

**SELF-DECLARATION OF THE PARTICIPANTS IN THE TENDER PROCEDURE OF THE
DATA NECESSARY TO IDENTIFY THE "BENEFICIAL OWNER"**

AS PART OF THE INTERVENTIONS UNDER THE PNRR

Open procedure with application of the criterion of the most economically advantageous offer identified on the basis of the best value for money, pursuant to articles. 71 and 108 paragraph 1 of the Legislative Decree. n. 36/2023 as amended. concerning the supply of an "Automated mRNA Production System at scale suitable for drug discovery and preclinical development with Critical Reagent Supply and Processing System - Lot 1; "Automated System for GMP mRNA production at scale for clinical stages and commercial production with Critical – Lot 2"). CUP: E63C22000940007 – CUI: F00876220633202400035

LOTTO 1 - CIG: B2397BBE86

LOTTO 2 - CIG: B2397BCF59

I, the undersigned, _____ Born in _____ (_____)
on _____ C.F. _____ resident at

_____ in the street/square _____ ZIP Code No. _____

e-mail address/PEC _____ ph _____

profession _____, as:

- ☐ Legal Representative
- ☐ titular
- ☐ procurator
- ☐ (Other please specify) _____

of the company _____

based in _____ (_____) ZIP Code _____ in the
street/square

_____ e-mail address/PEC _____

C.F. _____ Vat _____

classification of economic activities prepared by ISTAT (**ATECO code** and brief description of the activity): _____

_____ participant in the selection procedure of the Implementing Entity under the National Recovery and Resilience Plan, pursuant to articles 46 and 47 of Presidential Decree no. 445 of 28 December 2000, aware of the criminal liability incurred by those who sign false declarations or forms, exhibits, makes use of false or no longer truthful deeds and the related criminal sanctions referred to in art. 76 of D.P.R. 445/2000, as well as the administrative consequences and forfeiture of any benefits resulting from the measure issued

STATES

Having read the instructions concerning the definition of "beneficial owner" and the related identification methods at the end of this declaration scheme:

Option 1)

☐ that he/she is the sole beneficial owner of the above-mentioned company;

and holds the following role within the company: _____ (by way of example, but not limited to: legal representative, managing director, CEO, etc.).

Option 2)

☐ to be the beneficial owner of the company together with:

(repeat the information below for each individual identified as the beneficial owner)

Surname..... Name.....

Born in (_ _ _ _) on

Tax code

Resident of (_ _ _ _) ZIP CODE.....

road..... domicile (if different from
residence)

.....

**and holds/hold the following role within the company:.....(by way of
example, but not limited to: legal representative, managing director, CEO, etc.)**

Valid identity document:

- ☐ Identity card
- ☐ Driving licence
- ☐ Passport
- ☐ Other socio-economic impacts

with number

Released on from.....

expiration.....

Option 3)

- ☐ that you are not the beneficial owner

The beneficial owner(s) of the company are/are listed below:

(repeat the information below for each individual identified as the beneficial owner)

Surname..... Name.....

Born in (_ _ _ _) on.....

Tax code

Resident of (_ _ _ _) ZIP CODE.....
road..... domicile (if different from
residence)

**and holds/hold the following role within the company:.....(by way of
example, but not limited to: legal representative, managing director, CEO, etc.).**

**and holds/hold the following role within the company:.....(by way of
example, but not limited to: legal representative, managing director, CEO, etc.).**

.....

Valid identity document:

- ☐ Identity card
- ☐ Driving licence
- ☐ Passport
- ☐ Other socio-economic impacts

with number

Released on from.....

expiration.....

Option 4)

(ATTENTION: this choice is reserved only for cases in which there is no control or significant shareholding in the company)

- ☐ that there is no beneficial owner of the business since (specify the reason)

.....
.....

therefore, the beneficial owners are identified as the natural persons with powers of administration or management of the company indicated below: **and hold(s) the following role within the company:_____ (by way of example, but not limited to: legal representative, managing director, CEO, etc.).**

(repeat the information below for each natural person identified as the beneficial owner, including the declarant where the latter can be identified as the beneficial owner due to the absence of control or significant holdings)

Surname..... Name.....

Born in (_____) on

Tax code

Resident of (_____) ZIP CODE.....

road..... domicile (if different from residence)

.....
Valid identity document:

- ☐ Identity card
- ☐ Driving licence
- ☐ Passport
- ☐ Other socio-economic impacts

with number

Released on from.....

expiration.....

The undersigned declares that the data subjects have read the information issued by the Data Controller pursuant to art. 13 and 14 of Regulation (EU) 679/2016 – GDPR – published in the section dedicated to the facilitative measure on the institutional website of the Ministry and to be informed that the personal data provided are prescribed as necessary by the provisions in force for the purpose of investigating the procedure initiated herein and that for this purpose they will be processed, including with IT tools. Failure to provide personal data will not allow the investigation to continue. Any interested party, pursuant to art. 15 et seq. of the GDPR, may make requests for the exercise of their rights in the manner indicated in the above-mentioned information

With reference to all the above-mentioned subjects, the following is attached:

- a copy of the identity documents of the legal representative and the beneficial owners, the details of which have been reported in this declaration;
- copy of the documents (health card, electronic identity card) certifying the issuance of the tax code of the legal representative and the beneficial owners.

Place and date -----

The Legal Representative

INSTRUCTIONS FOR IDENTIFYING THE BENEFICIAL OWNER

1. REFERENCE LEGISLATION

According to the Anti-Money Laundering Regulation (Legislative Decree No. 231 of 21 November 2007), the beneficial owner is the natural person on whose behalf a transaction or activity is carried out. In the case of a legal entity, it is the natural person – or persons – who, by owning that entity, is the beneficiary. All legal entities must therefore have a beneficial owner, with the exception of sole proprietorships and freelancers, where the beneficial owner is the natural person. In light of the provisions of MEF Ministerial Decree no. 55 of 11 March 2022 "Regulation containing provisions on communication, access and consultation of data and information relating to the beneficial ownership of companies with legal personality, private legal persons, trusts producing legal effects relevant for tax purposes and legal arrangements similar to trusts", and the "Guidelines for carrying out the control and reporting activities of the PNRR interventions under the responsibility of the Central Administrations and Implementing Entities" issued by the MEF - Central Service for the PNRR with circular no. 30 of 11 August 2022, the entities participating in notices and calls of the PNRR are also required to provide the data necessary for the identification of the beneficial owner. The UIF Communication of 11 April 2022 also reiterates the importance of ascertaining the "beneficial owner" pursuant to Article 22 of Reg. 241/2021. In particular, "For the purposes of the checks on beneficial ownership, by analogy with what is provided for the recipients of customer due diligence obligations, it is appropriate for public administrations to take into account the concept and indications contained in Legislative Decree no. 231/2007, make use of aids deriving from public or private databases, where accessible, and highlight the criteria followed for the identification of beneficial ownership".

More specifically, pursuant to art. 1 of the aforementioned MEF Decree no. 44/2022, for the identification of the beneficial owner, in the case of: - companies with legal personality, reference is made to the natural person or persons to whom direct or indirect ownership is attributable pursuant to Article 20, paragraphs 2, 3 and 5, of the Anti-Money Laundering Decree; - private legal entities, reference is made to the subjects identified by Article 20, paragraph 4, of the Anti-Money Laundering Decree; - trusts and similar legal arrangements, reference is made to the subjects identified by Article 22, paragraph 5, first sentence, of the Anti-Money Laundering Decree; The identification data of the subjects to whom the beneficial ownership refers are: - name and surname; - place and date of birth; - registered residence; - the domicile, if different from the registered residence; - the tax code.

2. CRITERIA FOR THE IDENTIFICATION OF THE BENEFICIAL OWNER

The "Guidelines for carrying out the control and reporting activities of the PNRR interventions under the responsibility of the Central Administrations and Implementing Entities" issued by the MEF - Central Service for the PNRR with circular no. 30 of 11 August 2022, in referring to Legislative Decree no. No. 231/2007, as amended by Legislative Decree no. No. 125 of 2019, recalls the application of 3 alternative criteria for the identification of the beneficial owner: **1. Ownership structure**: On the basis of this criterion, the beneficial owner(s) is identified when one or more persons hold a shareholding in the company's capital of more than 25%. If this percentage of the shareholding is controlled by another non-natural legal entity, it is necessary to trace the ownership chain until the beneficial owner is found; **2. Control criterion**: on the basis of this criterion, it is ascertained who is the person, or group of people, who, through the possession of the majority of votes or contractual constraints, exercises greater influence within the panorama of shareholders. This criterion is essential in the event that it is not possible to trace the beneficial owner with the analysis of the ownership structure (see point 1); **3. residual criterion**: this criterion establishes that, if the beneficial owners have not been identified with the previous two criteria, the latter must be identified in the person who exercises powers of administration or management of the company. The same MEF Circular 30/2022 specifies that all successful bidders/contractors with the PA are required to communicate data on beneficial ownership. In the event that subcontracting is used (if provided for in the Notice/Notice of Tender and in the Contract), the communication of the data relating to the beneficial owner must be carried out not only by the successful tenderer, but also by the third party (subcontractor) to whom the contractor entrusts, in whole or in part, the execution of the work contracted to him. In the case of a Temporary Grouping of Companies (RTI), the communication of data on the beneficial owner must be carried out by all the economic operators that are part of the Group.

3. REGULATORY APPENDIX

Legislative Decree No. 231 of 21 November 2007 on the implementation of Directive 2005/60/EC on the prevention of the use of the financial system for the purpose of money laundering and terrorist financing, as well as Directive 2006/70/EC laying down implementing measures. Art. 1. Definitions... omitted... 2. For the purposes of this Decree, the following definitions shall apply: ... omitted... (pp) beneficial owner: the natural person or persons, other than the client, in whose interest or whom, ultimately, the continuing relationship is established, the professional service is rendered or the transaction is carried out; Art. 20. Criteria for determining beneficial ownership of customers other than natural persons 1. The beneficial owner of customers other than natural persons shall be the natural person(s) to whom, in the last instance, direct or indirect ownership or control of the institution is attributable. 2. Where the client is a capital company: (a) direct ownership is the ownership of a shareholding of more than 25 per cent of the client's capital held by a natural person; b) indirect ownership is the ownership of a percentage of

shareholdings greater than 25 per cent of the client's capital, held through subsidiaries, trust companies or through an intermediary. 3. In the event that an examination of the ownership structure does not make it possible to unequivocally identify the natural person or persons to whom direct or indirect ownership of the entity is attributable, the beneficial owner shall be the natural person or persons to whom, in the last instance, control of the entity is attributable by virtue of: (a) control of the majority of the votes exercisable at the ordinary shareholders' meeting; (b) the control of sufficient votes to exercise a dominant influence at the ordinary shareholders' meeting; (c) the existence of particular contractual links enabling the exercise of a dominant influence. 4. In the event that the client is a private legal person, as referred to in Presidential Decree No 361 of 10 February 2000, the following shall be cumulatively identified as beneficial owners: a) the founders, if they are alive; (b) beneficiaries, when identified or easily identifiable; (c) holders of powers of legal representation, management and administration. 5. If the application of the criteria referred to in the preceding paragraphs does not make it possible to unequivocally identify one or more beneficial owners, the beneficial owner shall be the natural person or persons who, in accordance with their respective organisational or statutory structures, have powers of legal representation, administration or management of the company or of the client who are in any case different from the natural person. 6. Obligated entities shall keep records of the checks carried out for the purpose of identifying the beneficial owner and, with specific reference to the beneficial owner identified pursuant to paragraph 5, of the reasons that did not allow the identification of the beneficial owner pursuant to paragraphs 1, 2, 3 and 4 of this Article. Art. 22. Obligations of the customer ... omitted... 5. Trustees of express trusts, governed by Law No 364 of 16 October 1989, as well as persons exercising equivalent rights, powers and faculties in similar legal arrangements, provided that they are established or resident in the territory of the Italian Republic, shall obtain and hold adequate, accurate and up-to-date information on the beneficial ownership of the trust, or of the similar legal arrangement, such means those relating to the identity of the settlor(s), the trustee(s), the guardian(s) or other person on behalf of the trustee, if any, the beneficiaries or class of beneficiaries and other natural persons exercising control over the trust or similar legal arrangement and any other natural person exercising control, as a last resort, control over the assets conferred in the trust or related legal arrangement through direct or indirect ownership or through other means. Trustees of express trusts and persons exercising equivalent rights, powers and faculties in similar legal arrangements shall retain such information for a period of not less than five years after the cessation of their fiduciary status and shall make it readily accessible to the authorities referred to in Article 21(2)(a) and (b). The same trustees who, in this capacity, establish an ongoing or professional relationship or perform an occasional service declare their status to the obliged parties.