

**APPENDIX I - DECLARATION OF ORIGIN OF FUNDS**

**DECLARATION**  
**according to Art. 66, para. 2 of The Law on Measures Against Money Laundering**

The undersigned: .....,  
(*name surname family*)  
PIN ....., identity document .....,  
issued on ..... by .....,  
permanent address: .....,  
nationality/s .....,  
in my capacity .....,  
in .....,  
UIC registration number or other identification number .....

I declare that the funds used in the following business relationship: acquisition of shares of an alternative investment fund,  
in size .....,  
(*indicate the amount and type of currency*)  
have the following origin: .....

When indicating a **natural person**, the names, PIN are indicated, and for persons who do not fall within the scope of Art. 3, para. 2 of the Law on Civil Registration - date of birth; when indicating a **legal entity or other legal entity** - its name, UIC, and if **the same is registered in another country** - the name, registration number or other identification number under which the same is entered in the relevant register of the other country.

When specifying **contracts (including donation contracts), invoices or others documents**, their type, number (if applicable), date of conclusion or signing, as well as data on the persons with whom the contract was concluded or who signed or issued the documents are indicated. When specifying an **inheritance**, the year of acquisition and data on the testator or testators are specified, when specifying **savings**, the period in which the savings were accumulated, as well as data on the source, and when specifying **income from commercial or labor activity, as well as another generally formulated source** – the period in which the income was generated, as well as data on the employer or counterparties.

I am aware of the criminal liability under Art. 313 of the Criminal Code for declaring false circumstances.

Date of declaration: Declarant:  
.....

(*signature*)

**APPENDIX II - DECLARATION FOR ESTABLISHING THE ACTUAL OWNER OF A LEGAL ENTITY**

Licensed Broker Dealer

DECLARATION

according to Art. 59, para. 1, item 3 of the Law on Measures Against Money Laundering

The undersigned:

1. ....

*(name surname family)*

Personal identification number/PIN/official personal identification number or other unique element for

identification .....,

date of birth: .....,

nationality/s: .....,

permanent address: .....,

or address: .....,

*(for foreign citizens without permanent address)*

in my capacity:

**legal** representative

proxy

on .....

*(indicate the name, as well as the legal organizational form of the legal entity or type of legal entity)*

with UIC number in the relevant national register .....,

entered in the register at .....,

I DECLARE:

I. The actual owners of the legal entity/legal entity represented by me are the following natural persons:

1. ....

*(name surname family)*

Personal identification number/PIN/: ....., date of birth .....,

## Licensed Broker Dealer

nationality/s: .....

*(indicate any nationality of the person)*

The country of residence, if it is different from the Republic of Bulgaria, or the country of citizenship:  
.....,

permanent address: .....,

or address: .....,

*(for persons without a permanent address on the territory of the Republic of Bulgaria)*

which is:

a person who directly or indirectly owns a sufficient percentage of the shares, shares or voting rights, including by holding bearer shares, according to § 2, para. 1, item 1 of the additional provisions of the Law on Measures Against Money Laundering ;

a person exercising control within the meaning of § 1c of the additional provisions of the Commercial Law (specify the specific hypothesis) .....

a person exercising decisive influence in making decisions to determine the composition of the management and control bodies, transformation, termination of the activity and other matters of essential importance for the activity, according to § 2, para. 3 of the additional provisions of Law on Measures Against Money Laundering ;

a person who exercises final effective control through the exercise of rights through third parties, including, but not limited to, granted by virtue of a power of attorney, contract or other type of transaction, as well as through other legal forms providing the possibility of exercising decisive influence through third parties , according to § 2, para. 4 of the additional provisions of Law on Measures Against Money Laundering ;

(specify the specific category) settlor, trust owner, custodian, beneficiary, or person in whose primary interest the trust property is created or managed, or a person who ultimately exercises control over the trust property by direct or indirect ownership or by other means , or a person holding a position equivalent or similar to the previously mentioned;

a person on whose behalf and/or on whose account a given operation, transaction or activity is carried out and who meets at least one of the conditions specified in § 2, para. 1, items 1 – 3 of the additional provisions of Law on Measures Against Money Laundering ;

## Licensed Broker Dealer

a person acting as a senior executive when no other person can be identified as the beneficial owner;

other (specify).....

Description of rights held: .....

2. ....

*(name surname family)*

Personal identification number/PIN/: ....., date of birth: .....,

nationality/s: .....

*(indicate any nationality of the person)*

The country of residence, if it is different from the Republic of Bulgaria, or the country of citizenship: .....

permanent address: .....

or address: .....,

*(for persons without a permanent address on the territory of the Republic of Bulgaria)*

which is:

a person who directly or indirectly owns a sufficient percentage of the shares, shares or voting rights, including by holding bearer shares, according to § 2, para. 1, item 1 of the additional provisions of the Law on Measures Against Money Laundering ;

person exercising control within the meaning of § 1c of the additional provisions of the Commercial Law (specify the specific hypothesis) .....

a person exercising decisive influence in making decisions to determine the composition of the management and control bodies, transformation, termination of the activity and other matters of essential importance for the activity, according to § 2, para. 3 of the additional provisions of Law on Measures Against Money Laundering ;

a person who exercises final effective control through the exercise of rights through third parties, including, but not limited to, granted by virtue of a power of attorney, contract or other type of transaction, as well as through other legal forms providing the possibility of exercising decisive influence through third parties , according to § 2, para. 4 of the additional provisions of Law on Measures Against Money Laundering ;

## Licensed Broker Dealer

- (specify the specific category) settlor, trust owner, custodian, beneficiary, or person in whose primary interest the trust property is created or managed, or a person who ultimately exercises control over the trust property by direct or indirect ownership or by other means, or a person holding a position equivalent or similar to the previously mentioned;
- a person on whose behalf and/or on whose account a given operation, transaction or activity is carried out and who meets at least one of the conditions specified in § 2, para. 1, items 1 – 3 of the additional provisions of Law on Measures Against Money Laundering ;
- a person acting as a senior executive when no other person can be identified as the actual owner;
- other (specify) .....

Description of rights held: .....

.....

II. Legal entities or other legal entities through which control is directly or indirectly exercised over the legal entity/legal entity represented by me are:

A. Legal entities/legal entities through which control is directly exercised:

.....,

*(indicate the name, as well as the legal organizational form of the legal entity or type of legal entity)*

registered office: .....,

*(country, city, municipality)*

address: .....,

entered in a register .....,

UIC or number in the relevant national register .....

.....

Representatives:

1. .....,

*(name surname family)*

Personal identification number/PIN/: ....., date of birth: .....,

## Licensed Broker Dealer

nationality/s: .....

*(indicate any nationality of the person)*

The country of residence, if it is different from the Republic of Bulgaria, or the country of citizenship:  
.....,

permanent address: .....

2. ....,

*(name surname family)*

Personal identification number/PIN/: ....., date of birth: .....,

nationality/s: .....

*(indicate any nationality of the person)*

The country of residence, if it is different from the Republic of Bulgaria, or the country of citizenship:  
.....,

permanent address: .....,

or address: .....

*(for persons without a permanent address on the territory of the Republic of Bulgaria)*

Method of representation: .....

*(jointly, severally or otherwise)*

B. Legal entities/legal entities through which control is indirectly exercised:

.....,

*(indicate the name, as well as the legal organizational form of  
the legal entity or type of legal entity)*

registered office: .....,

*(country, city, municipality)*

address: .....,

entered in a register .....,

UIC or number in the relevant national register .....

Representatives:

1. ....,

## Licensed Broker Dealer

*(name surname family)*

Personal identification number/PIN/: ....., date of birth: .....,

nationality/s: .....

*(indicate any nationality of the person)*

The country of residence, if it is different from the Republic of Bulgaria, or the country of citizenship:  
.....,

permanent address: .....,

or address: .....

*(for persons without a permanent address on the territory of the Republic of Bulgaria)*

2. ....,

*(name surname family)*

Personal identification number/PIN/: ....., date of birth: .....,

nationality/s: .....

*(indicate any nationality of the person)*

The country of residence, if it is different from the Republic of Bulgaria, or the country of citizenship:  
.....,

permanent address: .....,

or address: .....

*(for persons without a permanent address on the territory of the Republic of Bulgaria)*

Method of representation: .....

*(jointly, severally or otherwise)*

### III. Contact person under Art. 63, para. 4, item 3 of Law on Measures Against Money Laundering :

*(name surname family)*

Personal identification number/PIN/: ....., date of birth: .....,

nationality/s: .....,

permanent address on the territory of the Republic of Bulgaria:  
.....

## Licensed Broker Dealer

IV. I am attaching the following documents and references according to Art. 59, para. 1, items 1 and 2 of Law on Measures Against Money Laundering :

1. ....
2. ....

I am aware of the responsibility under Art. 313 of the Criminal Code for declaring false data.

DATE: ..... DECLARATOR: .....

*(Name and signature)*

Directions:

Completion of this declaration is carried out taking into account the definition of § 2 of the additional provisions of Law on Measures Against Money Laundering, which states the following:

"§ 2. (1) "Beneficial owner" is a natural person or natural persons who/who ultimately own or control a legal entity or other legal entity, and/or a natural person or natural persons, on whose behalf and/or for on whose account a given operation, transaction or activity is carried out, and which meet at least one of the following conditions:

1. With respect to corporate legal entities and other legal entities, the beneficial owner is the person who directly or indirectly owns a sufficient percentage of the shares, units or voting rights in that legal entity or other legal entity, including by holding bearer shares, or through control by other means, except in the case of a company whose shares are traded on a regulated market that is subject to disclosure requirements in accordance with European Union law or equivalent international standards ensuring an adequate degree of ownership transparency .

An indication of direct ownership is present when a natural person/persons owns at least 25 percent of a shareholding or equity interest in a legal entity or other legal entity.

An indication of indirect ownership is present when at least 25 percent of the shareholding or participation in a legal entity or other legal entity belongs to a legal entity or other legal entity that is controlled by the same natural person or natural persons, or of multiple legal entities and/or legal entities that are ultimately under the control of the same individual(s).

2. With respect to trusts, including trusts, trusts and other similar foreign legal entities, established and existing under the laws of jurisdictions permitting such forms of trusts, the beneficial owner is:

- a) the founder;
- b) the trust owner;
- c) the guardian, if any;
- (d) the beneficiary or class of beneficiaries, or



## Licensed Broker Dealer

---

e) the person in whose main interest the trust property is created or managed, when the natural person who benefits from it is to be determined;

f) any other natural person who ultimately exercises control over the trust property through direct or indirect ownership or through other means.

3. With regard to foundations and legal forms similar to trust property - the natural person or persons who hold positions equivalent or similar to those specified in item 2.

(2) The natural person or natural persons who are nominal directors, secretaries, shareholders or owners of the capital of a legal entity or other legal entity is not a beneficial owner, if another beneficial owner is established.

(3) "Control" is the control within the meaning of § 1c of the additional provisions of the Commercial Law, as well as any opportunity which, without being an indication of direct or indirect ownership, enables the exercise of decisive influence over a legal entity or other legal entity when making decisions to determine the composition of the management and control bodies, transformation of the legal entity, termination of its activity and other matters of essential importance for its activity.

(4) An indication of "indirect control" is the exercise of ultimate effective control over a legal entity or other legal entity through the exercise of rights through third parties, including, but not limited to, granted by virtue of an authorization, contract or other type of transaction, as well as through other legal forms, providing the possibility of exercising decisive influence through third parties.

(5) When, after all possible means have been exhausted, a person cannot be established as the actual owner according to para. 1 or when there are doubts that the established person or persons is not the beneficial owner, the "beneficial owner" is considered to be the natural person who fulfills the position of senior management officer. Obligated persons keep documentation of the actions taken in order to establish the actual owner under para. 1."

### **APPENDIX III - DECLARATION TO DETERMINE WHETHER THE CLIENT/ITS BENEFICIAL OWNER IS A PROMINENT POLITICAL PERSONALITY**

#### DECLARATION

---

17 Henrik Ibsen, 11 fl.,1407 Sofia, Bulgaria

Mob: + 359 896-757-855 | [frontoffice@axiominvest.eu](mailto:frontoffice@axiominvest.eu)

[www.axiominvest.eu](http://www.axiominvest.eu)

## Licensed Broker Dealer

according to Art. 42, para. 2, item 2 of Law on Measures Against Money Laundering  
The undersigned: ....., (first name, last name), social security number/personal identification number/official personal identification number or other unique element to establish identity .....,  
permanent address: .....,  
nationality/s: .....,  
ID: .....,

### I DECLARE:

1. I fall into the following category under Art. 36, para. 2 of Law on Measures Against Money Laundering (indicate the specific category (1)):

- heads of state, heads of government, ministers and deputy ministers or assistant ministers;
- members of parliaments or other legislative bodies;
- members of constitutional courts, of supreme courts or of other higher bodies of judicial power, whose decisions are not subject to subsequent appeal except in exceptional circumstances;
- members of the Audit Chamber;
- members of governing bodies of central banks;
- ambassadors and heads of diplomatic missions;
- senior officers of the armed forces;
- members of administrative, management or supervisory bodies of state-owned enterprises and sole proprietorships – the state;
- mayors and deputy mayors of municipalities, mayors and deputy mayors of regions and chairmen of municipal councils;
- members of the governing bodies of political parties;
- heads and deputy heads of international organizations, members of management or supervisory bodies in international organizations or persons performing an equivalent function in such organizations.

2. I do not fall into the categories under Art. 36, para. 2 of Law on Measures Against Money Laundering.

3. In the last 12 months, I have fallen into the following category, esp. 36, para. 2 of Law on Measures Against Money Laundering (indicate the specific category): .....

4. In the last 12 months, I have not fallen into the categories under Art. 36, para. 2 of Law on Measures Against Money Laundering.

## Licensed Broker Dealer

5. I fall into the following category under Art. 36, para. 5 of Law on Measures Against Money Laundering (indicate the specific category):

- spouses or persons who live in de facto cohabitation on a conjugal basis;
- descendants of the first degree and their spouses or persons with whom the descendants of the first degree live in de facto cohabitation on a conjugal basis;
- ascendants of the first degree and their spouses or persons with whom the ascendants of the first degree live in de facto cohabitation on a conjugal basis;
- second-degree relatives and their spouses or persons with whom the second-degree relatives live in de facto conjugal cohabitation;
- a natural person who is the actual owner together with a person under para. 2 of a legal entity or other legal entity or is in other close commercial, professional or other business relationships with a person under para. 2;
- a natural person who is the sole owner or actual owner of a legal entity or other legal entity known to have been created for the benefit of a person under para. 2.

6. I do not fall into the categories under Art. 36, para. 5 of Law on Measures Against Money Laundering.

7. In the last 12 months, I have fallen into the following category under Art. 36, para. 5 of Law on Measures Against Money Laundering (indicate the specific category):

.....

8. In the last 12 months, I have not fallen into the categories under Art. 36, para. 5 of Law on Measures Against Money Laundering. I provide the following additional information regarding my membership in the above category/s:

.....

I am aware of the criminal liability under Art. 313 of the Criminal Code for declaring false circumstances.

DATE: ..... DECLARATOR: .....

(1) Pursuant to Art. 36, para. 3 of the Law on Measures Against Money Laundering categories include, accordingly and to the extent applicable, positions in the institutions and bodies of the European Union and in international organizations.