

Client Questionnaire - Adrigo Small & Midcap L/S

Please clarify in which capacity you are investing?

- For my own account
 For other person via proxy
 As guardian
 Legal entity

Are you a person of political exposed persons (PEP – Political Exposed Person)?

YES NO

Persons who are or have been entrusted with prominent public functions.

Prominent public function includes for example the Heads of State or of Government, members of parliament, ministers, judges of the Supreme Court and the Supreme Administrative Court, the Auditors General, Governor Executive Board, ambassadors, high-ranking officers, the CEO or board member of a state-owned company or a member of management in an international organization (eg, UN, Council of Europe, NATO or WTO).

Are you a family member or a known associate of a politically exposed person (PEP)?

YES NO

Family members means wife / husband / registered partner, children and their spouses or partners and parents.

A known associate means persons acting as beneficial owner on behalf of a PEP or a person who in other ways has close business relationships with a PEP, or a person who is the real beneficial owner of a legal person / legal entity established for the benefit of a PEP

For the definition of a PEP, see above.

Legal entity

Please notify ownership in excess of 25 % of capital or votes in the corporation. This section is not applicable if the company is a publicly listed company within the EES, or if the company is supervised by the Swedish Financial Supervisory Authority.

Name	Social security no/Reg. number (corporate)	Ownership in %
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If subscription is on behalf of a society, foundation, trust or similar, please specify name and address of future beneficiaries or alternatively name of the physical persons who have the prime interest of the legal entity's creation or operation.

Name	Social security no/Reg. number (corporate)
Address – including postal code and City	Country

What is the purpose of the investment?

- Savings/Investment
 Other:

Origination of the funds which you are investing?

- Savings/Investment
 Sale of company
 Salary
 Revenues of company
 Inheritance/gift
 Other:
 Sale of Property

Adrigo Small & Midcap L/S, managed by Adrigo Asset Management AB, is a so called "Specialfond" according to the Swedish Act (2013:561) of Managers of Alternative Investment Funds. Adrigo Small & Midcap L/S is not a UCITS-fund. For full information please see Adrigo Asset Management's website,



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Registered office: Stockholm • Reg no 556716-4719
 Regulated by the Swedish Financial Supervisory Authority

Mandatory verification question when signing an application

FATCA

Due to the United States tax law, the Foreign Account Tax Compliance Act ("FATCA") and accompanying intergovernmental agreements between Sweden and the United States, financial institutions such as Adrigo Asset Management AB are obliged to inform US tax authorities of holdings by individuals and companies taxable in the United States. The data is reported to the Swedish Tax Agency, which, in turn, pass the information to the United States tax authorities.

CRS

The Common Reporting Standard (CRS) is a global standard for automatic exchange of financial account information. In Sweden, CRS obligations are governed by the Act on Identifying Reportable Accounts for Automatic Exchange of Financial Account Information. Due to the law, Adrigo Asset Management AB is required to identify and provide information about accounts held by persons with tax residence in a state other than Sweden and the United States. The data is reported to the Swedish Tax Agency, which, in turn, pass the information to the tax authorities of the relevant country.

Please clarify in which capacity you are investing

Physical person

Legal entity

- business

Could you be considered fully (or partially) taxable in a country other than Sweden?

Physical person YES NO

If yes, please state;

Country

.....

TIN (Tax Identification Number)

.....

Legal entity YES NO

If yes, please state;

Country

.....

TIN/GIIN (Global Intermediary Identification Number)

.....

I/we declare that the above information that I/we have provided in this questionnaire is current, accurate and correct.
I/we declare to promptly notify Adrigo Asset Management AB of any changes.

.....
Place

.....
Date

.....
Signature

.....
Name (please print)



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