



COVER BID AUCTION N°4219

Modern and Contemporary Art

9th December 2019

I have read and understood the information on the processing of personal data, contained in Article 17 of the General Terms and Conditions of Sale published in the catalogue of Finarte Auctions S.r.l. and issued in accordance with Article 13 of Regulation (EU) 2016/679 and

I give consent I do not give consent

for advertising and information material on products and services of Finarte to be sent by means of automated systems, such as e-mail, fax, SMS or MMS, or by postal service or telephone calls with operator

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to the processing of data for profiling activities aimed at sending commercial communications on products and services similar to those already purchased (so-called "soft spam"), as well as for advertising and information material on products and services of Finarte to be sent by means of automated systems, such as e-mail, fax, SMS or MMS, or by postal service or telephone calls with operator.

I give consent I do not give consent

Signature _____ Place and date _____

Pursuant to and for the purposes of Legislative Decree 231/2007 containing, among other things, measures on the prevention and combating of money laundering, aware of the criminal and civil liabilities as well as of the administrative effects deriving from making false or incomplete declarations, I, the undersigned represent and warrant that:

1. I am acting personally, or – if acting on behalf of third parties – I am acting exclusively in the name and on behalf of the person indicated in the power of attorney supplied to Finarte Auctions S.r.l.;
2. that the funds that I will use in the event of an award are not of an illegal origin;
3. if the undersigned is a legal entity, the beneficial owner is

Mr. _____ fiscal code _____ born in _____ on _____ residing in _____

(If there is more than one beneficial owner, please inform Finarte so that it can provide you with a form with more boxes.)

4. neither the undersigned nor the beneficial owner of the undersigned is a Politically Exposed Person, or a family member of a Politically Exposed Person, or a person known to be close associate with a Politically Exposed Person .

Signature _____ Place and date _____

1) Pursuant to Article 20, paragraphs 1 to 5, of Legislative Decree 231/2007, the criteria for determining the beneficial ownership of clients other than natural persons are as follows: "1. For clients other than natural persons the beneficial owner is the natural person or persons to whom direct or indirect ownership or control of the entity is ultimately attributable. 2. If the client is a joint-stock company: a) the ownership of more than 25 per cent of the client's capital, held by a natural person, is considered as direct ownership; b) the ownership of more than 25 per cent of the client's capital, held through subsidiaries, trust companies or third parties, is considered as indirect ownership. 3. In cases where an examination of the ownership structure does not allow the unambiguous identification of the natural person or persons to whom the direct or indirect ownership of the entity is attributable, the beneficial owner is the natural person or persons to whom the control of the entity is ultimately attributable by virtue of: a) control of the majority of the votes exercisable in ordinary shareholders' meetings; b) control of votes sufficient to exercise a dominant influence in ordinary shareholders' meetings; c) the existence of particular contractual obligations that allow the exercise of a dominant influence. 4. If the application of the criteria set out in the preceding paragraphs does NOT allow the unambiguous identification of one or more beneficial owners, the beneficial owner is the natural person or persons with powers of administration or management of the company. 5. In the event that the client is a private legal entity, as per Presidential Decree No. 361 of 10 February 2000, the following are cumulatively identified as beneficial owners: a) the founders, if alive; b) the beneficiaries, if identified or easily identifiable; c) the holders of management and administration functions."

2) Pursuant to Article 1, paragraph 2, of Legislative Decree 231/2007: "**A) POLITICALLY EXPOSED PERSONS: are natural persons** who hold office or have ceased to hold office **for less than one year** as: (a) President of the Republic, Prime Minister, Minister, Deputy Minister and Undersecretary, President of the Region,

Regional Minister, Mayor of a provincial capital or metropolitan city, Mayor of a municipality with a population of not less than 15,000 inhabitants and similar offices in foreign States; (b) Member of Parliament, Senator, Member of the European Parliament, Regional Councilor and similar offices in foreign States; (c) Member of the central governing bodies of political parties; (d) Judge of the Constitutional Court, magistrate of the Court of Cassation or the Court of Auditors, State Councilor and other members of the Administrative Council of Justice for the Region of Sicily and similar offices in foreign States; (e) Member of the governing bodies of central banks and independent authorities; (f) Ambassador, Chargé d'Affaires or equivalent offices in foreign States, senior officer in the armed forces or equivalent offices in foreign States; (g) member of the administrative, management or control bodies of companies controlled, even indirectly, by the Italian State or by a foreign State or companies in which the Regions, provincial capitals and metropolitan cities and municipalities with a total population of not less than 15.000 inhabitants hold a majority or total interest; (h) general manager of ASL (Local Health Authorities) and of a hospital, university hospital and other bodies of the national health service; (i) director, deputy director and member of the management body or person performing equivalent functions in international organizations; **B) FAMILY MEMBERS:** are (a) parents and spouse; (b) the person bound to the politically exposed person in a civil partnership or de facto cohabitation or similar institutions; (c) children and their spouses; (d) persons bound to children in a civil partnership or de facto cohabitation or similar institutions; **C) PERSONS KNOWN TO BE CLOSE ASSOCIATES WITH A POLITICALLY EXPOSED PERSON:** are (a) natural persons linked to the politically exposed person by virtue of the joint beneficial ownership of legal entities or other close business relationships; (b) natural persons who hold only formally the total control of an entity known to have been incorporated, de facto, in the interest and for the benefit of a politically exposed person".