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| Applications |
| by **Natural Persons**(sole proprietors / simple partnerships) |

for **SRO and BOVV membership** of the **VQF Financial Services Standards
Association**, an officially recognised **self-regulatory organisation (SRO)** pursuant to the Anti-Money Laundering Act and **industry organisation for asset management (BOVV)** with officially recognised rules of professional conduct for asset managers

(Please use block capitals)

The applicant herewith applies for SRO and BOVV membership of the VQF Financial
Services Standards Association in accordance with the Association’s regulations (especially Art. 3 et seq. of the by-laws, Art. 3 et seq. of the VQF SRO Regulations and Art. 3 et seq. of the VQF BOVV Regulations):

1. **Applicant information**

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| Full name or company name: |       | Industry sector: |       |
| Date of birth: |       | No. of employees: |       |
| Country/place of birth: |       | Contact person: |       |
| Address company: |       | Resident at present address since: |       |
| Telephone company: |       | Previous residential address: |       |
| E-mail company: |       | Liable to VAT: | [ ]  yes [ ]  no |
|  |  | VAT number: |       |

1. **Enclosures**

Enclosures must be submitted in accordance with the Guide to Applications by Natural Persons. These enclosures form an integral part of the application for admission.

1. **Formal declarations**
	1. This declaration covers all ongoing or completed criminal, administrative or regulatory proceedings (incl. supervisory proceedings of professional or self-regulatory organisation) in Switzerland or abroad, which are associated with a professional activity of the applicant.
		1. The applicant hereby declares, that it in procedures in this sense

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| [ ]  | **neither** is nor was involved. |
| [ ]  | is or was involved: |
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* + 1. The applicant is obliged to inform VQF of any subsequent changes within 10 working days. This time limit is calculated from the day the company becomes aware of the opening of such a proceeding.
		2. The applicant is obliged to inform VQF in due time as well of the opening of such proceedings against persons entrusted with its administration or management or persons of the special department for Money Laundering.
	1. The applicant commits, firstly, to fulfil its duties pursuant to the Anti-Money Laundering Act (AMLA) and the by-laws and to comply with the applicable regulations of the VQF self-regulatory organisation pursuant to the AMLA (SRO Regulations), the audit concept of VQF SRO and all other relevant regulations. Secondly, the applicant also commits to fulfil its duties under the rules of professional conduct of the VQF industry organisation for asset management and to comply with the VQF by-laws and applicable regulations of the VQF industry organisation for asset management (BOVV Regulations), the audit concept of VQF BOVV and the other relevant regulations.
	2. The applicant expressly acknowledges that in the event of a dispute in connection with exclusion and/or compliance with its duties pursuant to the VQF by-laws and applicable VQF regulations, **the regulations on arbitration as defined in Art. 27 of the by-laws and Art. 98 SRO Regulations or Art. 19 BOVV Regulations** shall apply.
	3. The applicant commits to immediately notify VQF of any changes to material facts and other information (of a personal or structural nature) which was contained in the application for admission and to obtain its approved of such changes (Art. 6 para. 2 SRO Regulations and Art. 7 para. 2 VQF BOVV Regulations).
	4. Following a positive decision on admission, the applicant undertakes to use the fol-lowing designation concerning membership: “SRO- and BOVV member VQF - member of an officially recognised self-regulatory organisation pursuant to the Anti-Money Laundering Act and an Industry Organisation for independent Asset Managers (BOVV) with officially recognised rules of professional conduct (rules of conduct) for asset managers”.

3.6 The applicant takes note that the Federal Financial Market Supervisory Authority (FINMA) keeps a publicly accessible directory of financial intermediaries who are members of a SRO (Art. 18a AMLA). Accordingly, following a positive decision on admission by the VQF SRO (i.e. following admission of the applicant to VQF), VQF is also authorised to publish the list of VQF SRO members (applicant’s name/company name) on the VQF website (www.vqf.ch).

In addition to the publication of its name/company name on the VQF website, the ap-plicant can also agree to the publication of further information on the members’ list on the VQF website:

3.6.1 In the event of admission to membership of VQF, the applicant requests for the applicant’s business address to be published on the VQF website in addition to its name/company name:

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| [ ]  Yes | [ ]  No |

3.6.2 In the event of admission to membership of VQF, the applicant also requests for a link to the applicant’s website to be published on the VQF website:

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| [ ]  Yes | [ ]  No |

 The link to the applicant’s website is as follows (if "Yes" checked in 3.6.2):

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The applicant acknowledges that VQF is not responsible for the content of the linked website and refuses any liability for damages arising there from.

1. **Costs/fees**
	1. The items and rates of the respectively valid VQF Regulation on Fees (VQF doc. no. 1101.5) apply with regard to the costs and fees to be paid by the member.
	2. If membership is granted or terminated or if a member is excluded from the association in the course of a calendar year, membership fees and fees according to the VQF fees regulations are due for the entire calendar year in which the mentioned event occurs. For changes within membership categories in the course of a calendar year all fees according to the VQF fees regulations are due for the entire calendar year, in which the change in membership category occurs.
2. **Admission/procedure**
	1. Applications for admission can only be considered following the submission of all required documents and information and payment of the processing fee.
	2. The VQF SRO may demand further information and documents, if necessary also through an admission audit.
	3. Formal admission takes place only on written confirmation following the decision of the VQF SRO. Admission can be refused without stating a reason. The processing fee and the costs of any admission audit are also due for payment even if membership is not granted (see Regulation on Fees and numeral 4.1 above). In case of a rejection the decision of the VQF SRO is not subject to arbitration procedure.

Please take note that, although VQF provides most documents and services in German and in English, VQF may decide to provide certain services and documents exclusively in German.

**The applicant confirms that the information in this application and all enclosures is complete and true.**

**By its signature the applicant expressly confirms that it has taken note of and accepts the costs and fees including the amounts thereof in accordance with the regulation on fees. Furthermore, the applicant acknowledges that this application, in conjunction with the VQF fee regulations (VQF doc. no. 1101.5), is deemed to be a recognition of debt within the meaning of Art. 82 of the Swiss Bankruptcy and Insolvency Law (SchKG) for the services provided by the VQF from the time of signature.**

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|  |  | **Company:** |
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| **Date:** |  | **Legally valid signature(s):** |
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