



Annex 1 to Section 3.1 of the OPSC directives “D – 01/2016 requirements for investment foundations”

Application form for the establishment of an investment foundation

I. General information

Founder's name / company

Address

Legal form

Website (URL)

Last name of contact person

First name of contact person

Phone

E-mail address

Documents to be submitted with the application:

- Details of the founder
Current commercial register entry (original, no more than three months old), description of the business activities, organisation chart (where applicable: details of group structure)
- Current excerpt from the debt collection register (original, no more than three months old)
- Organisation chart of the foundation and details of the individual foundation bodies
- Drafts of the statutes and all sets of regulations as well as the investment guidelines
- Where duties are assigned to third parties: draft management, asset management and service contracts
- Auditor's declaration of acceptance Business
- plan
- Drafts of the required prospectuses

II. Information on legal entities / partnerships

Companies to which management duties are delegated

Company

Address

Legal form

Date of establishment

Last name of contact person

First name of contact person

Phone

E-mail address

Website (URL)

Documents to be submitted with the application:

- Organisation chart of the company showing the names of the employees and their degrees of employment (in percent); details of corporate structures: locations / branch offices, where applicable: structure of group
- Current excerpt from the commercial register (original, no more than three months old)
- Description of business activities
- Latest annual financial statements, including audit report where necessary. Where prescribed by law (Art. 963 et seq. of the Swiss Code of Obligations – CO): latest consolidated financial statements (copies in each case)
In the case of newly established foundations, if no annual financial statements yet available: business plan including budget for the next three fiscal years
- Current excerpt from the debt collection register (original, no more than three months old)
- Details of legal or administrative proceedings concluded or pending, or a declaration that no such proceedings exist (Declaration 1; signed original)

Companies to which asset management is delegated

(fill in a separate form for each company)

Company

Address

Legal form

Date of establishment

Last name of contact person

First name of contact person

Phone

E-mail address

Website (URL)

Documents to be submitted with the application:

- Proof that the company is licensed to manage pension fund assets in accordance with Art. 48f (4) of the OPP 2

III. Information on individuals

Members of the board of foundation (fill in a separate form for each member)

Last name

First name

Date of birth

Place of origin / nationality

Address

Phone

E-Mail address

Documents to be submitted with the application:

- Copy of valid passport or identity card (with original signature)
- Current curriculum vitae (with original signature) with substantiating documents (letters of reference, training certificates, diplomas and similar)
The curriculum vitae must contain at least the following information: 1. Personal data (last name, first name, address, date of birth), 2. Schooling and education (duration, type, institution, place, any degrees/diplomas), 3. Professional career (duration, function, employer, place) prior to submission of application (including self-employment), 4. Any further training (duration, type, institution, place, any degrees/diplomas)
- Names of two referees
- Current excerpt from the central register of convictions (original, no more than three months old) and, if there are entries in the register, the corresponding sentences
- Current excerpts from the debt collection register for the previous five years (originals, no more than three months old) and, where applicable, the certificates of loss issued
- Details of legal or administrative proceedings concluded or pending, or a declaration that no such proceedings exist (Declaration 1; signed original)
- Declaration concerning additional mandates and employment relationships (Declaration 2; signed original)
- Declaration concerning qualifying holdings (Declaration 3; signed original)
- Declaration concerning conflict of interests (Declaration 4; signed original)
- Declaration concerning truth and completeness of information provided (Declaration 5; signed original)

**Members of the investment foundation's investment bodies with decision-making authority
(e.g. investment committee, investment commission or similar)**

(fill in a separate form for each member)

_____	_____
Last name	First name
_____	_____
Date of birth	Place of region / nationality

Address	
_____	_____
Phone	E-Mail address

Documents to be submitted with the application:

- Copy of valid passport or identity card (with original signature)
- Current curriculum vitae (with original signature) with substantiating documents (letters of reference, training certificates, diplomas and similar)
The curriculum vitae must contain at least the following information: 1. Personal data (last name, first name, address, date of birth), 2. Schooling and education (duration, type, institution, place, any degrees/diplomas), 3. Professional career (duration, function, employer, place, letter of reference) prior to submission of application (including self-employment), 4. Any further training (duration, type, institution, place, any degrees/diplomas)
- Names of two referees
- Current excerpt from the central register of convictions (original, no more than three months old) and, if there are entries in the register, the corresponding sentences
- Current excerpts from the debt collection register for the previous five years (originals, no more than three months old) and, where applicable, the certificates of loss issued)
- Details of legal or administrative proceedings concluded or pending, or a declaration that no such proceedings exist (Declaration 1; signed original)
- Declaration concerning additional mandates and employment relationships (Declaration 2; signed original)
- Declaration concerning qualifying holdings (Declaration 3; signed original)
- Declaration concerning conflict of interests (Declaration 4; signed original)
- Declaration concerning truth and completeness of information provided
(Declaration 5; signed original)

Management

Please fill in a separate form for every person with decision-making authority who is active in the management of the investment foundation (regardless of whether they are employed by the foundation or by an external third party)

Last Name

First name

Date of birth

Place of origin / nationality

Address

Phone

E-Mail address

Information on whether the person is employed by the foundation or externally

Documents to be submitted with the application:

- Copy of valid passport or identity card (with original signature)
- Current curriculum vitae (with original signature) with substantiating documents (letters of reference, training certificates, diplomas and similar)
The curriculum vitae must contain at least the following information: 1. Personal data (last name, first name, address, date of birth), 2. Schooling and education (duration, type, institution, place, any degrees/diplomas), 3. Professional career (duration, function, employer, place, letter of reference) prior to submission of application (including self-employment), 4. Any further training (duration, type, institution, place, any degrees/diplomas)
- Names of two referees
- Current excerpt from the central register of convictions (original, no more than three months old) and, if there are entries in the register, the corresponding sentences
- Current excerpts from the debt collection register for the previous five years (originals, no more than three months old) and, where applicable, the certificates of loss issued)
- Details of legal or administrative proceedings concluded or pending, or a declaration that no such proceedings exist (Declaration 1; signed original)
- Declaration concerning additional mandates and employment relationships (Declaration 2; signed original)
- Declaration concerning qualifying holdings (Declaration 3; signed original)
- Declaration concerning conflict of interests (Declaration 4; signed original)
- Declaration concerning truth and completeness of information provided (Declaration 5; signed original)

Asset management

Please fill in a separate form for every person with decision-making authority who is active in managing the investment foundation's assets (i.e. not external persons who are licensed to manage pension fund assets in accordance with Art. 48f (4) or (5) of the OPP 2)

_____	_____
Last name	First name
_____	_____
Date of birth	Place of origin / nationality

Address	
_____	_____
Phone	E-Mail address

Documents to be submitted with the application:

- Copy of valid passport or identity card (with original signature)
- Current curriculum vitae (with original signature) with substantiating documents (letters of reference, training certificates, diplomas and similar)
The curriculum vitae must contain at least the following information: 1. Personal data (last name, first name, address, date of birth), 2. Schooling and education (duration, type, institution, place, any degrees/diplomas), 3. Professional career (duration, function, employer, place, letter of reference) prior to submission of application (including self-employment), 4. Any further training (duration, type, institution, place, any degrees/diplomas)
- Names of two referees
- Current excerpt from the central register of convictions (original, no more than three months old) and, if there are entries in the register, the corresponding sentences
- Current excerpts from the debt collection register for the previous five years (originals, no more than three months old) and, where applicable, the certificates of loss issued)
- Details of legal or administrative proceedings concluded or pending, or a declaration that no such proceedings exist (Declaration 1; signed original)
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- Declaration concerning qualifying holdings (Declaration 3; signed original)
- Declaration concerning conflict of interests (Declaration 4; signed original)
- Declaration concerning truth and completeness of information provided (Declaration 5; signed original)

IV. Declaration concerning truth and completeness of information provided

The undersigned applicant hereby confirms that this form has been completed accurately and in full.

The applicant:

Name/company

Place, date

Legally binding signature(s)