



Application for active membership for companies subject to government 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)

Shareholdings in other companies²

* SRO Rules and Regulations Schedule II

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.

² Please provide a diagram for large groups.

III. Organisational arrangements

Board of directors and officers³:

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

	3. Board of directors / officers* * cross out non-applicable item	4. 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)		

	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 /		

³ 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;

citizenship		
Address		
Tel. (private)		
Fax (private)		

Auditors:

Firm, last name	
First and middle name(s) ⁴	
Date of birth ⁴	
Place of residence / citizenship ⁴	
Registered office / address	
Tel.	
Fax	

Employees:

Number of employees (including proprietor) engaged in the relevant operations

Total number of employees:	Front office ⁵	Back office ⁶
Number:	Number:	Number:

Assets under management⁷

<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

IV. Authorisation for the provision of professional services

The applicant is in possession of the following statutory authorisation⁸ to engage in the following activities:

<input type="checkbox"/> Dealing in securities	Date of authorisation:	
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⁴ Natural persons.

⁵ Number of employees with individual responsibility for relationship management.

⁶ 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.

⁷ Net.

⁸ A copy of the relevant authorisation is to be enclosed with the application.

<input type="checkbox"/> Financial intermediation	Date of authorisation:	
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V. References⁹

Bank references:

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

Other references:

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

VI. Representative

Our company's representative(s)¹⁰ in matters regarding the SAAM will be:

Last name	
First and middle name(s)	
Date of birth	

⁹ Two references provided by persons employed at two separate firms are to be given for each of the below.

¹⁰ 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 (enclose copy diplomas, etc) and professional experience;

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.

The undersigned applicant hereby releases the cited references and any third parties (private and official entities) with respect to 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.

The applicant

place, date

Firm and binding signature

Enclosures:

- Commercial registry extract¹¹
- Affirmation of independent asset management;
- Audit report on compliance with Para. 9 *et seq.* of the Code.
- Most recent audit report¹²
- Curricula vitae (with copies of diplomas, references and testimonials) of []¹³ members of the Board of Directors, officers of the company and the representative;
- Undertaking by the auditor regarding the inclusion, if application is accepted, of compliance with the applicable provisions of the Code of Ethics and Professional Conduct of Independent Asset Managers in the scope of audits;
- Other items shown on separate list

¹¹ Original or certified copy. The extract must be up to date and may not be more than one year old.

¹² 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.

¹³ Number