Ultimate Beneficial Owner (UBO) statement

Pensions

If your organisation does not have a mandatory UBO registration. Please complete this form.
As a financial institution, a.s.r. must comply with the Money Laundering and Terrorist Financing (Prevention) Act (Wwft), the Financial Supervision Act (Wft), and applicable sanctions regulations. That is why we conduct a customer due diligence review before entering into a (potential) business relationship. We also perform this review at key moments and periodically during the relationship. If someone other than the policyholder receives a payout, we will conduct this review for that person or organisation as well. A key part of this review is identifying the Ultimate Beneficial Owner (UBO). We check whether this person appears on risk or sanctions lists. Please complete and return this form as soon as possible.

Who are your UBOs?

To complete our customer due diligence, we must determine who qualifies as the UBO of your organisation. The UBO is identified based on the following criteria:

1. Legal entities

Is your organisation a legal entity, such as an association, foundation, co-operative, mutual insurance company, public limited company (N.V.), private limited company (B.V.), or a similar foreign legal form? Then the UBO is the natural person who:
- directly or indirectly holds more than 25% of the shares or ownership interest, or is entitled to more than 25% of the voting rights at the general meeting or in decisions regarding amendments to the articles of association;
- has special control rights (e.g. rights laid down in the articles of association);
- has effective control over the organisation (see definition under "Effective control" below).

Note: if the shares in your organisation have been transferred to a Trust Office Foundation, the holders of the corresponding depository receipts may qualify as UBO based on the above-mentioned criteria.

2. Sole proprietorships and partnerships

Is your organisation a sole proprietorship, general partnership (VOF), limited partnership (CV), professional partnership (maatschap), or a similar foreign legal form? Then the UBO is the natural person who:
- directly or indirectly holds more than 25% ownership interest, or
- can exercise more than 25% of the voting rights in management decisions and/or amendments to the partnership agreement.

3. Effective control

A natural person is deemed to have effective control over a legal entity or partnership if they:
- can appoint or dismiss the majority of the supervisory, executive, or administrative body;
- have control over the majority of voting rights;
- otherwise exert a dominant influence over the organisation;
- have the right to dispose of (part of) the organisation's assets.

Note: There must always be at least one person with effective control.

Privacy

Personal data processing is subject to the General Data Protection Regulation. The data obtained by this form are processed for the purposes of the customer due diligence review to be conducted by insurers and other parties involved in an insurance contract in order to comply with the Customer Due Diligence (CDD) obligations arising from the Money Laundering and Terrorist Financing (Prevention) Act, Financial Supervision Act and Sanction rules and laws. The data can for example also be processed to prevent and combat fraud towards financial institutions and to carry out statistical analyses. In the Privacy Statement is described how we handle your personal data, https://www.asrnl.com/privacy-statement.

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a.s.r.

Disclaimer
Signing this form has no bearing on the (insurance) contract. The conclusion of an (insurance) contract requires the prior written acceptance of the proposed risk by a.s.r.

Sanction provision
a.s.r. is not bound to provide cover or indemnity under an insurance if this would constitute an infringement on sanction regulations or legislation that prohibit insurers from providing cover or indemnity.

Deviation in UBO data
If a.s.r., in the context of an assessment under the Wwft, determines that the information about the UBO in the trade register (UBO register) deviates from UBO information that a.s.r. has obtained in another way, a.s.r. is obliged under the Wwft to report this to the Dutch Chamber of Commerce.

Policy/package number or contract number (if applicable) or agreement number:

1. Details of your organisation

Registration category:
Registration number:
Name:
Address:
Your telephone number:

2. Answer the following questions with yes or no

1. Are there natural persons who hold more than 25% of the the shares or ownership interest in the legal entity either directly or through another legal entity? ☐ Yes ☐ No
2. Are there natural persons who are entitled to or have special control of more than 25% of the assets of the organisation? ☐ Yes ☐ No
3. Are there natural persons who are entitled to a share of more than 25% in the profits of the organisation? ☐ Yes ☐ No
4. Are there natural persons who can exercise more than 25% of the voting rights at the general meeting of the organisation? ☐ Yes ☐ No

Completion instruction
The questions above have to be answered to identify the UBOs of your organisation. If you answer one or more questions with Yes, please fill in the details of these natural persons on the next page. When in doubt, please fill in the details of potential UBOs on the next page as well. **Attention: there may be more than one UBO**.
- If you answered "Yes" to question 1, please indicate the ownership percentage per UBO.
- If you answered "Yes" to question 2, 3, or 4, please indicate the control percentage per UBO. Also include the details of persons with effective control. There must always be at least one person with effective control.
- If a UBO has both ownership and control, please indicate both.
- If in your opinion there is no UBO, please provide the details of all statutory directors who are authorised to make and sign board decisions on behalf of your organisation (pseudo-UBOs). There must always be at least one (pseudo-)UBO. If a statutory director is a legal entity, then each natural person who is directly or indirectly a statutory director of that entity is considered a UBO.

Important: Do not return this form blank. Incomplete or empty forms will not be accepted.

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3. Details of the UBO

Per UBO, completion of all fields except Insertion(s) is required.

Details (pseudo-)UBO 1

Given names:

Insertion(s):

Surname:

Date of birth (day-month-year): - -

Country of residence:

Nationality:

Type of interest: % ownership % control

Details (pseudo-)UBO 2

Given names:

Insertion(s):

Surname:

Date of birth (day-month-year): - -

Country of residence:

Nationality:

Type of interest: % ownership % control

Details (pseudo-)UBO 3

Given names:

Insertion(s):

Surname:

Date of birth (day-month-year): - -

Country of residence:

Nationality:

Type of interest: % ownership % control

Continue on the next page

Details (pseudo-)UBO 4

Given names:

Insertion(s):

Surname:

Date of birth (day-month-year): - -

Country of residence:

Nationality:

Type of interest: % ownership % control

4. Signature

The undersigned, either severally or jointly authorised to sign on behalf of the organisation and thereby bind it, declare(s) to have completed this form in full and truthfully.

By this signature you agree to inform a.s.r. as soon as possible in case of any change related to the UBOs of your organisation. A case in point would be if your organisation gets a new, additional UBO, if the details of the existing UBOs of your organisation change or if existing UBOs of your organisation can no longer be considered UBO.

Signatory 1

Name signatory:

Job title:

Date: - -

Place:

Signature

Signatory 2

Name signatory:

Job title:

Date: - -

Place:

Signature