

CLIENT'S QUESTIONNAIRE

Responsible dept

Client number
(To be filled in by Bank)

Date

AS „Citadele banka”, Reģ. nr. 40103303559
Republikas laukums 2A, Rīga, LV-1010, Latvija

Dear Client! According to the provisions of the law and the standards of the international banking business, it is necessary for the bank to obtain the information as per questions listed in this questionnaire. The bank guarantees that the Client's personal data, data on the Client's accounts, deposits and deeds will be kept secret in accordance with the legislative requirements. Please fill in block letters. All amounts shall be indicated in EUR currency. **Thank you for your understanding!**

1. Basic information about the client

1.1. Company Name

1.2. Registration number

1.3. Legal status (e.g. JSC, Ltd. etc.)

1.4. Legal address

(street, house/building name or number, apartment/office No, city (region, inhabited place), zip code, country)

2. Contact information

2.1. Actual address of the main office

(street, house/building name or number, apartment/office No, city (region, inhabited place), zip code, country)

2.2. Address for mail correspondence:

2.2.1. legal address 2.2.2. actual address of the main office2.2.3. other

(street, house/building name or number, apartment/office No, city (region, inhabited place), zip code, country)

2.3. Phone: 2.3.1. office

2.3.2. Name of the Country/code

2.3.3. mobile

2.3.4. Name of the Country/code

2.4. E-mail

2.5. FAX

3. Contact person (the information provided herein will be used if the client can not be reached)

3.1. Type of Bank's service/operation, in reference to which the contact person is to be contacted if client can not be reached:

3.2. Name, surname

3.3. Identity number or date of birth

3.4. Actual address

(street, house/building name or number, apartment/office No, city (region, inhabited place), zip code, country)

3.5. Phone:

3.5.1. at work

3.5.2. at home

3.5.3. mobile.....

3.6. E-mail

3.7. FAX

4. Services, products of the Bank, which the client plans to use:

4.1. current account 4.2. savings account 4.3. term deposit 4.4. payment card 4.5. loan / Leasing4.6. currency transactions 4.7. transactions with financial instruments 4.8. remote account services4.9. other (specify)

11. Number of employees in the company

12. The financial report of the company shall be submitted to a state institution12.1. **NO**12.2. **YES** (specify, whether the financial report about the last reporting period has been submitted):12.2.1. **NO**12.2.2. **YES** (specify institution, where submitted):12.3. Financial report is available publicly: **NO** **YES** (specify the source):

13. The Client's statement of the Client's kind of activity and the beneficial owners**13.1 Does the Client render any of the following services within the framework of its business activity?**

- 1) acceptance of deposits (as the Client's main kind of activity) within the framework of banking or similar business;
- 2) trading in money market instruments (cheques, bills, derivatives, deposit certificates etc.), interest rate and index instruments, foreign exchange instruments, transferable securities or commodity futures traded on a regulated market dealing as per orders of its clients or on behalf thereof;
- 3) individual and/or collective securities portfolio management performed by the Client as per orders of its clients or on behalf thereof;
- 4) other investment, administration or management of financial assets on behalf of other persons;
- 5) savings insurance providing for life insurance operations with the accumulation of savings, including making investments on behalf of its clients and the obligation of disbursement of the capital accrued;
- 6) holding of financial assets of other persons (if the client's gross income from holding such assets and the rendering of related financial services makes at least 20% of the client's gross income).

13.1.1 **YES** (please submit Form W8-BEN-E or provide a GIIN number certifying the Client's FACTA compliance)13.1.2 **NO**

13.2. Does the Client have any beneficial owners¹ other than tax residents² of the Republic of Latvia?

(May be omitted if the Client's answer to Question 6 or 13.1 is 'Yes')

¹ **Beneficial Owner (BO)** - a natural person who is the owner of client - legal person or who controls the client, or on whose behalf, for whose benefit or in whose interests business relationship is being established or an occasional transaction is being executed, and it is at least:

- in the case of legal persons, a natural person who owns, in the form of direct or indirect shareholding, more than 25 per cent of the capital shares or voting stock of the legal person or who directly or indirectly controls it;
- in the case of legal arrangements, a natural person, who owns, or for whose interests a legal arrangement is established created or operating, or directly or indirectly exercises control over it, including the founder, trustee or supervisor (manager) of such entity.

² **A tax resident** means an individual whose income is subject to taxation under the laws and regulations of relevant country, e.g., based on the place of permanent residence, duration of the stay (usually 183 days and more in the period of 12 months), close personal or economic relations or other criteria serving as the basis for the taxation of income in the relevant country (e.g. in the US, inter alia a US citizen/resident who has been assigned a residence permit (Green Card) shall be deemed a US tax resident).

13.2.1 **YES**13.2.2 **NO**

13.3 If 'Yes', please specify the country in which the beneficial owner¹ is a tax resident and submit a statement of the Client's income structure³

13.3.1 Name of the Country 13.3.2 Name of the Country

13.3.3 Name of the Country 13.3.4 Name of the Country

³ Please consult with the Client's manager as to the necessity to fill in the statement

13.4. Does the Client have any beneficial owners¹ who are a politically exposed person⁴, family member of a politically exposed person⁵, or person closely associated to a politically exposed person⁶?

⁴ **A politically exposed person** – a natural person, who in the Republic of Latvia or in foreign countries occupies or has been entrusted with prominent public functions : head of State, head of state administrative unit (municipality), head of government , minister, deputy of minister or deputy of minister's deputy, state secretary or other upper level official in government or state administrative unit (municipality), member of parliament or member of other similar legislative bodies, member of governing bodies (board) of a political party, judge of constitutional court, higher court or judge in a different level court (member of court institutions), member of highest revision (audit) institution council or board, member of central bank's council or board, ambassador, charge affaires, chief officer in the armed forces, member of management or supervisory bodies of State – owned enterprises, Head of an international organization (director, deputy director), and member of the board or a person who is in a similar position in this organization.

⁵ **Family member of a politically exposed person** - politically exposed person's spouse or a person similar to spouse status (considered as such only if the law of according state stipulate this status), child, or a child of politically exposed person's spouse or a person similar to spouse status, his spouse or a person similar to spouse status, parent, grandparent, grandchild, brother or sister.

⁶ **Person closely associated to politically expose person** – natural person who has business or other type of close relationship with politically exposed person, who is a shareholder in the same legal entity as politically exposed person, or who has sole beneficial ownership of a legal arrangement which is known to have been set up for the de facto benefit of a politically exposed person.

13.4.1. **YES** (please provide information on the Client's beneficial owners who are a politically exposed person, family member of a politically exposed person, or person closely associated to a politically exposed person by filling in the Statement about beneficial owners)13.4.2. **NO**

14. Place(-s) where economic activity is carried out

14.1. Economic activity is carried out in the country of registration of the Company:

14.1.1. YES 14.1.2. NO (specify, in which country economic activity is carried out):

.....
.....
.....

14.2. Branches, representative offices in other countries:

14.2.1. DON'T HAVE 14.2.2. DO HAVE (specify actual address):

1.
2.
(street, house/building name or number, apartment/office No, city (region, inhabited place), zip code, country)

15. Planned monthly accounts' turnover in the Bank

15.1. Incoming payments

15.1.1. Purpose of payments:

- 15.1.1.1. proceeds from buyers or receipts of service
- 15.1.1.2. proceeds from participation in other companies
- 15.1.1.3. investments of owners of the company
- 15.1.1.4. loans
- 15.1.1.5. other (specify)

15.1.2. Partners from whom the payments are to be received:

Name	Country of registration	Country where the account, from which a payment will be made, is opened
1.		
2.		
3.		
4.		
5.		
6.		
7.		

15.2. Outgoing payments

15.2.1. Purpose of payments

- 15.2.1.1. payments for supplies and services
- 15.2.1.2. mandatory state payments (taxes, fees)
- 15.2.1.3. repayment of loans
- 15.2.1.4. administrative expenses
- 15.2.1.5. wages (specify periodicity: 15.2.1.5.1. once a quarter, 15.2.1.5.2. once a month, 15.2.1.5.3. once a week)
- 15.2.1.6. investments (specify investment sphere)
- 15.2.1.7. other (specify)

15.2.2. Partners to whom the payments are to be made:

Name	Country of registration	Country where the account, to which a payment will be made, is opened
1.		
2.		
3.		
4.		
5.		
6.		

15.3. Monthly transactions in accounts (EUR):

Transaction type	Quantity	Average turnover
15.3.1. Incoming transfers		
15.3.2. Cash deposits		
15.3.3. Outgoing payments		
15.3.4. Cash withdrawals		
15.3.5. Payments with a payment card for goods and services		
15.3.6. Cash withdrawals using a card		

