

Institutional Customer Due Diligence (CDD) Form

To be completed by an authorised signatory of the applicant institution, in English.

Part I – Institution Information

Full Legal Name of the Institution Including any DBA or trade names	
Full Legal Name in Native Alphabet Required if the name is not written in the Latin alphabet	
Legal Form E.g. GmbH, AG, Ltd, LLC, foundation	
Date of Incorporation / Formation	DD / MM / YYYY
Registration / Identification Number Commercial register number (for Swiss entities the UID / CHE number) or equivalent number issued in the jurisdiction of incorporation	
Registered Address – Street Address	
Registered Address – Country	
Place of Business – Street Address Where the institution physically conducts its business	
Place of Business – Country	
Website Enter "Not applicable" if none	
Tax Identification Number Swiss UID / VAT number for Swiss entities; foreign TIN for non-Swiss entities, where applicable	

U.S. tax status Is the institution a U.S. person for U.S. tax purposes, or otherwise subject to U.S. tax reporting obligations?	☐ No ☐ Yes
---	--

Responsible Person (managing director, CEO or other authorised signatory)

Full Name	
Job Title	
Email	
Phone Number Including country code	

Please describe the institution's principal business activities in detail.**Please provide details of any licences, registrations, authorisations or regulatory status relevant to the institution's business activities (if applicable).****Part II – Financial Profile**
What are the institution's primary sources of revenue or operating income?

E.g. business operations, trading activities, investment income, service fees, commissions, financing activities or other commercial income.

What are the institution's primary sources of assets or wealth?

E.g. retained earnings, shareholder or capital contributions, business operations, investments, financing arrangements, asset sales or other legitimate commercial sources.

What are the primary sources of the funds or assets that will be used in transactions with Montezy GmbH?

Part III – Business Relationship Information

Please describe the institution's customer base, principal customer types (e.g. investors, traders, commercial clients, institutional clients, payment users, virtual asset users) and the jurisdictions it serves and transacts with.

Please describe the institution's principal counterparties, suppliers, liquidity providers, banking partners, payment service providers, exchanges, custodians or other key business partners (if applicable).

Primary purpose(s) of the business relationship

Select all that apply

- ☐ Proprietary trading or treasury activities
- ☐ Cross-border fund transfers or settlement
- ☐ Digital asset related activities
- ☐ Payment processing or remittance activities
- ☐ Liquidity, hedging or foreign exchange activities
- ☐ Other (please specify): _____

Expected initial transaction – Currency

- ☐ CHF ☐ EUR ☐ USD ☐ Other: _____

Expected initial transaction – Amount

Estimated monthly transaction volume

- ☐ Below USD 10,000 (or equivalent)
- ☐ USD 10,000 – 50,000
- ☐ USD 50,000 – 250,000
- ☐ Above USD 250,000

Expected transaction frequency

- ☐ Occasionally
- ☐ 1–5 transactions per month
- ☐ 6–20 transactions per month
- ☐ More than 20 transactions per month

Will the institution conduct transactions on behalf of underlying clients, affiliates, related entities or third parties?

☐ No ☐ Yes If yes, please provide details below

Part IV – Compliance Information

Are any of the institution's directors, beneficial owners, authorised persons or controlling persons Politically Exposed Persons (PEPs), Heads of International Organisations (HIOs), or family members or close associates of such persons, as defined in Art. 2a AMLA and the VQF Regulations?

☐ No ☐ Yes If yes, please provide details below

Has the institution, or any of its subsidiaries, branches, affiliates, agents or controlled entities, ever been incorporated, registered, operated or conducted business in, or had material direct or indirect dealings with, any jurisdiction subject to sanctions, trade restrictions or special economic measures imposed by Switzerland under the Embargo Act and its ordinances, or by the United Nations, the European Union, the United Kingdom or the United States?

This includes, but is not limited to: Belarus, Burundi, Central African Republic, Cuba, Democratic Republic of the Congo, Haiti, Iran, Iraq, Lebanon, Libya, Moldova, Myanmar, Nicaragua, North Korea, Russia, Somalia, South Sudan, Sudan, Syria, Venezuela, Yemen, Zimbabwe, or any other jurisdiction subject to Swiss sanctions at the relevant time.

☐ No ☐ Yes If yes, please provide details below

Has the institution ever been subject to any investigation, inquiry, subpoena, enforcement action, administrative penalty or sanction in connection with anti-money laundering, counter-terrorist financing, sanctions compliance or other financial regulatory matters by any of the following authorities?

- Money Laundering Reporting Office Switzerland (MROS)
- Swiss Federal Office of Police (fedpol) or cantonal police and prosecution authorities
- Federal Office for Customs and Border Security (FOCBS)
- Swiss Financial Market Supervisory Authority (FINMA)
- State Secretariat for Economic Affairs (SECO) (in relation to economic sanctions or export controls)
- United Nations Security Council Sanctions Committees, as implemented under Swiss law
- Any equivalent authority in another jurisdiction

☐ No ☐ Yes If yes, please provide details below

Part V – Bank Account for Fiat Settlement

Please provide details of the bank account the institution intends to use for fiat settlement with Montezy GmbH. The bank account must be held in the applicant's own name. Third-party accounts are not accepted.

Account Holder Name	
Account Holder Address	
Bank Name	
Bank Address	
Bank Country	
Account Number / IBAN	
SWIFT / BIC	

Part VI – Beneficial Owners and Controlling Persons

Please provide the information below for (i) each natural person who directly or indirectly holds 25% or more of the capital or voting rights of the institution or otherwise controls it, and (ii) all directors / managing directors. If no person reaches the 25% threshold, list the managing director(s) as controlling person(s).

This information supplements, and does not replace, the written declaration of beneficial ownership on VQF Form A (beneficial owner of assets) or Form K (controlling person of an operating legal entity), which Montezy GmbH will ask the institution to sign.

First Beneficial Owner / Controlling Person (required)		
Last Name	First Name	Date of Birth (DD/MM/YYYY)
Role / Job Title	Nationality / Citizenship	Ownership or Control (%)
Residential Address		
City	State / Province	Postal Code / Country
Tax Identification Number (Swiss social security number (AHV/AVS number) for Swiss tax residents; foreign tax identification number (TIN), if applicable or available under the laws of the relevant jurisdiction, for non-Swiss tax residents)		

Second Beneficial Owner / Controlling Person (if applicable)		
Last Name	First Name	Date of Birth (DD/MM/YYYY)
Role / Job Title	Nationality / Citizenship	Ownership or Control (%)
Residential Address		
City	State / Province	Postal Code / Country
Tax Identification Number (Swiss social security number (AHV/AVS number) for Swiss tax residents; foreign tax identification number (TIN), if applicable or available under the laws of the relevant jurisdiction, for non-Swiss tax residents)		

Third Beneficial Owner / Controlling Person (if applicable)		
Last Name	First Name	Date of Birth (DD/MM/YYYY)
Role / Job Title	Nationality / Citizenship	Ownership or Control (%)
Residential Address		
City	State / Province	Postal Code / Country
Tax Identification Number (Swiss social security number (AHV/AVS number) for Swiss tax residents; foreign tax identification number (TIN), if applicable or available under the laws of the relevant jurisdiction, for non-Swiss tax residents)		

Fourth Beneficial Owner / Controlling Person (if applicable)		
Last Name	First Name	Date of Birth (DD/MM/YYYY)
Role / Job Title	Nationality / Citizenship	Ownership or Control (%)
Residential Address		
City	State / Province	Postal Code / Country
Tax Identification Number (Swiss social security number (AHV/AVS number) for Swiss tax residents; foreign tax identification number (TIN), if applicable or available under the laws of the relevant jurisdiction, for non-Swiss tax residents)		

Use additional copies of this page if there are more than four beneficial owners, controlling persons or directors.

Part VII – Documents to Attach

No.	Document to attach	Attached
1	Certificate of incorporation or formation, or a commercial register extract issued within the last six months.	☐
2	Articles of association, bylaws, operating agreement, partnership agreement, trust deed or equivalent governing documents.	☐
3	Evidence of the registration / identification number issued by the competent authority in the jurisdiction of incorporation.	☐
4	Proof of business address issued within the last three months (e.g. bank statement, lease agreement, utility bill or equivalent document).	☐
5	Licences, registrations, authorisations or regulatory documentation relevant to the institution's business activities (where applicable).	☐
6	AML/CTF policies and procedures (required for financial institutions, payment service providers, money transmitters, virtual asset service providers and other regulated entities).	☐
7	Organisational chart or ownership structure chart showing the complete ownership and control structure up to the beneficial owners.	☐
8	Clear colour scans of valid government-issued photo ID for all directors, beneficial owners, controlling persons and authorised signatories.	☐
9	Signatory list or board resolution evidencing the authority of the person(s) signing on behalf of the institution.	☐
10	Tax documentation: Swiss UID / VAT registration for Swiss entities; valid foreign tax identification documentation for non-Swiss entities.	☐

Part VIII – Applicable Law and Data Protection

This form is completed in accordance with the Swiss Federal Act on Combating Money Laundering and Terrorist Financing (Anti-Money Laundering Act, AMLA), the Anti-Money Laundering Ordinance (AMLO), the Regulations of the Self-Regulatory Organisation VQF (VQF Regulations), and applicable Swiss sanctions law (Embargo Act) and criminal law.

Montezy GmbH may collect, use, verify, disclose and retain institutional information, personal information, compliance-related information and supporting documentation provided in connection with this CDD process for the purposes of identity verification, compliance reviews, sanctions screening, anti-money laundering and counter-terrorist financing compliance, risk management, transaction monitoring, regulatory reporting and other lawful compliance purposes, in accordance with applicable law (including the Swiss Federal Act on Data Protection) and its internal data protection and confidentiality policies.

Part IX – Certification and Authorisation

The undersigned, on behalf of the applicant institution, hereby certifies, represents, acknowledges and authorises that:

- 1 The applicant institution is applying to establish a business relationship with Montezy GmbH in its own name and for its own account, and not as a fiduciary, nominee, intermediary or agent acting on behalf of any undisclosed third party, unless otherwise disclosed in writing to Montezy GmbH;
- 2 All information and materials provided in connection with this form are true, correct, accurate and complete to the best knowledge and belief of the applicant institution and the undersigned, and Montezy GmbH will be informed without delay of any change;
- 3 The undersigned is duly authorised to sign this form on behalf of the applicant institution;
- 4 Montezy GmbH and its compliance representatives, agents, service providers and compliance vendors (including Sumsb for identity verification and screening, and ChainStream for blockchain analytics) are authorised to conduct identity verification, sanctions screening, politically exposed person (PEP) screening, adverse media searches, background checks, blockchain analytics reviews, wallet verification procedures, regulatory status reviews and other compliance or due diligence procedures as may be reasonably required under applicable laws, regulations, internal compliance policies or risk management procedures;
- 5 Montezy GmbH is authorised, where reasonably necessary for compliance purposes, to verify information, wallet ownership, transaction history and supporting documentation provided by the applicant institution with relevant third parties, databases, financial institutions, blockchain analytics providers, public registries or governmental authorities.

Name of Institution	Date
Full Name of Signatory	Title of Signatory
Signature	Company Stamp (if any)