

Customer interview– questionnaire For non-resident legal entities

The Customer's base No. _____

Dear Customer! Please fill in this interview-questionnaire.

The necessity to fill in this form and the obligation to provide information to the Bank is stipulated by the Law on the Prevention of Laundering the Proceeds from Criminal Activity and of Terrorist Financing of the Republic of Latvia (hereinafter referred to as the RL) and international banking standards in the sphere of control over the Customers' business activities, financial situation, sources of funds and transactions.

Thank you for cooperation!

1. Customer

1.1. Full title _____

1.2. Legal address _____

1.3. Registration number, state and date of registration _____

1.4. The name of the state, where the Customer is registered as a taxpayer _____

1.5. New Customer Customer of the Bank since (day/month/year) _____

2. Authorized person/-s (authorized signatories) of the Customer

2.1. Name, surname _____

Job title, _____

term of powers: (from – to): _____

Personal ID code */ Date of birth: _____

Another identification document

Series _____

Number _____

Country of issue and validity period of the identification document: _____

Are you a top-level official (head of government, politician, judicial authority, serviceman, head of a state company or institution) or a family member of such official?

No

Yes

Please state relationship _____

*Only applicable to RL residents

2.2. Name, surname _____

Job title, _____

term of powers: (from – to): _____

Personal ID code */ Date of birth: _____

Another identification document

Series _____

Number _____

Country of issue and validity period of the identification document: _____

Are you a top-level official (head of government, politician, judicial authority, serviceman, head of a state company or institution) or a family member of such official?

No

Yes

Please state relationship _____

* Only applicable to RL residents

3. Contact information

3.1. Name, surname of contact person: _____

3.2. Job title: _____

3.3. Telephone _____

Fax _____

E-mail _____

Website address _____

4. Information about the Customer

4.1. Information about the founders:

Company name	Name, surname	Reg. No.	Personal ID code*/Date of birth	How many % owns

4.2. Information about present shareholders, participants of the Customer:

Company name	Name, surname	Reg. No.	Personal ID code*/Date of birth	How many % owns

4.2.1. In what way the Beneficiary controls the Customer:

- Owns shares
 On the basis of trust statement (agreement)
 Other

4.2.2. Legal entity which issues or is entitled to issue bearer shares

Yes No

4.3. Type and description of the Customer's present owners' economic activities

4.4. Permanent location of representative offices, branches and other similar structural units (if any). State and address.

NO

4.5. Information about managerial bodies of the legal entity:

Structure of the legal entity's managerial bodies

Information about private individuals - members of executive bodies (name, surname, personal details)

4.6. Persons authorized to give binding instructions to the Customer or have the possibility to influence the Customer's decisions in other ways:

Name, surname	Personal ID code/Date of birth	Series/No. of ident. document	Country of issue	Validity period

4.7. Information about reorganization

Date: _____

4.8. Legal entities in which the Customer owns 25% or more percent of shares or fixed capital (subsidiaries and/or associated enterprises):

Company name	Reg. No.	Address	How many % owns

4.9. Does the Customer submit financial reports to the state institutions at the place of the Customer's registration or activities?

YES

Name of the institution

NO

4.10. Has the financial report for the last financial period been submitted?

YES

To what institution

NO

4.11. Are the financial reports available in public sources?

YES

Source

NO

5. Financial indicators of the Customer

5.1. Turnover for the last two years:

5.2. Planned turnover for the current year (only for the companies that provide reports)

5.3. The amount of assets at the end of the last two years:

5.4. Planned amount of assets at the end of the current year

5.5. Are documents on economic activities stored: YE Storage period NO

6. Economic activities of the Customer

6.1. Period of economic activities (years) <1 1 - 3 3 - 7 >7

6.2. Number of employees:

6.3. Permanent location of the head office (state and address):

6.4. State where main economic activities are carried out:

6.5. Source of income:

6.6. Source of financial means (of the initial capital):

6.7. Have there been changes in the type of economic YE NO
(Specify the previous type of business activities)

6.8. Does the Customer have accounts with other YE NO
Name of the bank and state of location

6.9. Information about presence of licenses (permits) to practice certain type of activities or operations: YE NO
If the answer is "Yes", please, provide a copy of the license (permit)

6.10. Indicate the field and type of business activities (product/service):

Organization of gambling – fill in the Annex to the questionnaire

Rendering encashment services Mediation in real estate transactions

Trade in precious metals and gemstones Trade in weapons and ammunition

Rendering reinsurance services:
the service provider is properly licensed, and monitoring of the service provider is carried out Yes No
the service provider has been rated by international rating agencies in the investment category Yes No

Rendering cash services (for example, cash desks, currency exchange offices, money transfer agents or other service providers offering money transfer possibilities)

A freelance accountant, lawyer or service provider in establishment and maintenance of a legal formation, who has opened in a financial institution an account in his/her name, in which he/she carries out financial transactions on behalf of customers (executor)

Agriculture Tourisms, hotel industry Telecommunications and connections Science and education

Information technologies Power industry Production operation (specify)

Trade (specify): Wholesale trade Retail trade

Transport services (specify)

Construction (specify)

Healthcare (specify)

Financial services (including Internet usage) – fill in the Annex to the questionnaire

Intermediary services (including Internet usage) – fill in the Annex to the questionnaire

Organization of auctions – fill in the Annex to the questionnaire

Insurance – fill in the Annex to the questionnaire

Financing pensions – fill in the Annex to the questionnaire



6.11. Brief description of business activities:

6.12. Are the Customer's activities of seasonal nature? YES NO

In which months may the turnover considerably increase?

6.13. Main business partners:

Name

Location of the company's head office (state)

Place of business activities

1 Is the business partner an AS "PrivatBank" Customer?

Brief description of interrelations (supplier/recipient/mediator)

Period of partnership

Name

Location of the company's head office (state)

Place of business activities

2 Is the business partner an AS "PrivatBank" Customer?

Brief description of interrelations (supplier/recipient/mediator)

Period of partnership

Name

Location of the company's head office (state)

Place of business activities

3 Is the business partner an AS "PrivatBank" Customer?

Brief description of interrelations (supplier/recipient/mediator)

Period of partnership

6.14. The Customer's interrelation with another Customer of the NO

The Customer's name

Account No.

7. Information on co-operation with the Bank

7.1. The purpose for account opening:

Acquisition of income from primary activities

Tax payments

Deposit, investments

Payments on primary activities, payment of expenses

Loan

Other (specify)

7.2. How did you know about the Bank?

Why have you decided to open an account with AS "PrivatBank"?

7.3. Which services of the Bank is the Customer planning to use?

Transactions in LVL

Transactions in other currencies

Cheques

Deposits

Crediting

Currency exchange

Payment cards

More than 20 payment cards

Trust operations

Documentary operations

Cash operations

Private banker's services

Trust services in the amount more than 200,000 lats (equivalent)

Currency market operations (monetary market contracts, trading in futures, Swap deals etc.)

Other

Loans secured with financial tools or a guarantee issued by a third-country credit institution, except in cases when REPO transactions are executed

8. Financial activities and data on financial means

8.1. Incoming payments

8.1.1 Planned sources of incoming payments:

earnings from customers or recipients of goods/services earnings from share holdings in other companies
 founders/proprietors' investments loans/credits other (specify) _____

8.1.2. Countries from which payments are coming:

Latvia European Union USA Canada Russia CIS countries (specify) _____
 Asia (specify) _____ (уточнить) _____ Other (specify) _____

8.1.3. Information about incoming payments:

specify in which currencies payments are planned LVL USD EUR _____ _____
Planned amount of operations within a month Planned maximum amount of one operation (in USD equivalent) Planned maximum turnover within a month (in USD equivalent)

8.1.4. Cash transactions (in USD equivalent)

Not planned

8.1.4.1. Planned maximum amount within one month _____

8.1.4.2. Planned maximum amount of one transaction _____

8.2. Outgoing payments

8.2.1. Information about outgoing payments

specify in which currencies payments are planned LVL USD EUR _____ _____
Planned amount of operations within a month Planned maximum amount of one operation (in USD equivalent) Planned maximum turnover within a month (in USD equivalent)

8.2.2. Payments (including purchases) paid by payment cards within one month

8.2.3. Cash transactions (including the transactions made by payment cards)* - the amount planned within 1 month

Not planned

8.2.4. Planned purposes of outgoing payments

payment for supplies of goods and investments / loans Obligatory state payments (taxes, fees)
 administrative expenses loans/credits remuneration (specify) _____
 credit repayment (granting loans) salaries other: _____

8.2.5. Countries to which transfers will be made:

Latvia European Union USA Canada Russia CIS countries (specify) _____
 Asia (specify) _____ Latin America (specify) _____ Other (specify) _____

* Please, specify the purposes for cash withdrawals: _____

Additional documents that can be provided to the Bank to confirm the Customer's financial stability and economical activity (for instance, reference letters from other banks/auditing companies/annual reports/the business plan etc.)

I hereby confirm that the information I have stated in the Questionnaire is true and complete. I undertake to notify the Bank in writing of any changes within 3 working days.

Notes:

In case the Customer provides incomplete and false information, refuses to provide information or fails to provide information within the terms specified by the Bank, the Bank is entitled to terminate business relations or demand early execution of the obligations by other Customers, whose beneficiaries are the same persons or who execute deals upon the same third persons' requests.

According to Article 195.1 of the Criminal Law of the Republic of Latvia the person, who has intentionally provided inadequate information to the Bank, which is entitled by the Law to request information about transactions and any financial means involved therein as well as the true proprietor of another property, or the actual beneficiary, can be held criminally liable, and criminal sanctions can be applied to this person.

Signatures

Customer		Bank representative	
Name, surname		Name, surname	
Date of filling in:	Place of filling in:	Date of filling in:	Place of filling in:
Stamp:	Signature:	Stamp:	Signature:

To be filled in by the Bank:

ANNEX TO THE CUSTOMER QUESTIONNAIRE

1. Customer

1.1. Full title

2. Authorized person/-s (signatories) of the Customer

2.1. Name, surname

2.2. Personal ID code */ Date of birth

* only applicable to RL residents

3. To be filled in by the Customers providing services in the sphere of gambling, organization of auctions, insurance, pensions financing, intermediary services and financial intermediary services:

3.1. Is the type of the Customer's activities to be licensed in the country of the Customer's activities?

YES NO

Has this licence been obtained?

YES NO

3.2. Does the Customer undergo regular inspections by any institution?

YES NO

Specify the name of the institution

4. To be filled in by the Customers carrying out additional activities in the sphere of financial intermediation (FI):

4.1. Does the Customer serve cash flows of other persons and does it organise settlements between different persons?

YES NO

4.2. The field of activities of FI:

payment cards brokerage services FOREX
 crediting trust other

4.3. Type of Customers:

Group of private individuals Group of legal entities

4.4. The host countries of the Customer's customers

4.5. Does the Customer fall under the group of legal entities that corresponds to a concern / FI group in its essence?

YES NO

Structure of the concern

Names of the legal entities falling under the FI Group:

4.6. Does the Customer have a permanent place of business?

YES NO

Address of the place of business

4.7. Does the Customer carry out identification of its customers, examine the origin of funds and store documents about it?

YES NO

Enclose copies of the procedures determining the "Know your customer" policy

4.8. Does the Customer have an institution supervising its activities?

YES NO

Name of the institution

4.9. Does the Customer have a licence to provide financial services?

YES NO