



Casa d'Aste dal 1979

Please fill this form and mail

**Casa delle Aste**  
**MEETING ART S.p.A.**  
**CORSO ADDA, 7-11**  
**13100 VERCELLI**

by fax to  
**0161 229327-8**  
 by e-mail at  
**registrazioni@meetingart.it**

Pursuant to articles 13/14 of the UE Regulation 2016/679, we invite you to acknowledge the information on the processing of personal data.

**FOR MORE INFORMATION: TEL. 0161.2291**

ALL DATA ARE COMPULSORY FOR PHYSICAL PERSONS  
 (\*) COMPULSORY DATA FOR COMPANIES

NAME AND SURNAME

---

ADDRESS

---

ZIP CODE CITY

---

PHONE N. MOBILE N. FAX

---

E-MAIL: CERTIFIED  
 E-MAIL:

---

DATE OF BIRTH PLACE OF BIRTH

---

TAX IDENTIFICATION CODE

---

(\*) **REGISTRATION FOR COMPANIES**

BUSINESS NAME

---

ADDRESS

---

ZIP CODE CITY

---

MOBILE PHONE FAX

---

E-MAIL

---

VAT CODE

---

In order to participate in auctions, **you must attach a photocopy of your ID or Passport**

TYPE OF DOCUMENT N°

---

DATE OF ISSUE EXPIRY DATE

---

ISSUED BY

---

PLACE DATE

---

SIGNATURE

---

**REGISTER FORM**  
 Identification form for legal person



INFORMATIVE REPORT DISCLOSURE PURSUANT TO ARTICLES 13/14 GDPR 679/2016 (European Regulation on the protection of personal data)

Dear Customer, this information is provided to customers, individuals and natural persons operating in the name and on behalf of juridical person, pursuant to article 13 GDPR 679/2016 (European Regulation on the protection of personal data).

1- IDENTITY AND CONTACTS OF THE HOLDER: the Data Controller is the company Casa delle Aste Meeting Art S.p.a. - Corso Adda, 11 - 13100 Vercelli (VC) - VAT | F.C 00497130021 identified in the person of its legal representative pro tempore.

2- CATEGORIES OF DATA: personal, common and identifying data as an exemplary and not exhaustive purpose, data contained in the copy of identity card (such as name, surname, address, sex, profession, civil state), telephone numbers and/or mail, fiscal code, data bank etc.

3- SOURCE, PURPOSE AND LEGAL BASIS OF THE TREATMENT:

A) The treatment is necessary in order to execute a contract in which the interested party is for (art. 6 paragraph 1 lett. B GDPR)

excution of obligations deriving from a contract/assignment in which you take part or to fulfil before and after the contract with your specific request. For such purpose, your prior consent to the processing of data is not required, since the legal basis that legitimates the processing is the need to perform a contract with you and / or to follow up on your specific requests.

B) To pursue the legitimate interest of the data holder (art. 6 paragraph 1 lett. F GDPR)

if necessary, we deal with your data beyond the mere fulfillment of the contract, in order to safeguard our legitimate or third party interests. For this purpose it is not required your prior consent (eg purposes of correct and legitimate verification, control, execution and documentation of activities connected to consigned proxies etc.).

C) To fulfil a legal obligation (art. 6 paragraph 1 letter c GDPR)

your prior consent to the processing of data for the purposes connected to the obligations provided by laws, by regulations and by provisions, including anti-money laundering, as well as instructions issued by the Authorities is not required, since the legal basis that legitimates the treatment is the need to have such personal data to fulfil a legal obligation to which the Data Holder is subject.

D) In accordance with the consent given by the interested party (art. 6 paragraph 1 lett. a GDPR)

for marketing purposes, it is recognized the right to express or deny consent in order to receive our newsletters, advertising material, auction and exhibition catalogues and to send communications relating to your offers, purchases, documents in general via e-mail (consent requested due to the particular nature of the purchases with the purchaser's need to maintain the confidentiality of the same) by ticking the appropriate boxes in the appropriate form dedicated to expressions of preference. The expressed consent can be revoked at any time. The revocation is valid for the future and does not concern the treatment that took place previously. You can request the list of the given consents at any time.

4- PROCESSING METHOD: the data will be processed through paper and electronic aids and we assure you that we have taken all measures deemed necessary and / or appropriate to maintain data integrity, to prevent loss, even accidental, as well as unauthorized access.

5- RECIPIENTS OF PERSONAL DATA: personal data will not be disseminated, but communicated to well-defined subjects. Based on the roles and duties performed, internal and external personnel are entitled to be treated within the limits of their competences and in compliance with the instructions given to them by the Holder. The same data may be communicated to the subjects entitled to access it under the provisions of the law and regulations, to mail delivery companies, banks and credit institutions, debt collection companies, law firms, hardware / software / web maintenance companies, professional offices / companies providing accounting, tax, tax services, self-employed / occasional workers, shippers, business procurers, agencies / companies in charge and / or having a collaboration relationship with the writer.

6- TRANSFER OF EXTRA EU DATA: management and maintenance of personal data will be on server located in the European Union. Data will not be transferred out of the European Union. It is clearly understood that the Holder, if necessary, can have the faculty to move the server location in Italy and/or in European Union and/or in extra-EU Countries and/or to use i-cloud services. In that case, the Holder assures henceforth that transfer of extra-EU data will occur according to law dispositions applied drawing up agreements, if necessary, that guarantee an adequate level of protection and/or adopt standard contractual clauses expected by the European Commission.

7- DATA STORAGE: the data controller keeps and processes personal data for the time strictly necessary to fulfil the purposes indicated or for the period imposed by the current civil and fiscal provisions.

8- RIGHTS OF THE INTERESTED PARTY AND WITHDRAWAL OF CONSENT: pursuant to articles 15 and following GDPR 679/16, the interested party can exercise his rights by writing to the Data Controller at the above address or by email at privacy@meetingart.it; there is the possibility to lodge a complaint with the Guarantor Authority in the event that the exercise of their rights is deemed not to have been satisfied.

9- AUTOMATED DECISION-MAKING PROCESSES: the Data Holder does not carry out treatments consisting of automated decision-making processes on the processed data.

10- DATA CONFIRMATION: the provision of data is mandatory according to laws, fulfilments, regulations, provisions and binding the possibility to correctly and effectively fulfil the contractual obligations undertaken; therefore any refusal to provide data will result the impossibility of fulfilling the contractual obligations assumed. Consent to send advertising material, newsletters, auction and exhibition catalogues and to carry out promotional activities is optional.

FORM FOR THE COLLECTION OF CONSENT FOR THE INTERESTED PARTY

Manifestation of consent to the treatment of personal data pursuant to the Article 7 of the European general regulation n.679 / 2016 relating to protection of individuals with regard to the processing of personal data.

Manifestation of consent to the treatment of personal data pursuant to the Article 7 of the European general regulation n.679 / 2016 relating to protection of individuals with regard to the processing of personal data.

In relation to the Information provided by Casa delle Aste Meeting Art S.p.a., the undersigned declares to have read the Informative here attached in every points and to provide his/her manifestation of will regarding treatments of personal data which legal basis is the free and informed consent.

the undersigned ..... Tax Identification Code ..... (surname name)

A) AUTHORIZATION TO SEND PROMOTIONAL NEWSLETTERS/ ADVERTISING MATERIALS / PROMOTIONAL ACTIVITIES IN GENERAL (E-MAIL PROVIDED DURING REGISTRATION)

I GIVE THE CONSENT I DO NOT GIVE THE CONSENT E-MAIL : .....

- Modern and contemporary art 19th and 20th century paintings Modern and antique watches Wines-spirits
Modern and antique jewelry Antiques Oriental carpets Luxury
(furniture and ancient paintings)

B) B1 - AUTHORIZATION TO SEND NOTICES RELATED TO MY OFFERS AND SUMMARIES RELATED TO MY PURCHASES VIA E-MAIL (E-MAIL PROVIDED DURING THE REGISTRATION)

I GIVE THE CONSENT I DO NOT GIVE THE CONSENT

B2 - AUTHORIZATION TO SEND DOCUMENTS VIA E-MAIL (E-MAIL PROVIDED DURING THE REGISTRATION)

I GIVE THE CONSENT I DO NOT GIVE THE CONSENT

Place and date, \_\_\_\_\_

Signature of the interested party \_\_\_\_\_

## CONDITIONS OF SALE

The following translation is for courtesy purposes only; for any inconsistency, the Italian version shall prevail.

### 1. BID PROCEDURES

The lots are sold in premises open to the public by Meeting Art which acts as Agent, on an exclusive basis, on behalf of each Seller, whose names are registered in special books held at Meeting Art. The Sale shall have direct effects upon the Seller and Meeting Art shall not be liable towards the Buyer or any third party except in respect of responsibilities deriving from its role as agent. The lots are knocked down to the highest bidder and for cash. If any dispute arises between two or more bidders, the lot will be put up for sale during the same auction to the last valid received and won again. Meeting Art will not accept any kind of transfer of the lots sold to third parties, and only the Buyer will be considered liable for the payment. The participation at the auction in the name of and on behalf of third party is subject to the prior deposit, at Meeting Art premises, of a legal power of attorney and of satisfactory bank reference. Meeting Art reserves the right to withdraw any lot from the auction. The Auctioneer, at his/her sole discretion, can also withdraw lots if the bids do not reach the reserve price, as agreed between Meeting Art and the Seller.

During the auction, the Auctioneer is entitled to join or separate any two or more lots and to change the order of the sale. In any case neither Meeting Art nor its directors or employees are liable for any acts or omissions relating to the preparation or conduct of the auction or for any matter relating to the sale of the work.

### 2. EXCEPTION TO THE WITHDRAWAL RIGHT

Pursuant to art. 59, paragraph 1, letter m) of the consumer code, if the auction sale contract is concluded with a bidder who has formulated an online offer via the site and/or platform and can be qualified as a consumer according to the art. 3, paragraph 1, letter: a) of the consumer code, the Buyer will not have the withdrawal right, for the fact that the sales method used is a public auction, as defined by the art. 45, paragraph 1, letter: c) of the consumer code.

### 3. AUCTION FEES

In addition to the hammer price the buyer shall pay, for each lot, a premium of 25% on the hammer price. Meeting Art will apply the Margin Scheme for more information regarding the margin scheme and these charges, please see Commission, Premium, VAT and charges in this catalogue). In some special cases, VAT is applied to items delivered by sellers subject to VAT which will be subject, in addition to VAT calculated on the auction commission, also for VAT calculated on the hammer price.

### 4. HOW TO PARTICIPATE

Before the auction each prospective Buyer must complete and sign a registration form including personal data and bank references, in order to bid through an assigned number. If the registration form is not completed and signed, any eventual sale will not be valid. Meeting Art is entitled to accept written or telephone bids on behalf of clients that do not attend the auction, making bids through the auctioneer in competition with the other bidders attending the Sale. If identical written bids are received from two or more parties for the same lot, the first bid received by Meeting Art shall take precedence. Meeting Art reserves the right to refuse bids from unidentified Buyers unless, a deposit covering the entire value of the lots desired, is paid. Meeting Art reserves the right not to accept bids. If the payment is not immediate and in cash, the Buyer has to supply a permanent address and verifiable bank details. If the data are not complete, accurate or sufficient, Meeting Art reserves the right to cancel the sale of the lot.

### 5. DESCRIPTION OF THE LOTS

Meeting Art acts as mere Agent of the Sellers and cannot be considered liable for the description of the lots in the catalogues, brochures and other publications. Statements in the catalogue, condition reports or any other indication or illustration regarding the lots, are purely statements of opinion and cannot be accounted as statements of warranty. Before every auction, an exhibition of the lots takes place in order to allow an in-depth evaluation of the authenticity, the state of preservation, the provenance and the type and quality of any lot. After the Sale, neither Meeting Art nor the Sellers will be liable for any defects concerning the state of preservation, the correctness of statements about attribution, authenticity, provenance, weight or quality of any item. Neither Meeting Art nor its staff has the authority to make or give any representation or warranty, except for cases provided by law. We inform consumer about the rights it enjoys under art. 130 of the Consumer Code (in particular with regard to the right of the consumer to repair, without charge, the conformity of the goods and the duration of the guarantee) that there is no lack of conformity if, at the time of purchase the buyer was aware of the or could not ignore with ordinary diligence.

### 6. STARTING BIDS

The estimates and the starting biddings regarding the possible Sale price of each lot are printed under the description of every lot in the catalogue and are not Buyer's premium inclusive. Estimates and starting bids are prepared well in advance so they can be subject to revision. The description of the lots in the catalogue could be subject to revision, as well. In that case an appropriate communications to the public will be made during the auction.

### 7. PAYMENT

Meeting Art is entitled to require from the Buyer immediate payment in full and in Euro of the Hammer Price plus the Buyer's Premium. The payment must be made within seven days from the purchase.

Instructions for payment and collection of purchased lots can be found in the catalogue or in the website. If the Buyer fails to pay the amount due Meeting Art, reserving the right to further damages, shall be entitled to:

- enforce the contractual purchase obligation.
- arrange a resale of the Lot, through private treaty or during the following auction, keeping as a penalty any amount already paid by the Buyer. Meeting Art shall retain items sold at risk and Buyer's own expense until the selling of the lot or until the restitution to the Seller, if required. In any case, until the sale date, The Buyer will have to pay a penalty equal to the interest, calculated on the Hammer price plus the Buyer's premium, according to the interbank rate in force increased of two points: the interest so calculated shall be applied on the amount from the eighth day following the Sale.

### 8. COLLECTION OF THE LOTS

The Buyer, after the payment of the Hammer price and the Buyer's premium, has to collect the lots at his own risk and cost within the days specified in the paragraph "Buying at Meeting Art". After this time, Meeting Art shall not be held liable by the Buyer for the custody or for any possible deterioration of the items. Moreover, Meeting Art will have the right to transfer lots which have not been collected at the risk and buyer's own expense to its offices or warehouse.

### 9. EXEMPTIONS

Despite any contrary provisions in these "Conditions of Sale", Meeting Art reserves the right to agree with the Sellers special conditions of payment, to arrange for warehousing, to decide for the insurance of the object sold, to sell privately the lots sold uncollected, to settle any disputes made by or against the Buyers and, in general to take any action deemed appropriate for the collection of the amounts due by the Buyer and, if necessary, to cancel the Sale and return the price to the Buyer in accordance with articles 13 and 14 below.

### 10. EXPORT

For all lots dating before age 70, their export is subject to the regulations of the Italian Ministry for Cultural Heritage and Activities, Export Office. Meeting Art cannot provide any guarantees regarding the issue of a Free Circulation nor on the time needed for the same.

Buyers are required to comply with all laws and regulations in force in relation to the objects subject to notification, with particular reference to Act 1089 of 1 June 1939. The export of objects is governed by the above regulations and customs laws and tax regulations. Meeting Art disclaims any liability to any purchaser with regard to any restrictions on the export of the sold lots. The contractor shall not, in the event of exercise of the right of first refusal on the part of the state, claiming Meeting Art or the seller any refund or compensation. The Legislative Decree of 22 January 2004 n. 42 regulating the export of cultural goods outside the territory of the Italian Republic, while the export outside the European Community is also subject to the regulations laid down by EEC Regulation no. 3911/92 of 9 December 1992, as amended by Regulation EEC n. 2469/96 of 16 December 1996 and the EEC Regulation no. 974/01 Meeting of May 14, 2001. Meeting Art is not liable for issuing the relevant permits expected nor can it guarantee their release.

The failure to grant such permits cannot justify the cancellation of the purchase nor the non-payment, that will have to be made within seven days from the end of the auction.

For export of material derived from endangered species, such as coral, ivory, tortoise, crocodile, whale bones, rhino horns, etc., you need a CITES export permit issued by the Ministry for the Environment and Territory.

Buyers wishing to export these objects must provide their care costs and the issue of the certificate and to obtain information from the country of destination on the laws that govern such imports.

### 11. AUTHENTICS

Lots are sold together with the authentication issued by the credit expert at the moment of sale. Meeting Art declines any responsibility in case of a change of the credited expert appointed to issue the authentications of the various lots. If within 21 days from the sale date, the Buyer has notified Meeting Art writing that he/she has a good reason to believe that the lot concerned is a forgery and Meeting Art accepts this objection, Meeting Art shall be entitled, at its sole discretion, to cancel the Sale and disclose to the Buyer the name of the Seller, giving prior notice to him/her.

### 12. INFORMATIONS ON THE LOTS

Lots are sold in their actual state. We therefore recommend prospective buyers to check the state of conservation and nature of the lots viewing them before the sale. The department in charge of the auction will be happy to provide upon request a condition report that is solely the opinion of our experts and may be subject to possible revisions. All the information concerning the marking of metals, the carats and weight of gold, diamonds and colored precious stones, are approximate and mere statements of opinion and cannot be

relied as a statements of warranty. Meeting Art shall not be held liable for any errors included in this information or for cases of forgery. The weight of the stones, considered individually once removed from the setting, is the approximate weight and not the "exact" weight. Meeting Art does not guarantee the certificates attached to precious objects made by gemological laboratories, if any. However, reference to them can be made for information purposes.

### 13. ANY CLAIMS BY THIRD PARTIES ABOUT LOTS

In addition to all our rights and obligations under this agreement, if Meeting Art becomes acquainted with a claim from a third party that has a right of to property, possession or control of the Lots, shall be entitled to retain possession of the Lots until the dispute is resolved.

### 14. ANTI - MONEY LAUNDERING REGULATIONS

According to the art. 22 D. Lgs n. 231/2007 (Anti-money laundering Decree) customer takes note and accepts to provide all the necessary and updated information to allow Meeting Art to fulfill adequate examination obligations of its customers. It is understood that the improvement of the operation is subjected to the realisation by the Customer of the information requested by Meeting Art for the fulfillment of the above mentioned obligations.

Pursuant to art. 42 D. Lgs n. 231/07 Meeting Art reserves the right to abstain and to not conclude the operation in case of objective impossibility to make the adequate examination of the clientele.

### 15. APPLICABLE LAW

This contract is governed by Italian law.

### 16. DISPUTES

These Conditions of Sale are automatically accepted by those who participate in the Auction and are available to any interested party who requests them.

**16.2** In case of a Consumer Buyer, the jurisdiction of the Court of Vercelli is established for any dispute relating to the application and interpretation of these General Conditions of Sale. It is specified that the derogating clause from the consumer's Court was the subject of specific individual negotiation and the consumer declares to accept its content.

**16.3** Pursuant to art. 141 sexies c. 3 of the Consumer Code, where applicable, Meeting Art informs the Consumer purchaser that, in the event that he has submitted a complaint directly to Meeting Art, following which it has not been however possible to resolve the dispute thus arisen, Meeting Art will provide the information regarding the Alternative Dispute Resolution (ADR) Organisation or Organisations for the extrajudicial dispute resolution relating to obligations derived from a contract concluded on the basis of these General Conditions of Sale, specifying whether or not it intends to make use of such entities to resolve the controversy itself.

In any case, the right of the Consumer Buyer to appeal to the competent ordinary judge of the dispute arisen from the interpretation of these General Conditions of Sale is reserved, regardless of the outcome of the extrajudicial procedure of disputes relating to consumer relations through recourse to the procedures referred to in part V, Title II bis Consumer Code.

Date:

Legible signature:

Articles no. 2 (exception to the right of withdrawal), n. 3 (auction commissions), n. 7 (payment of the price) and n. 16) (Disputes and derogation from the consumer's jurisdiction) are expressly approved.

Legible signature:



Casa d'Aste dal 1979

## Customer declaration for the purpose of due diligence according to Legislative Decree no. 231/2007 as amended

THE UNDERSIGNED

[01]

SURNAME AND NAME \_\_\_\_\_

TAX CODE \_\_\_\_\_

PLACE AND DATE OF BIRTH \_\_\_\_\_

WITH RESIDENCE IN (CITY) \_\_\_\_\_

(COUNTRY) \_\_\_\_\_

ADDRESS \_\_\_\_\_

ID DOCUMENT \_\_\_\_\_

(please attach Identity card or Passport)

WITH DOMICILE IN (CITY) \_\_\_\_\_

(COUNTRY) \_\_\_\_\_

ADDRESS \_\_\_\_\_

if different from residence address

In order to consent **Meeting Art** to comply with due diligence according to art. 22 of the Legislative Decree no. 231/2007 as amended (Customer obligation regarding the prevention and fight against money laundering and terrorist financing), under his responsibility

[02]

**Declares**

**Not to be** a political exposed person – PEP <sup>1</sup> (national or foreign)

**To be** a political exposed person - PEP (national or foreign) (please specify the public office or the name and the relationship with the PEP in case of family members or individuals who have a close relationship with a PEP)

[03]

**CUSTOMER, EXECUTOR AND ULTIMATE BENEFICIAL**

To act in the name and on behalf of the **Company/Entity: (fill in all the paragraph number 4)**

[04]

BUSINESS NAME \_\_\_\_\_

specify also the legal nature, for example: joint stock company, legal person other than joint stock company, unincorporated entities, Association, Foundation, etc.

REGISTERED OFFICE \_\_\_\_\_

City, ZIP code, Country

REGISTERED IN THE CHAMBER OF COMMERCE OF \_\_\_\_\_

WITH NO. \_\_\_\_\_

TAX CODE \_\_\_\_\_

VAT CODE \_\_\_\_\_

PLACE AND DATE OF INCORPORATION \_\_\_\_\_

**(please attach an updated chamber of commerce certificate)**

CORPORATE OBJECT / PURPOSE OF THE INCORPORATION \_\_\_\_\_

IN QUALITY OF: \_\_\_\_\_

specify, for example: legal representative, director, Chairman of the Board of Directors, etc.

**(please attach copy of the power of attorney if the power does not result in the)**

<sup>1</sup> For the definition of Political Exposed Person, please see the Annex at the end of this Form.

**ANTI-MONEY LAUNDERING POLICY**  
 Identification form for legal person



Casa d'Aste dal 1979

# ANTI-MONEY LAUNDERING POLICY

## Identification form for legal person

To be also the only ultimate beneficial owner <sup>2</sup> (go to paragraph number 5)

THE UBO OF THE CUSTOMER IS:

**1** SURNAME AND NAME

TAX CODE

PLACE AND DATE OF BIRTH

WITH RESIDENCE IN (CITY)

(COUNTRY)

ADDRESS

ID DOCUMENT

(please attach Identity card or Passport)

WITH DOMICILE IN (CITY)

(COUNTRY)

if different from residence address

(please select one of the two following options)

- The Ultimate Beneficial Owner isn't** a political exposed person - PEP <sup>1</sup> (national or foreign)
- The Ultimate Beneficial Owner is** a political exposed person - PEP (please specify the public office or the name and the relationship with the PEP in case of family members or individuals who have a close relationship with a PEP) \_\_\_\_\_

in case of more beneficial owners, please indicate below each

**2** SURNAME AND NAME

TAX CODE

PLACE AND DATE OF BIRTH

WITH RESIDENCE IN (CITY)

(COUNTRY)

ADDRESS

ID DOCUMENT

(please attach Identity card or Passport)

WITH DOMICILE IN (CITY)

(COUNTRY)

if different from residence address

(please select one of the two following options)

- The Ultimate Beneficial Owner isn't** a political exposed person - PEP <sup>1</sup> (national or foreign)
- The Ultimate Beneficial Owner is** a political exposed person - PEP (please specify the public office or the name and the relationship with the PEP in case of family members or individuals who have a close relationship with a PEP) \_\_\_\_\_

<sup>1</sup> For the definition of Political Exposed Person, please see the Annex at the end of this Form.

<sup>2</sup> For the definition of Ultimate Beneficial Owner, please see the Annex at the end of this Form



Casa d'Aste dal 1979

# ANTI-MONEY LAUNDERING POLICY

## Identification form for legal person

3 SURNAME AND NAME \_\_\_\_\_

TAX CODE \_\_\_\_\_

PLACE AND DATE OF BIRTH \_\_\_\_\_

WITH RESIDENCE IN (CITY) \_\_\_\_\_

(COUNTRY) \_\_\_\_\_

ADDRESS \_\_\_\_\_

ID DOCUMENT \_\_\_\_\_

**(please attach Identity card or Passport)**

WITH DOMICILE IN (CITY) \_\_\_\_\_

(COUNTRY) \_\_\_\_\_

if different from residence address

**(please select one of the two following options)**

- The Ultimate Beneficial Owner isn't** a political exposed person - PEP <sup>1</sup> (national or foreign)
- The Ultimate Beneficial Owner is** a political exposed person - PEP (please specify the public office or the name and the relationship with the PEP in case of family members or individuals who have a close relationship with a PEP)

[05]

**INFORMATION ON BUSINESS CUSTOMER**

- the business activity of the customer is \_\_\_\_\_
- geographical area where the business is conducted (please specify country, city) \_\_\_\_\_
- ATECO code \_\_\_\_\_

[06]

**NATURE AND PURPOSE OF THE RELATIONSHIP**

- That the nature of the relationship / type of transaction is
- |   |  |
|---|--|
| <input type="checkbox"/> Mandate to sell goods          | <input type="checkbox"/> Sale of goods (in auction or private negotiation) |
| <input type="checkbox"/> Consultancy                    | <input type="checkbox"/> Estimation  |
| <input type="checkbox"/> Other (Please specify: _____ ) |  |
- That the purpose of the relationship / transaction is
- |   |  |
|---|--|
| <input type="checkbox"/> Professional investment            | <input type="checkbox"/> Corporate and business investment |
| <input type="checkbox"/> Movable /Real estate disinvestment | <input type="checkbox"/> Other (Please specify: _____ )    |

**DECLARES ALSO**

- that all the information provided in this form are correct, completed and updated
- to assume all civil, criminal and administrative responsibility for untrue statements, aware of the criminal responsibilities provided for in art. 55 of the Legislative Decree 231/2007 for those who provide false data or untruthful information
- to be informed of the fact that failure to release all or part of the information contained in this Form affects the auction house's ability to execute the requested service / operation



Casa d'Aste dal 1979

# ANTI-MONEY LAUNDERING POLICY

## Identification form for legal person

- to have examined and understood the definitions of the Legislative Decree 231/2007 which are attached to this Form
- to have received, read and understood the information pursuant to Articles 13 and 14 of (EU) Regulation 2016/679 and to fully accept the content.

### UNDERTAKES

to communicate without delay any possible integration or variation of the data indicated above

PLACE AND DATE

SIGNATURE

SIGNATURE OF THE SUBJECT WHO MAKES THE IDENTIFICATION

### REMOTE IDENTIFICATION – TELEPHONE CONFIRMATION (made by the Auction House)

In case of remote identification, the telephone confirmation was carried out on the

### ANNEX Attached to Customer statement

**CUSTOMER:** the subject who has on-going relationship, carries out Transactions or requests or obtain professional services from the auction house by virtue of an engagement.

**D. Lgs n. 231/07:** Italian Legislative Decree no. 231/2007 concerning the prevention of the use of the financial system for the purpose of money laundering and financing of terrorism

**EXECUTOR:** the person delegated to act in the name and on behalf of the Customer or to whom representation powers enabling him to act in the name and on behalf of the Customer are granted.

**FINANCING OF TERRORISM:** means any activity directed to the supply, collection, financing, intermediation, deposit, custody or disbursement in any way realized, of funds or economic resources, directly or indirectly, in whole or in part, usable for the carrying out, with the purpose of terrorism, in compliance with the provisions of criminal law.

**MEANS OF PAYMENT:** cash, bank and postal checks, cashier's checks and other comparable checks, postal orders, credit or payment orders, credit cards and other payment cards, transferable insurance policies, pledge policies and any other instrument that allows the transfer, movement or acquisition, even electronically, of funds, securities or financial assets.

**TRANSACTION:** activity that consists in the movement, transfer or transmission of means of payment (it constitutes an operation also the stipulation of a negotiation deed with an asset content)

**POLITICAL EXPOSED PERSON (PEP):** the natural persons who hold or have ended to hold for less than one-year prominent public functions (such as President of the Italian Republic, Prime Minister, ministers, deputy ministers and undersecretaries, Heads of Regions, regional councillor, mayor of province's capital or metropolitan cities, mayors of towns with population equal or greater than 15K inhabitants and similar position in foreign states) as well as family members (such as parents, spouse or a person considered to be equivalent to a spouse) or the persons with whom the politically exposed persons are known to have close relationships (close business relations, common ownership of companies, trusts)

**PROFESSIONAL SERVICE:** indicates an intellectual or commercial service rendered by the auction house in favour of the Customer, such as mandates to sell, appraisals, etc.

**MONEY LAUNDERING:** pursuant to art. 2 paragraphs 4 and 5 of Legislative Decree no. 231/07 means a) the conversion or transfer of assets carried out knowing that they come from a criminal activity or from participation in such activity, in order to conceal the illicit origin of the assets themselves or to help anyone is involved in this activity to avoid the legal consequences of his actions; b) the concealment of the real nature, origin, location, movement, ownership of the goods or of the rights thereon, carried out knowing that such goods come from a criminal activity or from a participation in such activity; c) the purchase, possession or use of assets being aware at the time of their receipt that such assets come from a criminal activity or from a participation in such activity; d) participation in one of the acts referred to in letters a, b and c, the association to commit this act, the attempt to perpetrate it, or to help, to instigate or advise

**BENEFICIAL OWNER:** indicates the natural person or individuals, other than the Customer, in the interest of whom / s ultimately the Professional Service is rendered, or the Operation is performed. In the event that the Customer is a legal person: A) direct ownership means the ownership of a shareholding exceeding 25% of the Customer's capital, held by a natural person; B) indirect ownership means the ownership of a shareholding exceeding 25% of the Customer's capital, held through controlled companies, trusts or third parties. In cases where examination of the ownership structure does not make it possible to identify unambiguously the natural person/s to whom the direct or indirect ownership of the entity is attributable, the beneficial owner is the natural person/s to whom control of the same is ultimately attributable by virtue of: A) control of the majority of votes that can be exercised at an ordinary meeting; B) control of sufficient votes to exercise a dominant influence at an ordinary meeting; C) existence of specific contractual constraints allowing the exercise of a dominant influence. Where the application of the above criteria does not result in the unambiguous identification of one or more beneficial owners, the beneficial owner shall be the natural person/s having administrative or management powers in the company. If the customer is a private legal person (associations, foundations and the other private institutions referred to in Presidential Decree no. 361 of 10 February 2000), the following shall be cumulatively identified as the beneficial owners: A) the founders, if alive; B) the beneficiaries, where identified or easily identifiable; C) the holders of management and administrative functions. If the application of the criteria referred to in the previous paragraphs does not allow to uniquely identify one or more beneficial owners, the beneficial owner coincides with the natural person or natural persons owners, in accordance with the respective organizational or statutory structures, powers of legal representation, administration or management of the company or of the customer in any case different from the natural person.