



Application for active membership subject to SAAM SRO supervision *

I. The applicant

Company:	
Legal form:	
Registered office:	
Subsidiaries/branches:	
Telephone number:	
Fax number:	
E-mail:	
Website (url):	

II. Shareholders or partners

Shareholders or partners¹ (including any and all indirect shareholdings and interests in the applicant)

* SRO Rules and Regulations Schedule I

¹ For joint-stock companies (AG and GmbH), only the identities of holders of 25% or more of share capital or voting rights are required to be given.

Business²	
<input type="checkbox"/> Management of assets held in custody by banks <input type="checkbox"/> Investment consultancy <input type="checkbox"/> Securities dealing ³ <input type="checkbox"/> Fiduciary execution and settlement of transactions ⁴	<input type="checkbox"/> Distribution of shares in investment funds ⁵ <input type="checkbox"/> Distribution of insurance products ⁶ <input type="checkbox"/> Other ⁷
Shareholdings in other companies⁸	

III. Organisational arrangements

Board of directors and officers⁹:

	1. Board of directors / officers* * cross out non-applicable item	2. Board of directors / officers* * cross out non-applicable item
Last name		
First and middle name(s)		

² More than one line of business may be ticked.

³ Securities dealers as defined by the Swiss Stock Exchange Act [*Bundesgesetz über die Börsen und den Effektenhandel*].

⁴ Type of fiduciary activity(ies) (e.g., fiduciary investments, reimbursable transactions, etc.) should be listed in a dated and signed side letter.

⁵ A copy of the Swiss Federal Banking Commission authorisation to sell shares in non-Swiss funds (e.g., Luxembourg SICAV) should be enclosed or the identities of authorised distributors to be listed in a dated and signed side letter.

⁶ If non-Swiss insurance products are distributed, a copy of the authorisation of the Swiss Federal Office of Private Insurance to be enclosed or authorised distributors to be listed in a dated and signed side letter.

⁷ Please provide list of other activities in a signed and dated side letter.

⁸ Please provide a diagram for large groups.

⁹ The following documents are to be attached for each person listed:

Certified copy of passport or identity card;

Curriculum vitae including details of education and training (attach copy diplomas, references and testimonials, etc) and professional experience;

Extract of from the Swiss criminal records;

Police certificate of good conduct issued by the canton of residence;

Signed and dated warranty that the undersigned is not involved in any pending criminal or criminal or administrative proceedings in connection with professional activities except for normal tax assessments (including appeals) and traffic violations.

Position		
Date of birth		
Place of residence / citizenship		
Address		
Tel. (private)		
Fax (private)		

	3. Board of directors / officers* * cross out if not applicable	4. Board of directors / officers* * cross out if not applicable
Last name		
First and middle name(s)		
Position		
Date of birth		
Place of residence / citizenship		
Address		
Tel. (private)		
Fax (private)		
	5. Board of directors / officers* * cross out non-applicable item	6. Board of directors / officers* * cross out non-applicable item
Last name		
First and middle name(s)		
Position		
Date of birth		
Place of residence / citizenship		
Address		
Tel. (private)		
Fax (private)		

Auditors:

Firm, last name	
First and middle name(s) ¹⁰	
Date of birth ¹⁰	
Place of residence / citizenship ¹⁰	
Registered office / address	
Tel.	
Fax	

¹⁰ Natural persons.

Employees:

Number of employees (including proprietor) engaged in each of the following areas

Total number of employees:	Front office ¹¹	Back office ¹²
Number:	Number:	Number:

Assets under management¹³

<input type="checkbox"/> < CHF 100 million	<input type="checkbox"/> > CHF 750 million and < CHF 1 billion
<input type="checkbox"/> > CHF 100 million and < CHF 250 million	<input type="checkbox"/> > CHF 1 billion and < CHF 5 billion
<input type="checkbox"/> > CHF 250 million and < CHF 500 million	<input type="checkbox"/> > CHF 5 billion and < CHF 10 billion
<input type="checkbox"/> > CHF 500 million and < CHF 750 million	<input type="checkbox"/> > CHF 10 billion

Internal compliance with the MLL and the Code of Ethics and Professional Conduct of Independent Asset Managers:

<input type="checkbox"/> Internal controls regarding compliance with the MLL and the Code are contained in rules and regulations ¹⁴		
<input type="checkbox"/> Specific rules and regulations not required due to small size of organisation. Current organisational arrangements provide sufficient internal controls with respect to compliance with the MLL and Code. The following employee(s) is/are responsible for MLL and Code compliance ¹⁵ :		
	1. Employee	2. Deputy
Last name		
First and middle name(s)		
Date of birth		
Place of residence / citizenship		
Address		
Tel. (private)		
Fax (private)		

¹¹ Number of employees with individual responsibility for relationship management.

¹² Employees primarily engaged in administrative activities with any current or future involvement in relationship management under the supervision of the person to whom they report.

¹³ Net.

¹⁴ Attach copy of rules and regulations.

¹⁵ If any of the employees listed are not also members of the Board of Directors or officers of the company, the documents listed in footnote 9 must also be attached. If responsibilities are not defined by organisational or operational rules and regulations, job descriptions signed by a signatory of the organisation, the relevant employee and that employee's deputy or, for organisations consisting of one person, a description of relevant internal controls.

Training:

<input type="checkbox"/> Staff training in matters related to the MLL and Code are subject to rules and regulations ¹⁶ .		
<input type="checkbox"/> Specific rules and regulations regarding staff training relating to the MLL and Code are not required due to small size of organisation. Employees regularly receive training in these matters and participate in courses provided by the SAAM and other organisations. The following employee(s) is/are responsible for organising and overseeing training related to the MLL and the Code:		
	1. Employee	2. Deputy
Last name		
First and middle name(s)		
Date of birth		
Place of residence / citizenship		
Address		
Tel. (private)		
Fax (private)		

IV. References¹⁷**Bank references:**

	1.	2.
Last name		
First and middle name(s)		
Bank		
Address		
Tel.		
Fax		

¹⁶ Attach copy of rules and regulations.

¹⁷ Two references provided by persons employed at two separate firms are to be given for each of the below.

Other references:

	1.	2.
Last name		
First and middle name(s)		
Company		
Address		
Tel.		
Fax		

V. Representative

Our company's representatives in matters regarding the SAAM¹⁵ will be:

Last name	
First and middle name(s)	
Date of birth	
Place of residence / citizenship	
Address	
Tel. (private)	
Fax (private)	

VI. Terms and conditions of application

The undersigned applicant, hereby, warrants the truthfulness of the information provided in this form and enclosures and undertakes to notify the SAAM Designated Officer in writing of any changes in such information within 30 days.

The undersigned applicant hereby releases the cited referees and any third parties (private and official entities) from any undertakings of confidentiality with respect to any information provided in connection with this application. All information received will be treated as confidential by the SAAM Board, the Designated Officer, persons responsible for processing the application and the Membership Commission.

By signing this form, the undersigned applicant agrees to payment of a processing fee of CHF 1,000 plus VAT and, if accepted as member of the SAAM, the payment of an application fee of CHF 1,500 plus VAT. The undersigned undertakes to remit the processing fee on submission of this application and the application fee when notified by the association that the application has been accepted to:

UBS Zürich, Paradeplatz, 8001 Zürich, Account no. P0221599.0, Clearing no. 206.

The undersigned applicant agrees to be bound by the relevant provisions of the Articles of Association of the Swiss Association of Asset Managers, specifically including the waiver of due process under the law with respect to proceedings of the Disciplinary and Arbitration Committees.

VII. Publication of personal information in the Directory of Members

The undersigned applicant is aware of the fact that following submission of this application the name of his firm, address, telephone number, website url and the representative's name will be published in a secure website to which only members in possession of passwords have access. The SAAM shall not be responsible for any misuse of passwords by members. The undersigned applicant is also aware of the fact that such information will be made available to the public on the SAAM website and in any printed directories of members following acceptance as member in the Association.

[place], [date]

The applicant

Firm and binding signature

Enclosures:

- Commercial registry extract¹⁸
- Most recent audit report¹⁹
- Business plan for a period of three years;
- Unabhängigkeitserklärung;
- Certified copies of passports or identity cards of []²⁰ members of the Board of Directors and management, of the officer responsible for compliance with MLL and Code and that officer's deputy, of the officer responsible for training on the MLL and the Code and that officer's deputy and the representative;
- Curricula vitae (with copies of diplomas, references and testimonials) of []²⁰ members of the Board of Directors and management, of the officer responsible for compliance with MLL and Code and that officer's deputy, of the officer responsible for training on the MLL and the Code and that officer's deputy and the representative;
- Extracts from the Swiss criminal records of []²⁰ members of the Board of Directors and management, of the officer responsible for compliance with MLL and Code and that officer's deputy, of the officer responsible for training on the MLL and the Code and that officer's deputy and the representative;
- Police certificates of good conduct for []²⁰ members of the Board of Directors and management, of the officer responsible for compliance with MLL and Code and that officer's deputy, of the officer responsible for training on the MLL and the Code and that officer's deputy and the representative;
- Warranties regarding pending criminal and administrative proceedings relating to []²⁰ members of the Board of Directors and management, of the officer responsible for compliance with MLL and Code and that officer's deputy, of the officer responsible for training on the MLL and the Code and that officer's deputy and the representative;
- Undertaking by the auditor regarding the inclusion, if application is accepted, of compliance with the Code of Ethics and Professional Conduct of Independent Asset Managers in the scope of audits;
- Internal rules and regulations, job descriptions or, for organisations consisting of one person, description of the relevant internal controls to assure compliance with the MLL and the Code;
- Internal rules and regulations, job descriptions or, for organisations consisting of one person, description of internal procedures relating to the provision of training on the MLL and the Code;
- Other items shown on separate list

¹⁸ Original or certified copy. The extract must be up to date and may not be more than one year old.

¹⁹ Companies which have previously not been audited must attach an audit mandate acceptance letter of an auditor recognised by the SAAM in which the auditor agrees to audit and report on compliance with the Code.

²⁰ Number