



Application

for a pension scheme with a J. Safra Sarasin Pillar 3a account/ Securities investment

For ease of comprehension, all references to persons always apply to either gender.

To be completed and **signed** by the applicant and forwarded to J. Safra Sarasin Pillar 3a Foundation:

Male Female

2nd account (if a Pillar 3a account already exists with us)

3rd account (if two Pillar 3a accounts already exist with us)

Last name	_____	Street/No.	_____
First name	_____	Postcode/city	_____
Date of birth	_____	Marital status	_____
Nationality	_____	Date of marriage	_____
OASI No.	_____	Telephone No.	_____

Please enclose actual signed copy of ID or passport (front- and backside).

Payout to life partner

For an existing **life partnership**, official verification of the relationship is required in the event of death (please request the relevant form from us). This avoids any potential ambiguities regarding the associated entitlements.

Already insured under a 2nd pillar plan (e.g. pension fund)

Current annual contribution already being made to previous Pillar 3a Foundation

No 2nd pillar plan (e.g. pension fund)

Pension benefits to be transferred from another Pillar 3a Foundation to the J. Safra Sarasin Pillar 3a Foundation

Self-employed

I am client of Bank J. Safra Sarasin Ltd

The insured person undertakes to inform the J. Safra Sarasin Pillar 3a Foundation of any changes of his own accord. The insured person alone is the beneficial owner of the assets to be contributed.

The insured person enters into the following agreement with the J. Safra Sarasin Pillar 3a Foundation, Basel (hereinafter referred to as «the Foundation»), to ensure his individual capital growth:

Contributions

Make contributions to the central client account **IBAN CH45 0875 0006 7971 8130 0** of the J. Safra Sarasin Pillar 3a Foundation with Bank J. Safra Sarasin Ltd in Basel (postal account No. 40-106-2, clearing No. 8750), quoting your last name, first name and date of birth. The insured person can change the amount of the contributions within regulatory and statutory limits or stop making contributions at any time.



Agency and portfolio management transferred to the acquisition agent

The pension fund member acknowledges that the underwriting broker may receive an agency and/or portfolio management commission for the referral and for the advice provided to the member. The insured person will refrain from requesting such services from the Foundation or Bank J. Safra Sarasin AG (hereinafter «Bank»).

Exclusion of liability for advice given by the acquisition agent

The pension fund member releases the Foundation and the Bank from any liability relating to the advisor's services.

Disclosure of data to any acquisition agent

The insured person authorises the Foundation to provide any acquisition agent and Bank J. Safra Sarasin Ltd or any of its affiliated companies (in particular, wholly-owned subsidiaries or companies with a BJSS majority stake with head office in Switzerland) with data on this Pillar 3a account and the securities investments. The purpose of the data processing is to enable the insured person to benefit from the comprehensive range of services provided by the data recipient.

Features and risks of investments in the Foundation

The insured person confirms that the adviser has explained to him the features and risks of investments in the Foundation's pension products. The insured person takes particular note that the Foundation cannot provide any assurance or guarantee of positive asset growth. The insured person is aware that the value of investments can rise or fall irrespective of past returns. All investments may be subject to sudden substantial loss of value and when an investment is redeemed, the return may be less than the sum originally invested.

The insured person confirms that both in terms of content and investment horizon the desired investment is consistent with his investment goals (life goals/financial planning) and his financial circumstances. In the event that he makes further contributions or alters his strategy after entering into this pension agreement, the Foundation will be entitled to assume that the new investment is in accordance with the above principles and he is familiar with the specific features and risks of the strategy which he has selected.

Your risk profile

The investment group's strategic equities quota allows you to select an investment strategy at any time that matches your risk profile (risk capacity and risk tolerance).

Risk capacity is an investor's ability to weather fluctuations in value and withstand losses on his investments without falling into financial hardship. The less an investor relies on his invested capital to meet his obligations, the greater his risk capacity is.

Risk tolerance refers to the extent to which an investor's own willingness to tolerate fluctuations in value – profit/loss – and take risks in exchange for a potentially higher return.

If there are major changes to your personal circumstances (advancing age, retirement, income, marital status, inheritance, etc.) and you have to re-adjust your current investment strategy, simply switch to the module that suits you best. If your investment decision deviates from your risk profile and you opt for a different investment strategy, you will have to bear the associated risks yourself.

Regulations

In all other respects, the legal relationship between the Foundation and the insured person is governed by the most recent edition of the Foundation's regulations. The insured person confirms that he has a copy in his possession. I have read the regulations incl. appendix of the J. Safra Sarasin Pillar 3a Foundation concerning «securities investment» and agree with their contents in full.

Place of performance and jurisdiction

The place of performance and jurisdiction for all legal proceedings is the place where the Foundation has its head office. However, the Foundation has the right to bring legal actions in any other competent court.

By signing below, the insured person confirms that he has completed the form truthfully and he is aware that deliberately providing false information on this form is an offence under the Swiss Criminal Code.

Place, date

Signature of insured person