Call for Proposals

Framework: Innovation (Window 1)

Financial Innovation for Climate Adaptation and Resilience Solutions

11 November 2025

This Framework provides general guidance for all Call for Proposals within SDG Impact Finance Initiative's Innovation Window. Elements of this Framework may be specified by more detailed documents for each Call for Proposals.

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Definitions

Capitalized terms used in the Guidelines have the meaning ascribed to them in this Section.

Call for Proposals ("CfP")	A set of documents inviting shortlisted Candidates during the CfP Process to submit a Proposal. It includes the Stage-2 Document and the Framework.
Cancellation Notice	A public announcement by SIFI on its website notifying the cancellation of the CfP Process.
Candidate	A Person submitting an Expression of Interest (EoI) or Proposal during the CfP Process.
CfP Documents	The Request for Expression of Interest (RfE), CfP, and any clarifications or amendments issued during the CfP Process.
CfP Launch	The official start of Stage-2, which begins when shortlisted Candidates are invited by email to submit their Proposals for a funding opportunity.
CfP Notice	The official start of Stage-1, marked by a public announcement by SIFI on its website that provides details about the funding opportunity, including requirements and submission deadlines. It serves as an invitation for qualified Candidates to submit an Expression of Interest.
CfP Procedure	The type of procedure (e.g., International Competitive Bidding) undertaken to select Innovators.
CfP Process	The process to select Innovators, starting with the publication of a CfP Notice and ending with the Grant Notice or Cancellation Notice.
Declaration of Undertaking	A statement of integrity, eligibility, and social and environmental responsibility as per the format provided in this Framework.
e-procurement system	An online platform where Candidates must upload their EoI or Proposal.
Evaluation Matrix	A scorecard used to evaluate Candidates' EoIs and Proposals. This document forms the basis for evaluation at each stage of the CfP process and supports the information presented in the Evaluation Report. It is confidential.
Evaluation Report	A report prepared after each stage of the CfP Process and submitted to SIFI for approval. The Evaluation Report is confidential.
Executive Summary	A concise summary (Form 1), not exceeding two pages, submitted by Candidates in Stage-1 and Stage-2, highlighting key fund terms.

Expression of Interest ("EoI")	A set of documents submitted by a Candidate during Stage-1 to demonstrate eligibility and qualifications.
Framework	This document providing general guidance for all Call for Proposals within SDG Impact Finance Initiative's Innovation Window.
Financial Innovation	A Financial Innovation refers to a new or innovative impact-oriented financial mechanism or investment vehicle that is eligible to receive a Grant from SIFI. This includes, but is not limited to, impact funds, facilities, holding structures, or other structured approaches, tools, or instruments designed to mobilize, allocate, or manage financial resources, ideally from the private sector, to achieve measurable outcomes aligned with the Sustainable Development Goals (SDGs).
Grant	A non-repayable financial contribution provided by SIFI to a selected Candidate, following the successful evaluation of its Proposal.
Grant Agreement	A legally binding contract between SIFI and grant recipient that outlines the terms, conditions, and responsibilities for the use of the grant funds.
Grant Notice	A public announcement by SIFI on its website detailing the results of the CfP and the Innovators. The notice includes the name of each Innovator and the total grant amount granted by SIFI. Unsuccessful Candidates will remain anonymous.
Innovator	A Candidate (or Grant recipient) who is an entity shortlisted by SIFI to receive a Grant following the successful evaluation of their Proposal.
Interview	Interviews conducted with Candidates during Stage-2 to gain deeper insights into their strategies, capabilities, and alignment with SIFI's objectives.
Joint Venture ("JV")	An association, with or without legal personality distinct from its members, of multiple Persons where one member conducts business on behalf of all members. Members are jointly and severally liable for any obligations of the JV.
Key Person	A natural person whose skills, qualifications, knowledge and experience are critical to the success of the proposed Financial Innovation, and whose curriculum vitae is considered during the CfP Process.
Main Contact Person	A designated individual within the Candidate's organization who will serve as the main point of contact for all communication with the Tender Agent and SIFI during the CfP Process.
Minimum Criteria	Minimum requirements that must be met by a Candidate to participate in the CfP. Failure to meet these criteria results in the rejection of their EoI or Proposal.

One-Envelope	A submission format requiring the EoI or Proposal to be included in a single document or PDF file.
Person	Any natural or legal person.
Proposal	A set of documents submitted by a Candidate during Stage-2 to enable an in-depth evaluation of their application for funding.
Request for EoI ("RfE")	A set of documents published in Stage-1 to invite potential Candidates to submit evidence of their eligibility and qualifications. It includes the Stage-1 Document and the Framework.
Sanctionable Practice	Any coercive, collusive, corrupt, fraudulent, or obstructive unlawful practice.
Selection Criteria	Criteria based on a point system used to evaluate and compare the EoIs and Proposals submitted by Candidates.
Stage-1	The first stage of a Two-Stage Selection Process focused on verifying the eligibility and qualifications of Candidates and identifying the most promising ones for Stage-2.
Stage-2	The second stage of a Two-Stage Selection Process involving an in-depth evaluation of the most promising Candidates' Proposals to select the Innovators.
Stage-1 Document	A document containing specific information (e.g. deadlines) about the CfP and the evaluation criteria for Stage-1.
Stage-2 Document	A document containing specific information (e.g. deadlines) about the CfP and the evaluation criteria for Stage-2.
Sub-contractor	A Person to whom the Candidate subcontracts specific tasks.
Tender Agent	A Person appointed to manage the CfP Process, facilitate communication between SIFI and potential Candidates, and ensure transparency and fairness.
Two-Stage Selection	A CfP Process divided into two consecutive stages: Stage-1 and Stage-2.

(A) Background

The SDG Impact Finance Initiative (SIFI) is a Swiss non-profit association founded in 2021 by the Swiss State Secretariat for Economic Affairs (SECO), the UBS Optimus Foundation, and the Swiss Agency for Development and Cooperation (SDC). In 2024, the Grand Duchy of Luxembourg became a member while in 2025 the Korean International Cooperation Agency (KOICA) as well as the Swiss-based Ursimone Wietlisbach Foundation joined.

With a USD 4 trillion annual funding gap for the UN Sustainable Development Goals (SDGs), this initiative seeks to bridge the gap by raising CHF 100 million in donations to unlock up to CHF 1 billion in capital by 2030. It leverages Financial Innovations and fosters public-private collaboration to advance the SDGs and to drive measurable progress in ODA-countries, as defined in the OECD’s "DAC List of ODA recipients," with a focus on Least-Developed Countries.

Despite growing interest in impact investing, several barriers hinder effective investment in developing countries, including small deal sizes with high costs, costly deal sourcing, unfavorable risk-return profiles, limited exit options, lack of standardization (e.g., in social and environmental themes), high setup costs, risks of impact washing, expensive and complex impact measurement methods, information mismatches across value chains, and persistent misconceptions (e.g., about commercial returns), which limit market growth.

To address these challenges SIFI aims to accelerate advancements in the impact investing market by supporting the launch of Financial Innovations that address market failures, deploy financial products that are under-supplied or supplied at insufficient volumes, and mobilize funding into new sectors and regions. SIFI has defined the following core objectives:

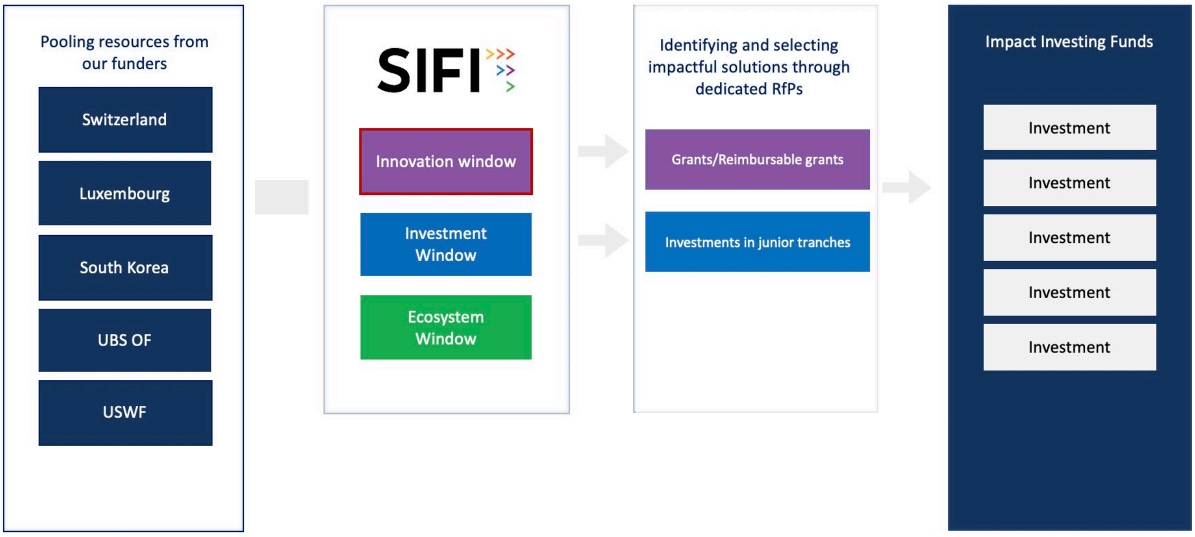
- Support the design and development of Financial Innovations;
- Scale impact investing mechanisms by mobilizing private capital at scale; and
- Strengthen the impact investing ecosystem, improve overall frameworks, and promote quality impact management practices to enhance impact investment flows.

Philanthropic and public capital, as the most risk-tolerant forms of funding, are crucial for testing and developing Financial Innovations for SDG investments, paving the way for their adoption before achieving commercial viability. To advance this, SIFI offers grants and investment support for promising financial mechanisms or investment vehicles capable of mobilizing private investment at the scale needed to drive progress on the SDGs. This support is provided through three dedicated windows:

1. Innovation Window: Providing Grants for Financial Innovations targeting the SDGs in ODA-eligible countries;
2. Investment Window: Providing first-loss investments for impact investment vehicles targeting the SDGs in ODA-eligible countries; and
3. Framework Conditions Window: Providing Grants for research and advocacy initiatives aimed at strengthening the impact investing market.

This Framework has been designed for the **Innovation Window.**

Figure 1: Support Structure with Emphasis on Innovation Window



(B) Principles

The Framework establishes the following key principles to govern SIFI's CfPs:

- **Fairness:** All eligible Candidates shall be provided with equal opportunities to participate in the CfP Process;
- **Ethics**: CfP Processes shall be carried out on the basis of ethical principles that adhere to the highest standards of social, environmental, and legal integrity;
- **Competition:** CfP Processes shall be conducted through competitive bidding, with procedures designed to maximize participation and attract the highest possible number of potential Candidates;
- **Transparency:** The CfP Process shall be meticulously documented, ensuring that all involved parties have the right to access relevant information. This includes comprehensive documentation on the scope of work, the CfP Process, decision-making procedures, and timelines;
- **Confidentiality:** All information related to the CfP Process is confidential. Access to such information will be restricted to the involved parties and granted only in accordance with their respective rights to information;
- **Accountability**: SIFI is accountable to its Board, Donors, and General Assembly for the responsible management and use of its funds. It shall provide timely responses to reasonable requests for clarification regarding decision-making procedures and justifications for CfP decisions. Additionally, SIFI will deliver comprehensive reports detailing how its funds have been used.

(C) Participation

1. Eligibility Criteria

Candidates (including all members of a JV and proposed or engaged Sub-contractors) shall not be granted funding if, on the date of submission of their EoI or Proposal or on the intended date of Grant, they:

- are not a legally established entity;
- are bankrupt, being wound up or ceasing their activities, are having their activities administered by courts, have entered receivership, or are in any analogous situation;
- have been (i) convicted by a final judgement or a final administrative decision or subject to financial sanctions by Switzerland and/or the United Nations and/or the

European Union for involvement in a criminal organization, money laundering, terrorist-related offences, child labor or trafficking in human beings; this criterion of exclusion is also applicable to legal Persons, whose majority of shares are held or factually controlled by natural or legal Persons which themselves are subject to such convictions or sanctions and/or (ii) convicted by a final court decision or a final administrative decision by a court, authorities in Switzerland or the European Union for Sanctionable Practice during any CfP Process or the performance of any mandate or for an irregularity affecting the mandator's interests, unless they provide supporting information together with their Declaration of Undertaking which shows that this conviction is not relevant in the context of the respective mandate;

- have been subject, within the last five years, to a termination fully settled against them for significant or persistent failure to comply with their legal obligations, unless (i) this termination was challenged and (ii) dispute resolution is still pending or has not confirmed a full settlement against them;
- have not fulfilled applicable fiscal obligations regarding payments of taxes either in the country where they are constituted or in Switzerland;
- are subject to an exclusion decision of the World Bank or any other multilateral development bank and are listed in the respective table with debarred and cross-debarred companies and individuals available on the World Bank's website or that of any other multilateral development bank, and cannot demonstrate with supporting information along with their Declaration of Undertaking that the exclusion is not relevant in the context of the relevant mandate;
- have given a misrepresentation in supplying the information requested as condition of participation in the CfP Process; and
- qualify as a development financial institution, multilateral development bank or similar.

2. Conflict of Interest

Candidates (including all members of a JV and proposed or engaged Sub-contractors) are not eligible to participate if they:

- have a business or a family relationship with SIFI's staff involved in the CfP; and
- are controlled by or control another Candidate or are under common control with another Candidate, receive or grant subsidies directly or indirectly to or from another Candidate, have the same legal representative as another Candidate, maintain direct

or indirect contacts with another Candidate which allow them to have or give access to information contained in the respective EoIs or Proposals, to influence them or influence the decisions of SIFI.

3. Sanctionable Practice

SIFI reserves the right to take any appropriate action to check for ethical standards and to reject a Proposal for Grant if, during the CfP Process, the recommended Candidate for the Grant has engaged in Sanctionable Practices, either directly or through an agent, with the intention of being awarded the Grant.

4. Environmental, Social and Governance Standards

SIFI requires Candidates to comply with international best-practice environmental, social, and governance (ESG) standards in their operations. At a minimum, Candidates must adhere to the International Finance Corporation's Performance Standards (IFC PS) and the International Labour Organization's (ILO) Fundamental Conventions.

5. Declaration of Undertaking

Candidates (including all JV partners) shall observe the highest standard of ethics and respect of ESG standards during the CfP Process and thereafter. Candidates must submit a duly signed Declaration of Undertaking. Failure to provide this declaration or comply with its commitments may lead to SIFI rejecting the Candidate's EoI/Proposal or terminating the Grant.

(D) Process

1. CfP Procedure

All CfP Processes shall adhere to the International Competitive Bidding (ICB) procedure, ensuring global outreach by publishing the CfP internationally to attract the maximum number of potential Candidates.

2. Evaluation Method

All CfP Processes follow the Quality Based Selection (QBS) method attributing 60 % weight to the Proposal and 40 % to the Interviews unless otherwise specified for the respective CfP. The Grant is awarded to the highest scored Proposal.

3. Selection Process

All CfP Process shall follow a Two-Stage Selection Process.

In Stage-1 Candidates are invited to submit an EoI. The EoI submitted by the Candidates will be evaluated based on the evaluation criteria defined in the Stage-1 Document through a preliminary assessment. These criteria will comprise Selection Criteria and Minimum Criteria. The most promising Candidates from Stage-1 are shortlisted for Stage-2.

In Stage-2 the shortlisted Candidates are invited to submit a Proposal. These Proposals will be evaluated based on the criteria outlined in the Stage-2 Document, which will be provided to Candidates upon their invitation to participate. After the evaluation of Proposals, selected Candidates may be invited to an interview where they will have the opportunity to present their Proposal.

All costs related to the preparation of EoIs and Proposals shall be borne by the Candidate.

4. Grant Size, Funding Requirements, and Disbursement

SIFI intends to allocate the available funding in a CfP Process among multiple Candidates. Each Candidate must indicate both the maximum and minimum grant amount required (in CHF) for their Proposal to remain viable. This information must be provided in the EoI and Proposal.

Candidates should note that they may not receive the full requested amount and may be awarded only the minimum funding necessary for their Proposal to proceed. SIFI reserves the right to allocate funding at its sole discretion.

Grant payments will be made in no more than four disbursement tranches, linked to clearly defined milestones or deliverables agreed with SIFI during contracting. Deliverables should be straightforward and limited to documents generated in the normal course of project implementation, rather than additional reports. Time-based payments are not foreseen.

(E) Preparation of EoIs and Proposals

1. Language

EoIs and Proposals must be prepared in English. This requirement also applies to the Grant Agreement between SIFI and the Innovator, which will be signed and legally binding in English only.

2. Joint Ventures

Candidates may form a Joint Venture (JV) with national and/or international partners to strengthen their qualifications and capacity. A JV may consist of up to three members, and all members are jointly and fully liable for the execution of the contract. For any given contract, a JV must submit a single, joint EoI or Proposal. This means individual members of the JV may not submit separate applications.

If Candidates form a JV, they must appoint an authorized representative who has the power to act on behalf of all JV members. This person will represent the JV during Stage-1, Stage-2 (if a Proposal is submitted), and throughout the grant process (if applicable). This authorization must be confirmed with a signed power of attorney.

Candidates may engage Sub-contractors, whose relationships with the Candidates are contractual. Sub-contractors are not jointly and fully liable for the execution of the contract. Sub-contractors may not be engaged by multiple Candidates.

Candidates must ensure that their staff, JV members, Sub-contractors, agents (declared or not), service providers, suppliers, and their employees meet the eligibility and conflict of interest requirements outlined in this document.

3. Key Persons

By submitting the Proposal, the Candidate confirms the unrestricted availability of the proposed Key Persons as outlined in the CfP Documents, should the Grant be awarded. Before awarding the Grant or initiating pre-grant discussions (whichever occurs first), SIFI will request the selected Candidate to reconfirm the availability of the proposed Key Persons.

If any of the proposed Key Persons become unavailable during the initial Proposal validity period due to justified reasons beyond the Candidate's control (e.g., accident or illness), the Candidate must propose a replacement expert with equal or better qualifications. If the replacement Key Person does not meet or exceed the qualifications of the originally proposed person, the Proposal will be rejected.

If an extension of the Proposal validity period is required, Candidates will be asked to reconfirm the availability of the Key Persons when responding to SIFI's extension request. At this stage, Candidates may propose replacement Key Persons without providing justification. However, the replacement Key Persons must have equal or better qualifications; otherwise, the Proposal will be rejected.

4. Grant Structure and SIFI's role

Candidates should provide a clear and concise explanation of how the SIFI Grant will support their Financial Innovations. The explanation should include:

Use of Grant Funds:

- Describe the specific activities or milestones the Grant will support.
- Explain how these activities address critical gaps or barriers that would hinder the Financial Innovation's development without the Grant.

Impact of the Grant:

- Summarize how the Grant will enable significant progress toward the Financial Innovation's goals, including mobilizing private capital and aligning with SDG targets in ODA-eligible countries.
- Highlight why the Grant is necessary at this stage and how it contributes uniquely to the Financial Innovation's advancement.

Key Beneficiaries and Stakeholders:

- Identify the primary stakeholders involved (e.g., project developers, local partners, target beneficiaries).
- Explain how the Grant will support these groups and contribute to the overall impact of the project.

Implementation Milestones:

- Outline key milestones and expected outcomes, focusing on how the Grant will support the Financial Innovation's progression.

5. Additionality

Candidates must demonstrate the additionality of their Financial Innovations by addressing the sub-criteria below. The assessment will be qualitative, using a structured scoring framework and will represent 35% of the overall proposal score under Stage-2.

Evaluation Criteria: Additionality

Sub-criteria	Sub-criteria assessment
Impact Creation	Based on the strength of alignment with SDGs.

Impact Monitoring	Based on the presence and quality of a monitoring system, alignment with standards (e.g. IRIS+), and integration into learning.
Impact Measurability	Based on the definition and robustness of KPIs and Theory of Change.
Degree of Innovation	Based on the novelty of approach to systemic challenges in impact finance (e.g., adaptation vs. new financial mechanisms/vehicles).
Transformational Potential	Based on the extent to which the innovation can drive systemic change in impact finance.
Private Capital Mobilization	Based on the clarity of strategy, % share of private capital, leverage potential, and early investor signals.
Likelihood of Successful Fundraise	Based on the outreach undertaken, evidence of investor engagement, and level of commitments.

6. Local Currency Challenge:

Candidates must describe how their proposed Financial Innovation addresses the local currency (LCY) challenge in its target markets. This may include mechanisms for mitigating currency risk, facilitating local currency financing, enhancing access to local investors, or other relevant strategies. While the LCY challenge is not a separate evaluation criterion, SIFI considers it a cross-cutting aspect of financial innovation and expects all Candidates to explain how their proposal contributes to tackling it.

(F) Submission

1. E-procurement system

SIFI uses an online e-procurement system for the electronic submission of documents, requiring Candidates to complete an online survey form to submit their EoIs or Proposals. The platform will not accept submissions after the deadline, and any EoIs or Proposals submitted via physical delivery or email will not be considered. To avoid last-minute technical issues, Candidates are strongly encouraged to upload their documents well before the submission deadline.

Please note that applicants will need to submit your application in one go (meaning applicants cannot start, save and then come back to the application). However, Applicants have the opportunity to resubmit applications prior to the submission deadline – for avoidance of doubt, the latest submitted application (based on timestamps) will be considered, all previous submission will be disregarded. Applicants will be asked to register a key email address – all further communication will be addressed at the registered email address only. Please see below section *3. Main Contact Person* for further detail.

2. Submission Requirements

All CfPs will follow a one-envelope submission process. Candidates must submit their EoI or Proposal as a single PDF file not exceeding 10 megabytes. EoIs may not exceed seven pages, including the cover page, while Proposals may not exceed twelve pages, including the cover page. Required forms and supporting documents, such as the Certificate of Incorporation (Stage-1 or Stage-2, as applicable), are excluded from these limits. All documents must be prepared and submitted in English. Any appendices or additional pages beyond the stated limits will not be evaluated.

Candidates, whether applying individually or as part of a JV, may submit multiple EoIs or Proposals, provided that each submission presents a different Financial Innovation. In such cases, each Financial Innovation must be submitted as a separate EoI or Proposal under the same Candidate name.

Candidates must follow these instructions carefully. Submissions that do not comply with the guidelines may be disqualified.

3. Main Contact Person

All Candidates must designate a Main Contact Person when registering on the SIFI website. This person will serve as the primary point of contact for all communication throughout the entire CfP process.

Any changes to the Main Contact Person provided on the SIFI Website must be announced via email to the Tender Agent (Tenders@Broadpeak.ch) no later than 14 calendar days before the submission deadline for EoIs or Proposals:

- Full legal name of the Candidate (entity)
- Name of the Main Contact Person
- Email address of the Main Contact Person
- Phone number of the Main Contact Person

4. Deadlines

To ensure adequate time for Candidates to prepare their EoIs or Proposals, the following minimum submission periods apply:

- EoI Preparation: 30 calendar days.
- Proposal Preparation: 30 calendar days.

In exceptional circumstances, such as the need for significant clarifications or amendments, these time periods may be extended. Any extensions will apply equally to all Candidates.

EoIs or Proposals submitted after the deadline will be rejected unless the delay is caused by a force majeure event, such as a natural disaster. Delays due to technical issues will not be considered force majeure.

(G) Evaluation

1. Stage-1 Evaluation

The Stage-1 evaluation assessed all submitted EoIs to verify the eligibility and qualifications of Candidates and identify the most promising ones for invitation to submit a Proposal in Stage-2. The evaluation will use an Evaluation Matrix based on the criteria outlined in the Stage-1 Document. EoIs are deemed eligible if they meet all the Minimum Criteria specified in the Stage-1 Document and are considered qualified if they score at least 70 out of 100 points.

The evaluation of EoIs focuses exclusively on the qualifications of the Candidate and does not consider the qualifications of subsidiaries, parent entities, affiliates, or any other entity unless they are part of a JV with joint and several liability or are included as Sub-contractors.

In exceptional cases, Candidates with insufficient financial track records, such as start-ups, may demonstrate financial qualifications by providing a legally binding letter of comfort from a financially sound parent company as supporting evidence.

2. Stage-2 Evaluation

Approximately 10 to 15 Candidates from Stage-1 will be invited to participate in Stage-2. Proposals submitted in Stage-2 will be evaluated using an Evaluation Matrix based on the criteria outlined in the Stage-2 Document. To qualify, Proposals must achieve a minimum score of 70 out of 100 points.

From the 10 to 15 Candidates invited to Stage-2, a maximum of eight candidates will be selected for Interviews. These Interviews will serve to complement the Proposal evaluations, providing deeper insights into each Candidate’s submission. Additional due diligence will be conducted on the eight selected candidates.

Each Interview will last 90 minutes and will consist of a brief presentation of the Proposal followed by a question-and-answer session. A maximum of four participants may attend, and all Interviews will be recorded.

The final Stage-2 score will combine the scores from the Proposal evaluation and the Interview. Up to five (5) of the highest-ranked candidates will be shortlisted to receive grant awards.

The Investment Committee (IC) reserves the right to override the Evaluation Matrix scores and adjust candidate rankings at its full discretion. The IC will recommend the final rankings and funding allocations to the Executive Board (EB), which will make the final decision.

3. Scoring System

The evaluation of EoIs and Proposals is based on Minimum Criteria and Selection Criteria.

Minimum Criteria are mandatory requirements that must be met by all Candidates. If a Candidate fails to meet any Minimum Criterion, their EoI or Proposal will be disqualified. Candidates are required to confirm their compliance with the Minimum Criteria during Stage-1 and reconfirm this during Stage-2. Failure to meet the Minimum Criteria at Stage-2 will also result in disqualification.

Selection Criteria are used to evaluate, rank, and compare Candidates who meet all Minimum Criteria. The evaluation under these criteria is conducted using a point-based scorecard system, allowing for the grading and ranking of all EoIs and Proposals submitted by qualifying Candidates.

(H) Communication

1. General

All correspondence between SIFI (represented by the Tender Agent) and (potential) Candidates during the various stages of the CfP Process must be conducted in writing.

2. Confidentiality

SIFI will ensure that all information related to the examination, clarification, and evaluation of EoIs or Proposals remains confidential and is not disclosed to any other Candidates or unauthorized parties. This confidentiality will be upheld until the evaluation results are communicated. While the results will be shared, the contents of the EoIs and Proposals will remain confidential.

3. Publication

SIFI will publish key information about the CfP process, including the Framework, Stage-1 Document, Stage-2 Document, Grant Notice, and Cancellation Notice, on its website as the primary source. While information may also be shared through other media and platforms, the details published on SIFI's website will take precedence in case of any discrepancies.

4. Clarifications

Candidates may request clarifications regarding the CfP Documents during both Stage-1 and Stage-2, up to 16 calendar days before the respective submission deadlines. All requests must be submitted in writing via email to the Tender Agent and must be anonymized in their formulation.

The Tender Agent will provide written responses to all clarification requests no later than 10 calendar days before the submission deadline for EoIs or Proposals. These responses will be shared simultaneously via email with all Candidates who have submitted an EoI or Proposal (as applicable) and will also be posted on the SIFI website.

Requests submitted less than 16 calendar days before the submission deadline, or not submitted in writing to the Tender Agent, will not be considered.

In addition, SIFI may, at its discretion, request individual clarifications from Candidates during the evaluation at Stage-1 and Stage-2, and allow a reasonable time to respond. Clarifications submitted by Candidates without a specific request from SIFI will not be considered.

All individual clarification requests and responses must be in writing. No changes to the substance of the EoI or the Proposal will be allowed.

5. Stage-1 Results to Candidates

At the end of Stage-1, SIFI will inform shortlisted Candidates and invite them to submit their Proposals for Stage-2. Non-shortlisted Candidates will also be informed. The names of Stage-1 Candidates, whether shortlisted or not, will remain confidential and will not be publicly disclosed.

6. Stage-2 Results to Candidates

At the end of Stage-2, SIFI will inform the highest-ranked shortlisted Candidates in writing. Candidates not shortlisted will be informed only after the successful completion of due diligence and pre-grant discussions with the shortlisted Candidates.

7. Due Diligence Process

Before pre-grant discussions, SIFI will carry out operational due diligence on all highest-ranked Stage-2 Candidates. This process includes verifying the accuracy of information submitted in Forms 9, 10, and 11 and addressing any identified risks. Additional due diligence checks will be conducted according to SIFI's Risk Framework. Funding decisions will proceed only if all due diligence, legal reviews, documentation, and agreement on terms are successfully completed. SIFI reserves the right to withhold funding if these conditions are not met.

8. Pre-Grant Discussions

Discussions with the highest-ranked Candidates may occur after the Stage-2 evaluation and before issuing the Grant Notice. These discussions are not legally binding, and any outcomes must be formalized in a legally binding agreement. If discussions with a highest-ranked Candidate fail, SIFI may engage with the next-ranked Candidate.

9. Grant Notice

Upon completion of the CfP process, SIFI will publish the Stage-2 results on its website and other platforms as necessary, including the names of Innovators (along with any JV members and Sub-contractors, if applicable) and the total awarded amount. Non-successful Candidates from Stage-2 will remain anonymous.

10. Debriefing

After the publication of the CfP Process results or its cancellation in Stage-2, unsuccessful Candidates may request a written debriefing from SIFI. A timely and meaningful debriefing will be provided, outlining the reasons why their Proposal was not selected. The debriefing will not include any confidential information, such as details about other Candidates' Proposals. Debriefings will not be provided for Stage-1.

11. Cancellation

SIFI reserves the right to accept or reject any EoI or Proposal, cancel the Stage-1 and/or Stage-2 process, or reject all EoIs and Proposals at any time, without any liability to the Candidates.

(I) Miscellaneous

1. Tender Agent

A Tender Agent may conduct the entire CfP Procedure on behalf of SIFI.

2. Decision Process

Stage-1: The Tender Agent evaluates all EoIs and establishes a ranking of the Candidates, recommending the highest-ranked candidates to proceed to Stage-2. SIFI Executive Management validates the selection and submits it to the EB for the final decision.

Stage-2: The Tender Agent evaluates all Proposals and ranks the Candidates. An independent IC then reviews the Proposals and conducts its own evaluation, informed by the analysis and assessment provided by the Tender Agent. The ranking established by the IC may either confirm or differ from the ranking proposed by the Tender Agent. Based on its evaluation, the IC makes an allocation recommendation to the EB, which holds the ultimate authority to decide on the Grant.

3. Decision Validity

The first disbursement from SIFI to the Innovator must occur within 12 months of the Grant Notice. Failure to meet this deadline may result in the Innovator losing eligibility for SIFI funding and needing to reapply in the next CfP.

(J) Forms

#	Description	Stage at which to be submitted
Form 1	Executive Summary	Stage-1 and in Stage-2
Form 2	Declaration of Undertaking	Stage-1
Form 3	Declaration of Tax Conformity	Stage-1
Form 4	Sample Declaration on Conflict of Interest	Stage-1
Form 5	Sample Declaration of Association	Stage-1
Form 6	Power of Attorney	Stage-1
Form 7	Eligibility Confirmation	Stage-2
Form 8	Submission Form	Stage-2
Form 9	Pre-Screening Checklist	Stage-1 and in Stage-2
Form 10	Due Diligence Checklist	Stage-1 and in Stage-2
Form 11	Self-Declaration Form	Stage-1 and in Stage-2

Guidance for Completing the Forms: The text in *italic* in the forms is for guidance only and must be adjusted, replaced, or deleted as appropriate to accurately complete your submission.

Form 1 – Executive Summary

[Candidates must complete all required fields in the form below. If any information is unavailable, it must be clearly marked as "NA." The Form 1 must not exceed two pages.]

Candidate Information (or lead member in case of a JV):	
Full legal name	*[To be completed; if not applicable, indicate "NA"]*
Full trading name (if applicable)	*[To be completed; if not applicable, indicate "NA"]*
Registered address	*[To be completed; if not applicable, indicate "NA"]*
Trading address (if applicable)	*[To be completed; if not applicable, indicate "NA"]*
Postal address (if different from trading address)	*[To be completed; if not applicable, indicate "NA"]*
Type of organization (if applicable)	*[To be completed; if not applicable, indicate "NA"]*
Country of constitution, incorporation, or registration (if applicable)	*[To be completed; if not applicable, indicate "NA"]*
Year of constitution, incorporation, or registration (if applicable)	*[To be completed; if not applicable, indicate "NA"]*
Corporate or registration number (if applicable)	*[To be completed; if not applicable, indicate "NA"]*
Website	*[To be completed; if not applicable, indicate "NA"]*
Funding Information:	
Proposed use of grant funds	*[To be completed; if not applicable, indicate "NA"]*
Grant structure (e.g., traditional, convertible, repayable, or other innovative mechanisms)	*[To be completed; if not applicable, indicate "NA"]*
Maximum SIFI Grant amount requested (in CHF)	*[To be completed; if not applicable, indicate "NA"]*
Minimum SIFI Grant amount requested (in CHF)	*[To be completed; if not applicable, indicate "NA"]*
Financial Innovation Information:	
Title of the proposed financial innovation	*[To be completed; if not applicable, indicate "NA"]*
Main objectives of the financial innovation	*[To be completed; if not applicable, indicate "NA"]*
Alignment of the financial innovation with SDGs	*[To be completed; if not applicable, indicate "NA"]*
Geographic focus	*[To be completed; if not applicable, indicate "NA"]*
Sector	*[To be completed; if not applicable, indicate "NA"]*
How does the proposed financial innovation address Local Currency Challenge?	*[To be completed; if not applicable, indicate "NA"]*

Form 2 – Declaration of Undertaking

We hereby certify that neither we nor any of our board members or legal representatives nor any other member of our Joint Venture including Sub-contractors, nor any of our major shareholders are in any of the following situations:

- being bankrupt, wound up or ceasing activities, having our activities administered by courts, having entered into receivership, reorganization or being in any analogous situation;
- convicted by a final judgement or a final administrative decision or subject to financial sanctions by Switzerland and/or the United Nations and/or the European Union for involvement in a criminal organization, money laundering, terrorist-related offences, child labor or trafficking in human beings; this criterion of exclusion is also applicable to legal Persons, whose majority of shares are held or factually controlled by natural or legal Persons which themselves are subject to such convictions or sanctions;
- having been convicted by a final court decision or a final administrative decision by a court, the European Union, national authorities in Switzerland for Sanctionable Practice in connection with a CfP Process or for an irregularity affecting the mandator's interests (in the event of such a conviction, the Candidate shall attach to this Declaration of Undertaking supporting information showing that this conviction is not relevant in the context of this legal agreement and that adequate compliance measures have been taken in reaction);
- having been subject, within the past five years to a mandate termination fully settled for significant or persistent failure to comply with our mandate obligations during such performance, unless this termination was challenged and dispute resolution is still pending or has not confirmed a full settlement against us;
- not having fulfilled the applicable fiscal obligations with regard to the payment of taxes at the respective tax residence and in Switzerland (*Candidates must submit a fully completed and legally countersigned declaration of tax conformity in addition to the Declaration of Undertaking at the time of Grant. This shall become an integral part of the mandate. Failure to submit may result in exclusion from the granting procedure)*;
- being subject to an exclusion decision of the World Bank or any other multilateral development bank and being listed on the website http://www.worldbank.org/debarr or respectively on the relevant list of any other multilateral development bank *(in the event of such exclusion, the Candidate shall attach to this Declaration of Undertaking supporting information showing that this exclusion is not relevant in the context of this mandate and that adequate compliance measures have been taken in reaction)*; or
- being guilty of misrepresentation in supplying the information required as a condition of participation in the CfP.

We hereby certify that neither we, nor any of the members of our Joint Venture or any of our Sub-contractors under the mandate, nor any of our major shareholders are in any of the following situations of conflict of interest:

- being an Affiliate controlled by SIFI or a shareholder controlling SIFI, unless the stemming conflict of interest has been brought to the attention of SIFI and resolved to its satisfaction;
- having a business or family relationship with a SIFI's staff involved in the CfP Process or the supervision of the resulting mandate, unless the stemming conflict of interest has been brought to the attention of SIFI and resolved to its satisfaction;
- being controlled by or controlling another Candidate, or being under common control with another Candidate, or receiving from or granting subsidies directly or indirectly to another Candidate, having the same legal representative as another Candidate, maintaining direct or indirect contacts with another Candidate which allows us to have or give access to information contained in the respective EoIs or Proposals, influencing them or influencing decisions of SIFI;
- being engaged in an activity, which, by its nature, may be in conflict with the assignments that we would carry out for SIFI;

If we are a state-owned entity, and compete in a CfP Process, we certify that we have legal and financial autonomy and that we operate under commercial laws and regulations. We undertake to bring to the attention of SIFI, any change in situation with regard to the points here above.

In the context of this CfP Process and thereafter:

- neither we, nor any of the members of our Joint Venture or any of our Sub-contractors under the mandate have engaged or will engage in any Sanctionable Practice during the CfP Process and in the case of being granted the mandate will engage in any Sanctionable Practice during the performance of the mandate;
- neither we, nor any of the members of our Joint Venture or any of our Sub-contractors under the mandate shall acquire or supply any equipment nor operate in any sectors under an embargo of Switzerland and/or the United Nations and/or the European Union;
- we and any of the members of our Joint Venture and any of our Sub-contractors under the mandate commit to comply with and ensuring that our Sub-contractors and major suppliers under the mandate comply with international environmental and labor standards, consistent with laws and regulations applicable in the country of implementation of the mandate and the fundamental conventions of the International Labour Organisation[1] (ILO) and international environmental treaties. Moreover, we shall implement environmental and social risks mitigation measures when specified in the relevant environmental and social management plans or other similar documents provided by SIFI and, in any case, implement measures to prevent sexual exploitation and abuse and gender-based violence.

In the case of being granted the mandate, we, as well as all members of our Joint Venture partners and Sub-contractors under the mandate will, (i) upon request, provide information relating to the CfP Process and the performance of the mandate and (ii) permit SIFI or an agent appointed by SIFI, to inspect the respective accounts, records and documents, to permit on the spot checks and to ensure access to sites and the respective solution.

In the case of being granted the mandate, we, as well as all our Joint Venture partners and Sub-contractors under the mandate undertake to preserve above mentioned records and documents in accordance with Applicable Law, but in any case, for at least six years from the date of fulfillment or termination of the mandate. Our financial transactions and financial statements shall be subject to auditing procedures in accordance with Applicable Law. Furthermore, we accept that our data (including personal data) generated in connection with the preparation and implementation of the CfP Process and the performance of the mandate are stored and processed according to the Applicable Law by SIFI.

____________________ (Name of the Candidate)[2]
____________________ (Name of the Candidate's representative)
____________________ (Title of the Candidate's representative)
____________________ (Place)
____________________ (Date)
____________________ (Signature)

[1] In case ILO conventions have not been fully ratified or implemented in the SDG Impact Finance Initiative's country the Candidate/Fund shall, to the satisfaction of the SDG Impact Finance Initiative, propose and implement appropriate measures in the spirit of the said ILO conventions with respect to a) workers grievances on working conditions and terms of employment, b) child labour, c) forced labour, d) worker's organizations and e) non-discrimination.

[2] In the case of a JV, insert the name of the JV. The representative who will sign on behalf of the Candidate shall attach a power of attorney from the Candidate and the JV partners.

Form 3 – Declaration of Tax Conformity

I, the undersigned, hereby confirm on behalf of [Name of the Company] that:

1. Authorization: I am duly authorized to make this declaration on behalf of [Name of the Company].
2. Tax Compliance: The company complies fully with all applicable tax laws in the jurisdiction where it is domiciled and conducts its business.
3. Legal Proceedings: The company is not currently, nor has it been in the past, involved in any legal proceedings concerning its taxation obligations.
4. Commitment to Tax Payment: The company will duly pay all taxes that may arise in accordance with applicable laws.
5. Accuracy of Information: All information and statements previously provided are complete, accurate, and current to the best of my knowledge and belief.
6. Alignment with OECD Principles of Responsible Taxation: The company adheres to the OECD principles of Responsible Taxation, as outlined below:

(a) Use of Financial Innovations:
Investments are conducted through one or more investment vehicles only for bona fide commercial, regulatory, or legal purposes, and not for the sole purpose of avoiding tax. The company refrains from structuring investments through jurisdictions that:

- Have not been approved by the Global Forum on Transparency and Exchange of Information for Tax Purposes or have not achieved an overall rating of “compliant” or “largely compliant.”
- Exhibit harmful tax practices identified under BEPS Action 5, which facilitate base erosion and profit shifting, thereby unfairly impacting the tax base of other jurisdictions (each referred to as a "Harmful Tax Regime").

(b) Registration in Harmful Tax Regimes:
The company will not, without prior written consent of the Investor Advisory Committee (or equivalent), register or open offices in any Harmful Tax Regime.

(c) Compliance with Tax Laws:
The company complies with all applicable laws, including tax laws, in all jurisdictions where it conducts business. Furthermore, the company ensures that its business partners also comply with these laws and undertakes reasonable efforts to monitor such compliance. Where material non-compliance is observed, the company will take appropriate action within its power.

(d) Intra-Group Transactions:
The company requires its business partners to adhere to the arm’s length principle for cross-border intra-group transactions and to maintain transparent transfer pricing documentation for submission to relevant tax authorities.

(e) Risk Assessment:
To mitigate reputational risks associated with harmful tax activities, the company:

- Conducts thorough risk assessments and implements appropriate measures to address identified risks.
- Refrains from transactions involving ongoing illegal tax activities unless such activities are discontinued. Where applicable, the company may impose conditions precedent requiring the cessation of such activities or commitments to full compliance with tax laws.
- In cases of evolving tax laws or marginal practices, considers exceptional circumstances (e.g., practices condoned by local authorities or aligned with international norms) to assess whether minor non-compliance risks can be managed with low legal and reputational exposure.

By signing this declaration, I confirm the company's adherence to the above principles and its commitment to responsible tax practices.

____________________ (Name of the Candidate)[3]
____________________ (Name of the Candidate's representative)
____________________ (Title of the Candidate's representative)
____________________ (Place)
____________________ (Date)
____________________ (Signature)

[3] In the case of a JV, insert the name of the JV. The representative who will sign on behalf of the Candidate shall attach a power of attorney from the Candidate and the JV partners.

Form 4 – Declaration on Conflict of Interest

We hereby declare that we are an independent company. Neither we, any member of the Joint Venture (if applicable), nor any of the Sub-contractors listed below have any potential, perceived, or actual conflict of interest during Stage-1, Stage-2 (if a Proposal is submitted), or throughout the grant process (if applicable), in accordance with Section (C)2.

We also confirm that, if selected by SIFI, we intend to submit a Proposal, subject to the details provided in the CfP documents.

[If your EoI includes one or more Sub-contractors whose qualifications should be considered by SIFI in Stage-1, please include the following paragraph:]

We request that the qualifications of the following Sub-contractor(s) be considered by SIFI during Stage-1:

- *[Insert the name of Sub-contractors]*

If selected, we commit to including all of the above Sub-contractors in our Proposal during Stage-2 and throughout the grant process (if applicable).

____________________ (Name of the Candidate)[4]
____________________ (Name of the Candidate's representative)
____________________ (Title of the Candidate's representative)
____________________ (Place)
____________________ (Date)
____________________ (Signature)

[4] In the case of a JV, insert the name of the JV. The representative who will sign on behalf of the Candidate shall attach a power of attorney from the Candidate and the JV partners.

Form 5 – Declaration of Association

[Candidates must submit this form in all cases and tick the appropriate option, even if they are not associating with another firm.]

We declare our intent to associate *[or not]* associate with the following firms for the purpose of forming a Joint Venture (JV).

If forming a JV:
- *[Insert the name of the leading member] shall be the leading member.*
- *[Insert the names of the other JV members].*

We hereby confirm that we have not associated with any other firms for the purposes of this CfP and that we will not submit an EoI separately from the firms listed above. Further, we understand that if a Candidate appears as an associate in more than one EoI, all EoIs in which the Candidate appears shall be disqualified. If this JV is awarded a Grant, we shall perform the services in the composition and in the form of cooperation described above.

If not forming a JV:
- *[Insert N/A].*

____________________ (Name of the Candidate)[5]
____________________ (Name of the Candidate's representative)
____________________ (Title of the Candidate's representative)
____________________ (Place)
____________________ (Date)
____________________ (Signature)

[5] In the case of a JV, insert the name of the JV. The representative who will sign on behalf of the Candidate shall attach a power of attorney from the Candidate and the JV partners.

Form 6 – Power of Attorney

The Candidate shall nominate an authorized representative to conduct all business on behalf of the Candidate or, in the case of a JV, on behalf of all members of the Joint Venture during the entire CfP process. This authorized representative must be duly authorized through an organizational document, board resolution, or a power of attorney that clearly specifies their authority to sign any legally binding documents throughout the CfP process. If the Candidate is a Joint Venture, a power of attorney must be signed by all members, granting the named representative the authority to sign on their behalf and legally bind the members of the Joint Venture.

Form 7 – Eligibility Confirmation

[Insert one of the two following options, as applicable:

"We hereby confirm that the information provided in our EoI during Stage-1, demonstrating our ability to meet the eligibility, qualification requirements and the fulfil of all minimum criteria, did not changed since the time of Stage-1."

or

"We hereby confirm that the information provided in our EoI during Stage-1, demonstrating our ability to meet the eligibility, qualification requirements and the fulfil of all minimum criteria, did changed since the time of Stage-1. The changes are described on page [x] in our Proposal."]

[Mark the Form(s), containing changes in the eligibility and qualification information and attach the Form(s) including the actual information and data to the Proposal.]

- ☐ Form 1 Executive Summary
- ☐ Form 2 Declaration of Undertaking
- ☐ Form 3 Declaration of Tax Conformity
- ☐ Form 4 Sample Declaration on Conflict of Interest
- ☐ Form 5 Sample of Association
- ☐ Form 6 Power of Attorney

[Insert the following option:

"We hereby confirm our agreement not to receive the maximum Grant amount available from SIFI. Instead, we agree to receive only the minimum Grant amount as specified in our request to SIFI."

____________________ (Name of the Candidate)[6]
____________________ (Name of the Candidate's representative)
____________________ (Title of the Candidate's representative)
____________________ (Place)
____________________ (Date)
____________________ (Signature)

[6] In the case of a JV, insert the name of the JV. The representative who will sign on behalf of the Candidate shall attach a power of attorney from the Candidate and the JV partners.

Form 8 – Submission Form

We, the undersigned, as the grant recipient, propose to implement the activities for *[Insert title of the Financial Innovation]* in accordance with your Call for Proposals dated *[Insert Date]* and our submitted Proposal. We hereby submit our Proposal, including all required documentation consolidated in a single PDF document.

[If the Candidate is a Joint Venture, insert the following: "We are submitting our Proposal in a Joint Venture between: *[Insert a list with full name and the legal address of each member, and indicate the lead member].* We have attached a copy *[insert: "of our letter of intent to form a Joint Venture" or, if a JV is already formed, "*the relevant information of the existing JV agreement*"]* signed by every participating member, which details the likely legal structure of and the confirmation of joint and severable liability of the members of the said Joint Venture.*"*

or

If the Candidate's Proposal includes Sub-contractors*, insert the following:* "We are submitting our Proposal with the following companies as Sub-contractors: *[Insert a list with full name and address of each Sub-contractor."]*

We hereby declare that:

- All information and statements provided in this Proposal are true and accurate. We acknowledge that any misrepresentation or misleading information contained in this Proposal may result in disqualification by SIFI.
- We confirm that our Proposal shall remain valid for a period of ninety (90) calendar days from the date of submission.
- We have no conflict of interest in accordance with Section (C)2.
- We undertake to negotiate a Grant Agreement based on the proposed Key Persons. We accept that the substitution of Key Persons for reasons other than those stated in Section (E)3 may lead to the termination of Grant Agreement negotiations.
- Our Proposal is binding upon us and subject only to modifications resulting from the Grant Agreement negotiations.

We further undertake that, if our Proposal is accepted and a Grant Agreement is signed, we will initiate the services no later than the date indicated in the RfE.

We understand that SIFI is not bound to accept any Proposal that SIFI receives.

______________________ (Name of the Candidate)[7]
______________________ (Name of the Candidate's representative)
______________________ (Title of the Candidate's representative)
______________________ (Place)
______________________ (Date)
______________________ (Signature)

[For a Joint Venture, either all members shall sign or only the lead member, in which case the power of attorney to sign on behalf of all members shall be attached.]

[7] In the case of a JV, insert the name of the JV. The representative who will sign on behalf of the Candidate shall attach a power of attorney from the Candidate and the JV partners.

Form 9 – Pre-Screening Checklist

Basic Information	
Organization name	Registered name of organization
Legal address	
Domicile	
Internet address	
Main contact	
Legal & Organisation	
Legal structure	☐ bilateral or multilateral development organisation, UN agency (known, regulated donor of internationally accepted good standing, reputation and in non-Critical Country jurisdiction) ☐ Government ☐ Foundation ☐ Bank or Insurance Company ☐ Other Private Sector Company ☐ Other ……………………….
Date established	
Jurisdiction	Place of registration/oversight organization
Registered authority	
Key representatives	Directors, trustees, founders, owners, management, etc. PEP: ☐ no ☐ yes
Purpose of organization	☐ Commercial ☐ not-for-profit ☐ Financial intermediary
Purpose of commercial or not-for-profit activity	
Sector	Sectors Critical sectors: ☐ No ☐ Yes
Main countries of activities	Countries Critical countries:[8] ☐ No ☐ Yes
Main source of funds	Fundraising, commercial activities, etc.
Risks	
PEP	☐ No ☐ Yes
The organization has religious, political, commercial or ideological interests that are contradictory to the interests of SIFI	☐ No ☐ Yes
ESG Risk	☐ low ☐ medium ☐ high
Have any public concerns been raised about the organization or its activities?	☐ No ☐ Yes

[8] "Critical countries" refers to countries subject to sanctions, embargoes, or restrictive measures imposed by Switzerland, or by the United Nations or the European Union where such measures are recognized and enforced under Swiss law.

Form 10 – Due Diligence Checklist

Legal & Organization	
List of subsidiaries	
Shareholders	For non-listed companies
Supervisory body or license	
Financial review	
Track-record of portfolios	
KYC / AML (investment vehicles only)	
The organization has policies in place to address AML/KYC issues	☐ Yes ☐ No If no, please provide details of any other processes or systems, or any planned policies, to address AML/KYC
The organization conducts mandatory training of the staff in relation to anti-money laundering/ combating the financing of terrorism (AML/CFT) risks	☐ Yes ☐ No If no, please provide details of any other measures to ensure staff understand the management of AML/CFT risks
Reputational	
Are there existing natural or legal persons who exercise control over the organization by other discernible means?	☐ Yes ☐ No If yes, please provide details
Have any public concerns been raised about the organization or its activities?	☐ Yes ☐ No If yes, please provide details: what was the nature of the concerns and how long ago were they raised? Did the police or a regulator investigate the concerns? What was the outcome?
Would any adverse publicity about the organization have a damaging effect on SIFI?	☐ Yes ☐ No If yes, please provide details
PEP: Does the organization hold (or has it held) a prominent/ leading public position; or is any representative of the organization a close family member of, or closely associated with such an individual and therefore qualifies as a PEP?	☐ Yes ☐ No If yes, please provide details
Sanctions: Does the organization or any other person closely associated with the organization have any business connections to sanctioned countries/regions (other than the nationality of individuals)?	☐ Yes ☐ No
Is it known or reasonably suspected that the organization is or has been involved in criminal or terrorist activities, or supports criminal or terrorist organizations?	☐ Yes ☐ No
Conflict of interest	
Does the organization have any conflicts of interest?	☐ Yes ☐ No If yes, please provide details
The organization has measures in place to address conflicts of interest	☐ Yes ☐ No If yes, please attach. If no, please provide rationale if any

Documents to be added:	
☐	Annual report of the last 2 years (audited financial statements; exception – newly established entities)
☐	Proof of existence (for newly created company – Certificate of Incorporation; for existing company – Certificate of Good Standing, Extract from the Commercial Register)
☐	Certificate of good standing
☐	Memorandum and Articles of Association
☐	Proof of Directors (for newly created company – Appointment of 1st directors (Minutes of Meeting); for existing company – Certificate of Incumbency / Current Appointment Report)
☐	Statutes (for newly created company – Articles of Incorporation; for existing company – Memorandum & Articles of Association & By-Laws)
☐	Authorized signatory list
☐	CVs of key persons
☐	Copy of the proposal budget or financial model of the investment vehicle
Documents to be added (investment vehicles only)	
☐	Pitch-deck of the investment vehicle
☐	PPM (Private Placement Memorandum) and subscription documents

Form 11 – Self-Declaration Form

The company will declare the following information. Deliberately providing false or misleading information on this form may result in administrative sanctions (incl. penalties) as well as withdrawal from the contract and recovery of payments made.

Litigations and lawsuits: Has the organization been involved in litigations and/or lawsuits in the last 10 years?	☐ Yes, please specify ☐ No
Liquidity: Is your financial liquidity solid?	☐ Yes, and if possible, provide bank statement ☐ No, please specify
Corruption: Has the organization been involved in cases of corruption in the last 10 years?	☐ Yes, please specify ☐ No
Tax fraud: Has the organization been involved in cases of tax fraud in the last 10 years?	☐ Yes, please specify ☐ No
Antitrust: Has the organization been involved in anti-trust related disputes in the last 10 years?	☐ Yes, please specify ☐ No
Supplier issues: Has the organization been involved in cases of supplier issues in the last 10 years?	☐ Yes, please specify ☐ No
Human rights issues: Has the organization been involved in cases of human rights issues in the last 10 years?	☐ Yes, please specify ☐ No
Health and environment: Has the organization been involved in cases of health and environmental damages?	☐ Yes, please specify ☐ No
Sexual abuse and harassment: Has the organization been involved in cases of sexual abuse and harassment in the last 10 years?	☐ Yes, please specify ☐ No