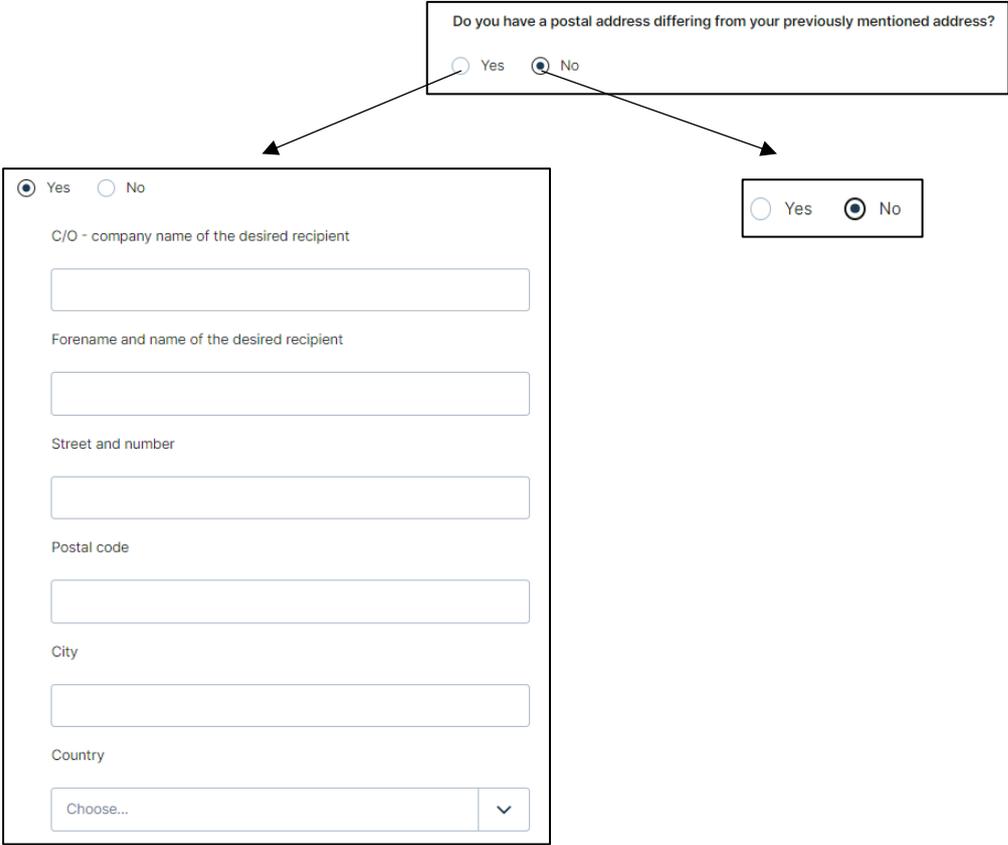
## Investment Experience

Unlike investment knowledge in the previous question, these are questions about practical experience in relation to previous investments. If the responsible already has investment experience, he must first specify this by selecting the corresponding experiences. Again, the responsible can choose as many as he likes. For each experience, the frequency, number of transactions and average transaction size will then be asked.



# Mailing Address

If the investor has an additional mailing address differing from his previously mentioned address, it can be added here. The country can again be selected from a drop-down menu.



## Additional Contacts

Here, the responsible is asked for additional contacts. If the responsible wishes to add any, he must specify the number and then provide the requested information for each additional contact. By choosing to add more than 3 additional contacts it will be possible to add a list in the following Document upload step, for example an Excel List can be uploaded that represents all contact details of these contacts.

The flowchart illustrates the process of adding additional contacts. It starts with a question: "Are there additional contacts?".

- If the user selects "No", the process ends at a confirmation box with "Yes" (unselected) and "No" (selected).
- If the user selects "Yes", the process moves to a selection screen: "How many additional contacts do you want to add?".
  - Selecting "1 additional contact" leads to a form for one contact with fields for First name, Name, E-mail, and Function.
  - Selecting "2 additional contacts" leads to a form for two contacts, with fields for First name, Name, E-mail, and Function for each person (Person 1 and Person 2).
  - Selecting "3 additional contacts" leads to a form for three contacts, with fields for First name, Name, E-mail, and Function for each person (Person 1, Person 2, and Person 3).
  - Selecting "More than 3 additional contacts (Please provide a contact list in the document section.)" leads to a document upload step.

The form for 3 additional contacts is shown in detail below:

3 additional contacts

First name (Person 1)

Name (Person 1)

E-mail (Person 1)

First name (Person 2)

Function (Person 1)

Name (Person 2)

E-mail (Person 2)

Function (Person 2)

First name (Person 3)

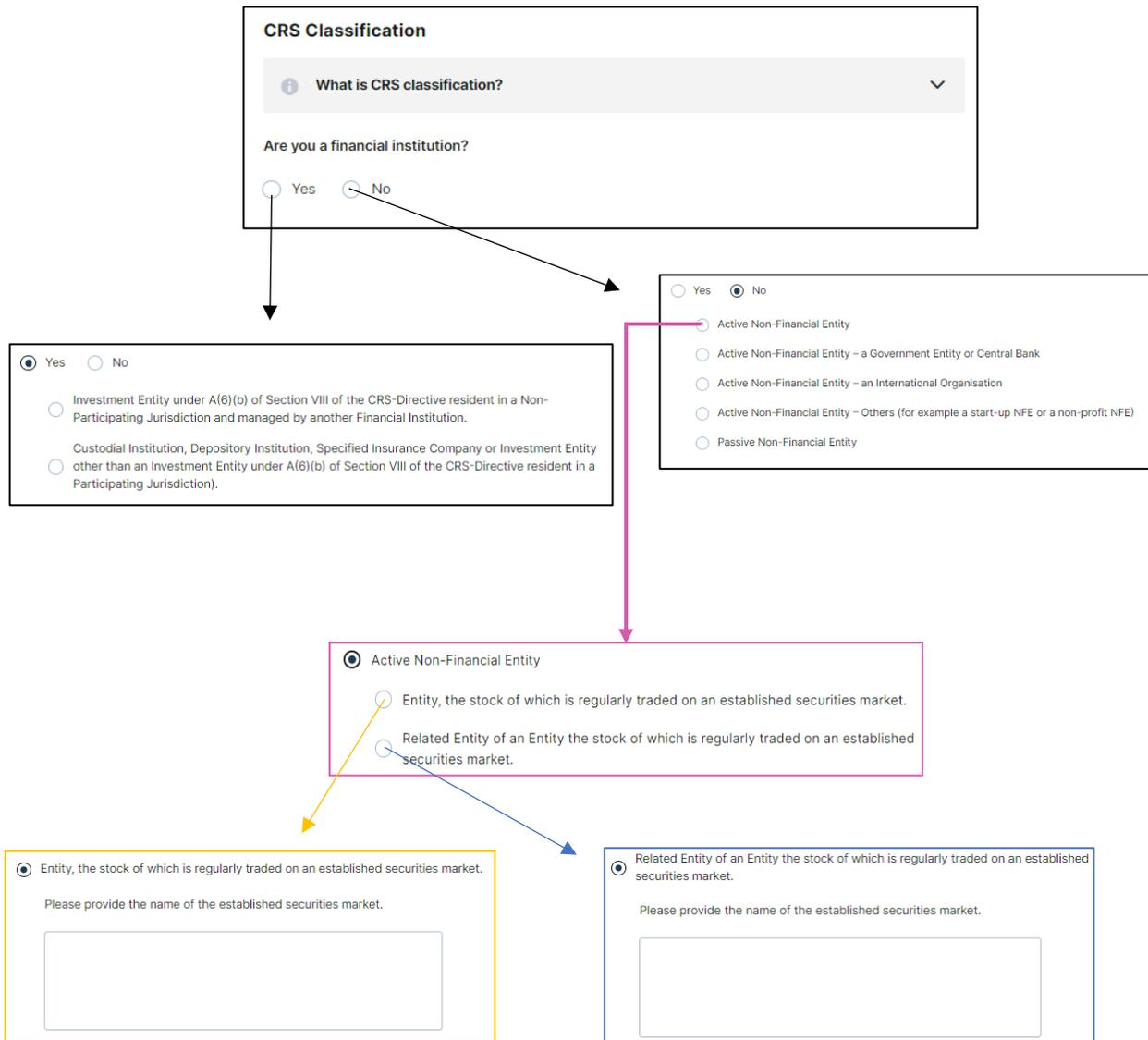
Name (Person 3)

E-mail (Person 3)

Function (Person 3)

## CRS

Here it is asked whether the company is a financial institution. If so, the responsible must specify this by selecting the corresponding statement. If the company is not a financial institution, the responsible must select a category to which the company belongs to. If he then selects “Active Non-Financial Entity”, he also has to specify this by selecting the corresponding statement and he then must additionally provide the name of the established securities market.



## UBO

The responsible must provide the name and TIN numbers of the UBO. Further, he has to indicate whether the controlling person is U.S. citizen or resident of the U.S. for tax purposes. Make sure that the information in this section matches the information in the UBO section and is complete.

**Additional CRS/ FATCA information on controlling persons/ beneficial owners**

Please note that the information on controlling persons / beneficial owners must be consistent with the information in the UBO section.

**Who is the beneficial owner of a legal entity/other legal structure?** ▾

Please provide the names, tax residency and corresponding tax identification number (TIN) of all controlling persons/ beneficial owners.

Is at least one of the controlling persons/beneficial owners or the UBO(s) U.S. citizen or resident of the U.S. for tax purposes?

Yes  No

## Primary Tax Information

If the fiscal address and the residential address are the same, the responsible only needs to provide the tax identification number. Otherwise, he must also provide his or her fiscal address. If the company has more than one fiscal address and tax identification number, the responsible can add them under 'Additional tax information'. It is important that all tax information is entered.

**Primary tax information**

In line with our obligations as regulated institution you should provide us your fiscal address(es) and Tax Identification Number(s) and keep them updated.

My fiscal address is equal to my residential address.

Tax identification number ?

Since (mm/dd/yyyy) (optional)

**Additional tax information**

If you have more than one fiscal address and tax identification number, add them all.

 There is no additional tax information.

If the fiscal address is not the same as the residential address, the responsible must also provide the fiscal address..

My fiscal address is equal to my residential address.

Street + Number

Postal code  City

Country

**Add tax information** ✕

In line with our obligations as regulated institution you should provide us your fiscal address(es) and Tax Identification Number(s) and keep them updated.

Street + Number (optional)

Postal code (o...  City (optional)

Country

Tax identification number

Since (mm/dd/yyyy) (optional)

Optional.

## Documents

Here, the responsible can see all the documents he needs to upload. Only documents marked with the red "REQUIRED" button are mandatory. Which ones are mandatory depends on the answers in the questionnaire of client details. In the following there is an example on how to upload a document (in this case Bylaws). This procedure also works for all other documents. The information button shows which documents can be used as proof and whether these must subsequently also be submitted by post in the original or as a certified copy, or whether an upload as a PDF is sufficient.

**Documents**

All documents can be provided in the following languages: German, English, French and Luxembourgish. For any other languages, a translation must be submitted by a recognised professional translator to which the 'accuracy and completeness of the translation' is certified.

Please send all originals and certified copies - ideally by courier - to the stated mailing address. It is much appreciated to provide us with a tracking number to follow the documents sent.  
If you have any questions, you can use the central email mailbox: [investors@hal-privatbank.com](mailto:investors@hal-privatbank.com)

Hauk & Aufhäuser Alternative Investment Services S.A.  
1C, rue Gabriel Lippmann  
5365 Munsbach  
Grand Duchy of Luxembourg

<b>Certificate self-employed activity</b> <span>REQUIRED</span> <b>Add</b> More information ⓘ	<b>Current trade register extract or equivalent</b> <span>REQUIRED</span> <b>Add</b> More information ⓘ
<b>Current Articles of Association/ Statutes/Founding Document (or equivalent constitutive documents according to the legal form)</b> <span>REQUIRED</span> <b>Add</b> More information ⓘ	<b>Current list of authorised representatives/directors</b> <span>REQUIRED</span> <b>Add</b> More information ⓘ
<b>Proof of Residence of the UBO</b> <span>REQUIRED</span> <b>Add</b> More information ⓘ	<b>Current signed structure chart</b> <span>REQUIRED</span> <b>Add</b> More information ⓘ

**Option to upload the document as a file or via an URL**

Source  File  URL

Document URL

Document name

**Bylaws**

You can add your own document in PDF, JPEG, JPG, PNG or URL.

Drag and drop the documents to upload them.

Document 1

Source  File  URL

Select a file from your device **Select**

Document name

**+ Document**

**Upload**

**Bylaws**

You can add your own document in PDF, JPEG, JPG, PNG or URL.

Drag and drop the documents to upload them.

Document 1

Bylaws\_John Doe Added ✓

**+ Document**

**Close**

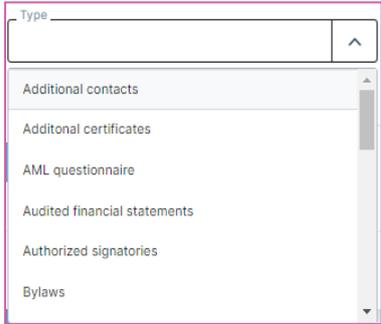
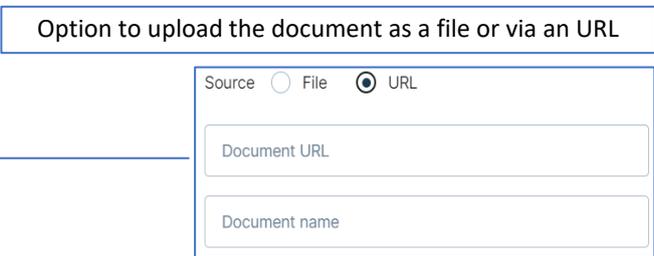
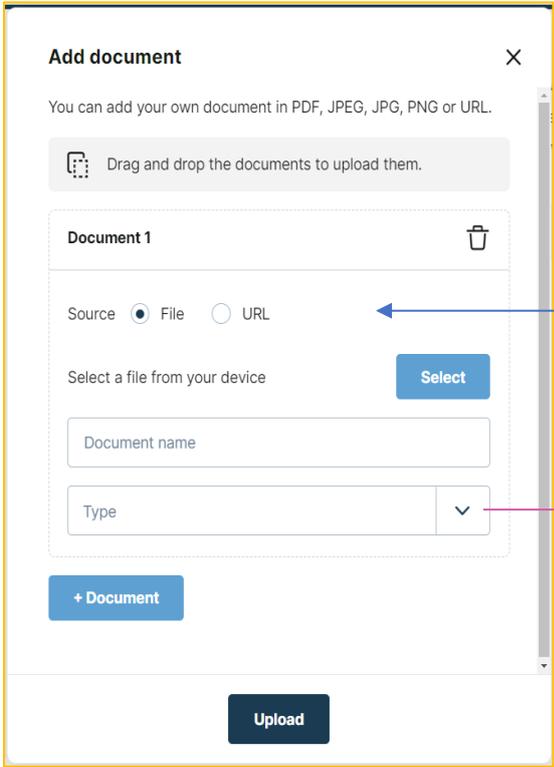
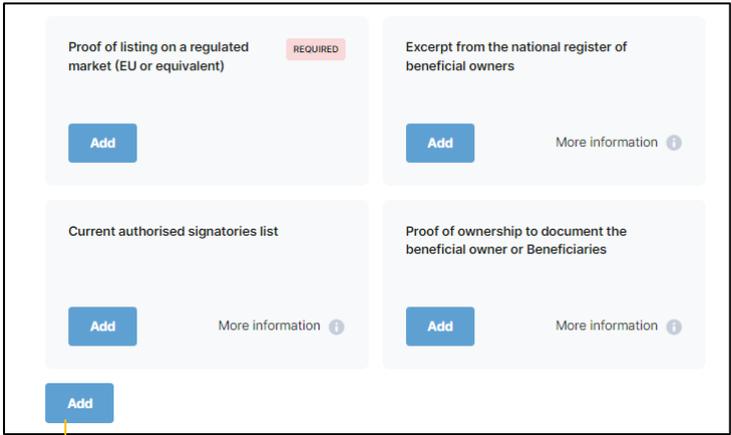
This PC > DATA DRIVED (D:) > Test

Name	Date modified	Type
FATCA_John Doe.pdf	08.06.2023 14:49	Foixit PDF Ed
Proof of ID_John Doe.pdf	08.06.2023 14:49	Foixit PDF Ed
Proof of Residence_John Doe.pdf	08.06.2023 14:49	Foixit PDF Ed
Vollmacht_John Doe.pdf	08.06.2023 14:49	Foixit PDF Ed

File name: Custom files (\*.pdf;\*.jpeg;\*.jpg)

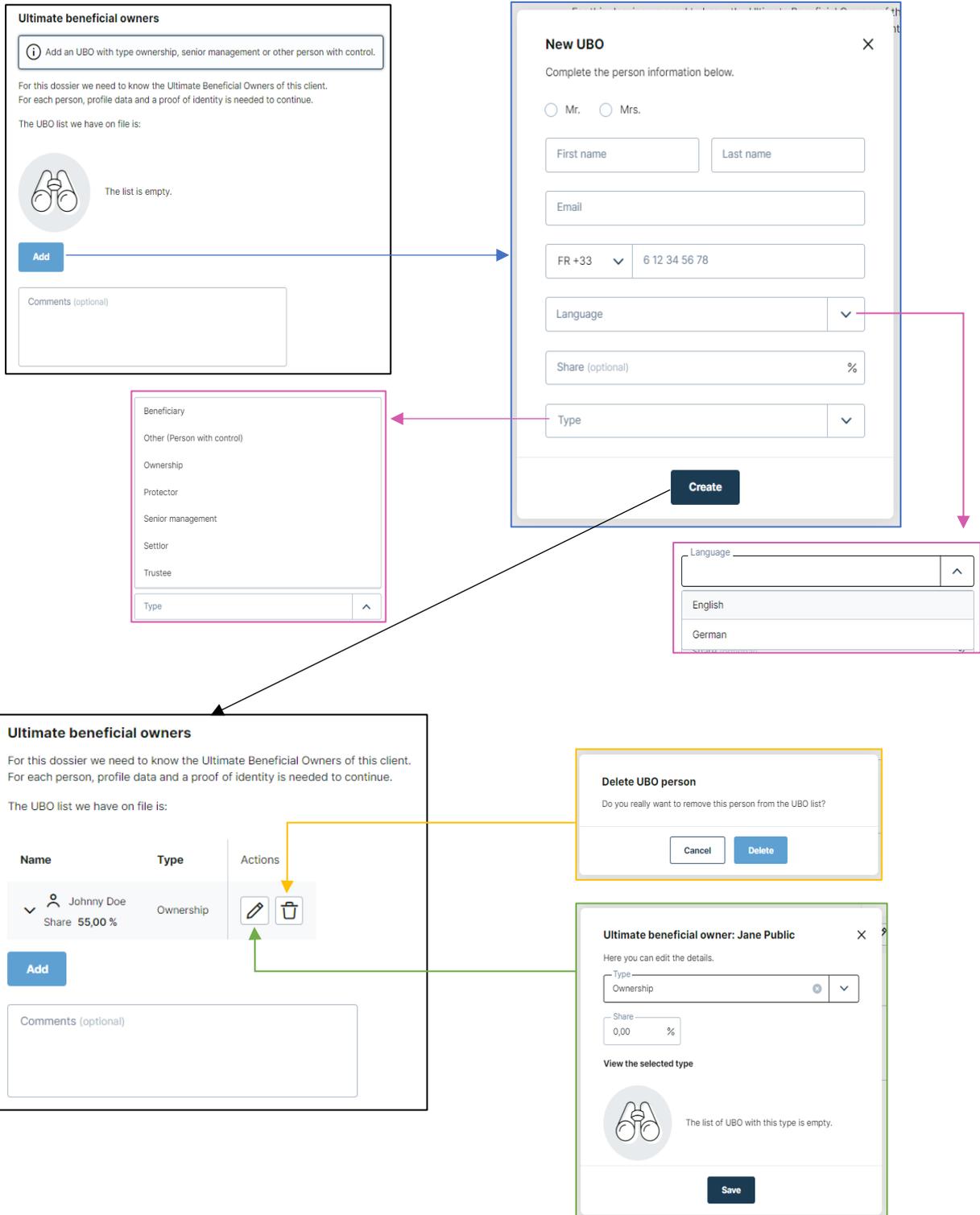
**Open** **Cancel**

Via the "Add document" button, additional documents can be uploaded. However, this is optional.



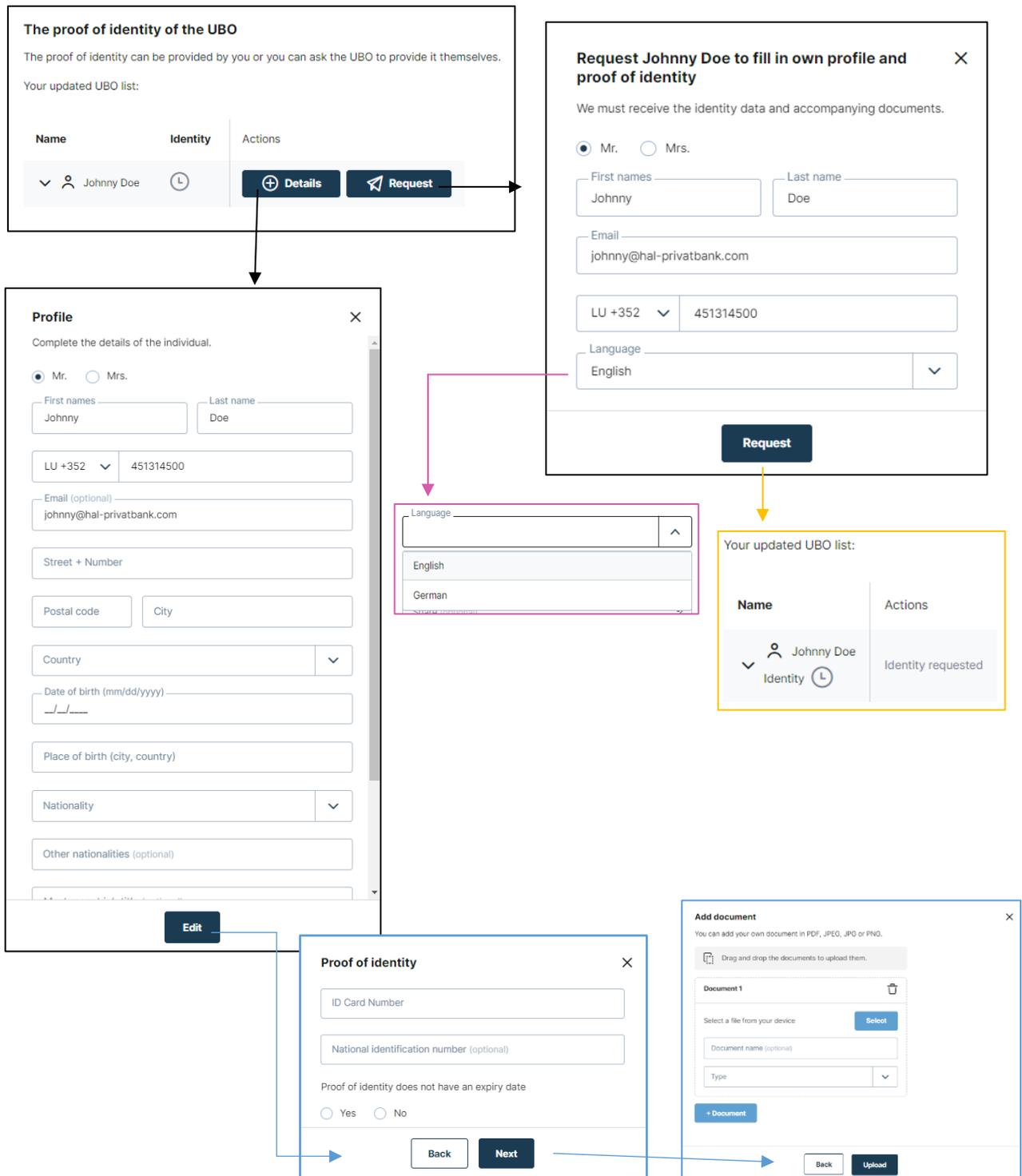
# UBO

Via the “Add” button, the responsible must add at least one UBO . In the opening window, he must then provide information about the UBO. The “Language” and “Type” fields can again be selected with a drop-down menu. The “Create” button finally adds the UBO. AN UBO can be edited by clicking on the pencil item. By clicking on the bin icon, an UBO can be deleted.



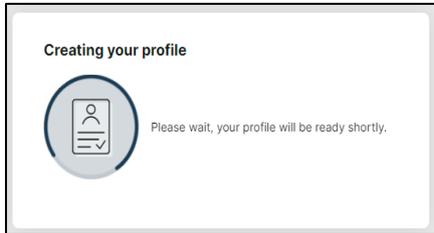
## Proof of Identity of the UBO

The responsible can either fill in the personal information and upload the proof of identity for each UBO or can request it from the UBOs. Via the “Details” button, the responsible can enter the personal information for the corresponding UBO. Via the “Request” button the responsible can enter the contact details of an UBO. By clicking on “Request” again, an email including a link to complete their profile is sent to the UBO.



## Form

When the responsible clicks 'Next' after completing the UBO section, a PDF profile is created which contains all the data collected during the flow.



The responsible must look at the profile carefully, check all the information and, if necessary, go to the previous pages by clicking on "Previous" to make improvements or changes.

Once the responsible has done so, he can confirm at the bottom of the form that he has read and accepted the profile created. The "Confirm" button opens a window in which the responsible can cancel or re-confirm the transaction. By confirming again, the responsible closes the flow and the profile is submitted. From this point on, the responsible will not be able to make any changes.

If the investor does not agree with the profile, he can reject the file by clicking on "Reject". We ask you to specify the reasons for rejecting the profile. The data collected will be transmitted, but the dossier will be marked as "rejected by client". If the investor wants to proceed with the creation of the profile, he may request the flow to be reopened.

The profile can be downloaded after confirming the data via "Download profile".

Once the data has been received, it will be checked as quickly as possible by an employee of the Transfer Agent & Registrar department and the investor will be contacted again in the event of any queries or additional requirements.

- Identity
- Dossier
- Client details
- UBO
- Form

HAUCK  
AUFHÄUSER  
ADMINISTRATION  
SERVICES

MN - Company Limited  
MN - Limited Company - KYC00000168  
26/03/2024

### Profile

This document contains the profile for:

Service	Know Your Customer
Dossier name	MN - Limited Company
Dossier number	KYC00000168
Dossier holder name	MN - Company Limited
Dossier holder type	Company
Service provider	Hauck Aufhäuser Administration Services S.A.
Date profile	26/03/2024

Reject Confirm

### Confirm

Are you sure you want to confirm this profile?

Cancel Confirm

### Reject dossier

Are you sure you want to reject this dossier?

Provide a reason

Confirm



### Profile | Completed

Thank you for completing the information regarding the dossier for John Doe GmbH.

You may now close the browser tab.

## User Login

After completing the investor flow, there is the possibility to create a password to login to KYC-Manager. This way the investor or the person entering the data can see all his completed dossiers. When logged in, information is available about the dossier and the created profile pdf can be downloaded here as well.

**EN** **Register**

**Registration | Your info**

Mr.  Mrs.

First names Last name

FR +33 6 12 34 56 78

Email

Always send me a code to login more securely

Password

Confirm password

I understand and accept the [Terms of Use](#) and the [Privacy policy](#)

**Confirm**

Version 5.7.0

**Registration | Enter code**

Fill in the code that has been sent to +491459764321. The code is only valid for 2 minutes.

Code

**Verify code**

New code or [Code by email](#)

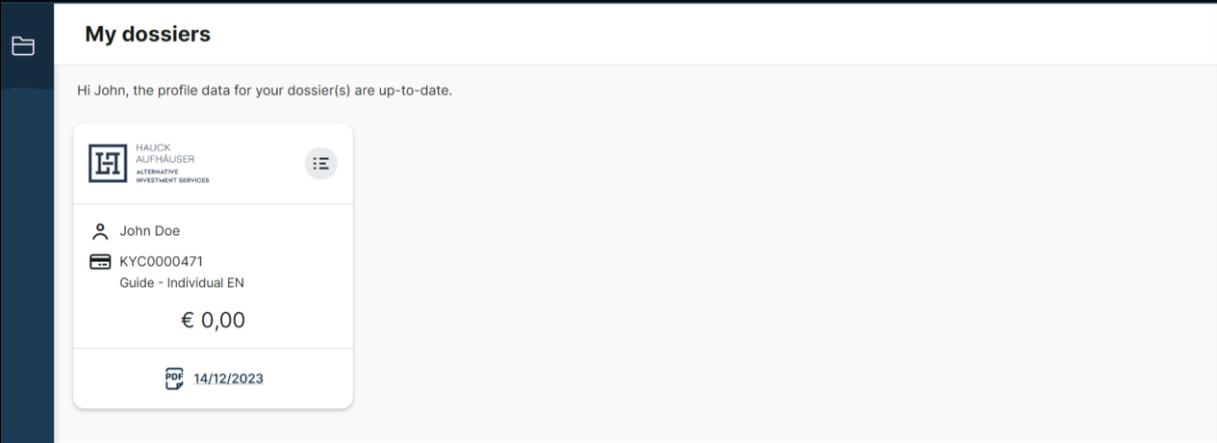
Something wrong in your mobile number?  
[Adapt registration form](#)

**Registration | Completed**

Your Hauck Aufhäuser Administration Services S.A.-account is ready to use.

**Continue**

When logged in, all dossiers are displayed and the most recently created profile PDF can be downloaded. It is also displayed if a file has not yet been completed.



By clicking on the file, further information on the file becomes visible and via the "Profiles" tab, the person responsible can display all completed profiles that are created each time the investor flow is run through.

