

The order of completion of “The Questionnaire of the Intrinsic Beneficial Owner”

The order of completion of “The Questionnaire of the Intrinsic Beneficial Owner” (for legal entities non-residents of the Republic of Latvia)

| No. | Name of the Section | Name of the Column | Necessity to complete | Notes |
|-----------------|--|--|---|---|
| 1. | Relation of the Intrinsic Beneficial Owner to the Bank | Customer is a legal person | | |
| | | Customer's name | Compulsory | To indicate corresponding data specified in the registration certificate or another registration document. |
| | | Customer's registration number | Compulsory | |
| | | Type of the monitoring of the Customer | Compulsory | To indicate in what way the intrinsic beneficial owner controls the Customer: - directly or indirectly, - or the intrinsic beneficial owner owns 25 or more percents of the basic capital of the Customer's company or voting shares of the Customer's company. |
| | | Status regarding the Customer | Compulsory | What relationship exists between the Customer and the intrinsic beneficial owner (business or personal relations) |
| | | Customer is a physical person | | |
| | | Customer's name and surname | Compulsory | |
| | | Customer's identity code/date of birth | Compulsory | LR residents should specify their identity codes. LR non-residents should specify their dates of birth (DD/MM/YYYY). |
| | | Type of the monitoring of the Customer | Compulsory | To indicate in what way the intrinsic beneficial owner controls the Customer (directly or indirectly). |
| 2. | Information about the Intrinsic Beneficial Owner | Name, surname | Compulsory | |
| | | Identity code/Date of birth | Compulsory | LR residents should specify their identity codes. LR non-residents should specify their dates of birth (DD/MM/YYYY). |
| | | Passport/other ID: | Compulsory | LR residents should indicate the series and the number of their passports. LR non-residents should specify the series (if such one exists) and the number of the identification document, which is considered as a general identification documents in the country of the Customer. |
| | | The institution issued the ID | Compulsory | To indicate the name of the institution that issued the respective identification document. |
| | | The date of issuance of the ID | Compulsory | To indicate the date when the respective identification document was issued. |
| | | The country issued the ID | Compulsory | To indicate the name of the country, where the respective identification document was issued. |
| | | The ID due date | Compulsory | To indicate the date the identification document is valid till (if it is indicated in the document). |
| | | Type of the business activities | Compulsory | To specify the intrinsic beneficial owner's business activities (the sphere of activities). |
| | | 3. | Contact Information of the Intrinsic Beneficial Owner | Address |
| Telephones, fax | Compulsory | | | |
| E-mail | Compulsory | | | |

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|---|---------------------------------------|-------------------|--|
| List of the enclosed documents¹ confirming information about the Intrinsic Beneficial Owner | | <u>Compulsory</u> | To specify the names of the documents confirming the above mentioned information about the intrinsic beneficial owner. Possible documents are: - the documents confirming the relation existing between the intrinsic beneficial owner (-s) and the Customer: the Articles of Association, other documents on relation with the capital of the company operating in the country of registration of the intrinsic beneficial owner etc; - the documents confirming the receipt of the income (profit) by the intrinsic beneficial owner (-s) from the Customer's activities: the protocol of distribution of the Customer's profit; the documents confirming distribution of dividends; the declaration/the income statement; the documents confirming transfer of the funds (income) from the Customer's account to the intrinsic beneficial owner's account etc. |
| Signatures | <i>The Intrinsic Beneficial Owner</i> | <u>Compulsory</u> | The intrinsic beneficial owner must put his signature, mark the date and the place of completion of the questionnaire. |
| | <i>The Official of the Bank</i> | <u>Compulsory</u> | The questionnaire should be signed by the official of the Bank or the representative of the Bank, who interviews the intrinsic beneficial owner. He should put the stamp as well. |

¹ Any other documents or information materials proving the intrinsic beneficial owner's status successively may be indicated:

Sample 1.

The person authorized to manage an account of the non-residential company registered in Switzerland, England, British Virgin Islands, Panama (of a joint-stock company or a partnership company) is not its founder in legal documents, but he/she has declared himself/herself as an intrinsic beneficial owner.

Such property form as the form of share warrants to the bearer can exist in the jurisdictions mentioned. The public registrar of the shareholders is not compulsory or is not kept in state institutions. The Customer has to provide the company's inner document – the extract from the registrar of the shareholders certified by the authorized representative of the company (its director, chairman of the board etc.) and the documents confirming the transfer of the joint-stock company to the new owner according to the requirements of the legislation system of the state of the non-residential company's registration (for instance, the agreement to sell the shares, the statement of transfer and acceptance of the shares, the rejection letter in favour of the new owner etc.).

Sample 2.

The person authorized to manage an account of the offshore company is its founder, who possesses a significant share of participation of 25% or more.

The Customer should provide the articles of association (the office copy or the copy certified by the registration institution) or any other document confirming the share ownership or right of the capital shares, the minutes of quota share and/or distribution of profit of the Customer, or the Bank statement confirming the receipt of income, or the income declaration acknowledged by the tax institution.

Sample 3.

The beneficial owners of the Customer – the offshore company engaged in trade with metal and basically working with the residential company, that is a trader of Russian metallurgical plant and executes operations through offshore with the purpose to optimise the taxation system are the owners of the plant. The person authorized to manage the account of the offshore company is one of the top-managers of the plant.

The Customer is to provide the documents proving his relation to the plant (for instance, an extract from the employment history or other document on existence of the labour relations) and the Bank statement on the residential trader company's account confirming the receipt of financial means for metal production and further transfer of a bigger part of them to the plant, and the agreement with the plant. Apart from that the Customer has to provide the documents on the structure of managerial bodies of the plant – resident of Russia and its owners specifying their identification data as the data of the intrinsic beneficial owners.

Sample 4.

The beneficial owner is the person authorized to manage the Customer's account, concurrently this person is an owner of another residential company, with what the Customer has the biggest turnover.

The following documents are necessary for verification: notarised warranty of authority to manage the account opened with AS “PARITATE BANKA” and documents of association of the residential company describing the said person's share in the nominal capital of the company and the statement confirming the turnover certified by the Bank.