

Please complete in block letters and mark (X) where appropriate

Base number (to be filled in by the Bank) _____

CUSTOMER

Company name	
Registration number	Date of registration
Legal address	

GENERAL INFORMATION

Registered address of head office (country and address):

Country of main business activities:

Website address (if any): _____ Number of employees: _____

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

Company name	
Registration number	
Legal address	
Proportion of shares held (%)	

Does the Customer have accounts with other banks?

Yes (specify the bank name and country of location) _____

No

Customer's tax residence countries¹:

Tax residence country	taxpayer identification number	
Tax residence country	taxpayer identification number	
Tax residence country	taxpayer identification number	

I confirm that I have listed all tax residence countries, where the Customer is registered as a taxpayer, as well as all taxpayer identification numbers assigned to them.

INFORMATION TO BE PROVIDED ACCORDING TO FATCA²

Is Customer a US taxpayer?

No

Yes _____

Specify TIN³ number. Please, complete the attached W-9 form

Does Customer have a business unit, representation office, bureau, etc. in the United States?

No

Yes _____

Specify the name, TIN³ number and legal address of business unit

Mark if Customer (only US registered companies) is:

a non-profit organization

a tax-exempt organization according to US tax legislation

Is passive income⁴ equal to or more than 50% of Customer's total income in the previous calendar year?

No

Yes

Does Customer use at least 50% of assets for gaining passive income?

No

Yes

Is a US registered company among Customer shareholders/founders (shareholding 25% or more)?

No

Yes _____

Specify the name, TIN³ number, legal address, shareholding %

¹ According to the law On Taxes and Duties of the Republic of Latvia, the Bank shall report the State Revenue Service about the foreign taxpayers (non-residents) and accounts, which comply with the provisions of the law On Taxes and Duties.

² FATCA is a United States federal law – Foreign Account Tax Compliance Act. The intent behind FATCA is to keep US persons – subjects of FATCA, directly or indirectly holding any bank accounts, from tax evasion. According to inter-governmental agreement (IGA) between the Republic of Latvia and the United States on implementation of FATCA signed on 27 June 2014, every year Bank shall report the State Revenue Service of Latvia on subjects of FATCA and their accounts that comply with the requirements of FATCA, as well as accounts of persons who have refused to provide the information specified in the inquiry form.

³ TIN – US Tax Identification Number

⁴ Passive income is an income received from the passive activity of the company, i. e. rent from property, royalties, interest income on deposits, dividends (except for dividends received from transactions with financial instruments at the stock exchange).

DESCRIPTION OF ACTIVITIES

- 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)
- Rendering encashment services
- Mediation in real estate transactions
- Trade in precious metals and gemstones
- Organization of gambling*
- Rendering cash services (cash desks, currency exchange offices, money transfer agents or other service providers offering money transfer possibilities, etc.)*
- Rendering financial intermediary services (including via Internet)*
- Organization of auctions*
- Insurance, reinsurance*
- Financing pensions*
- Other (please specify) _____

* fill in the Annex to the Questionnaire

Brief description of business activities: _____

Does the Customer have licences (permits) to carry out the certain type of activities or transactions?

- Yes
- No

Have there been any changes in the nature of activities:

- Yes (please specify the previous type of business activities) _____
- No

Are the Customer's activities of seasonal nature?

- Yes (please specify months) _____
- No

CUSTOMER'S FINANCIAL INDICATORS

Turnover for the last year: _____
 Planned annual turnover: _____

INFORMATION ABOUT BUSINESS PARTNERS

Name of company	
Location of head office (city, country)	
Place of business activities	
Is the business partner an AS "PrivatBank" customer?	
Brief description of interrelations (supplier/recipient/mediator)	
Period of partnership	
Name of company	
Location of head office (city, country)	
Place of business activities	
Is the business partner an AS "PrivatBank" customer?	
Brief description of interrelations (supplier/recipient/mediator)	
Period of partnership	
Name of company	
Location of head office (city, country)	
Place of business activities	
Is the business partner an AS "PrivatBank" customer?	
Brief description of interrelations (supplier/recipient/mediator)	
Period of partnership	

Do You export to Russia? If yes, specify the type of goods.

- No Yes

Are Your partners somehow connected with the Crimea and Sevastopol?

If yes, specify the type of connection.

- No Yes

Customer's relation with other customers of the Bank:

<input type="checkbox"/> Common true beneficiary		
Name of customer	Account number	
<input type="text"/>	<input type="text"/>	
<input type="text"/>	<input type="text"/>	
<input type="checkbox"/> Common customer representative		
Name of customer	Account number	
<input type="text"/>	<input type="text"/>	
<input type="text"/>	<input type="text"/>	

INFORMATION ON COOPERATION WITH THE BANK

Planned sources of incoming payments:

<input type="checkbox"/> earnings from buyers or recipients of goods/services	
<input type="checkbox"/> earnings from share holdings in other companies	
<input type="checkbox"/> founders/proprietors' investments	
<input type="checkbox"/> loans	
<input type="checkbox"/> other (please specify)	<input type="text"/>

Information on incoming payments:

In which currencies payments are planned?	<input type="text"/>
From which countries payments will be received?	<input type="text"/>
Planned number of transactions within a month	<input type="text"/>
Planned maximum amount of one transaction (in USD equivalent)	<input type="text"/>
Planned maximum turnover within a month (in USD equivalent)	<input type="text"/>

Cash transactions (crediting an account):

<input type="checkbox"/> Not planned	
Planned maximum amount of one transaction (in USD equivalent)	<input type="text"/>
Planned maximum amount of transactions within one month (in USD equivalent)	<input type="text"/>

Information on outgoing payments:

In which currencies payments are planned?	<input type="text"/>
To which countries payments will be made?	<input type="text"/>
Planned number of transactions within a month	<input type="text"/>
Planned maximum amount of one transaction (in USD equivalent)	<input type="text"/>
Planned maximum turnover within a month (in USD equivalent)	<input type="text"/>

Cash transactions (cash withdrawals, including those using payments cards):

<input type="checkbox"/> Not planned	
Planned maximum amount of one transaction (in USD equivalent)	<input type="text"/>
Planned maximum amount of transactions within one month (in USD equivalent)	<input type="text"/>

The purpose of opening an account:

<input type="checkbox"/> Acquisition of income from primary activities	
<input type="checkbox"/> Payments on primary activities, payment of expenses	

The purpose of opening an account (continued):

<input type="checkbox"/> Deposits, investments	
<input type="checkbox"/> Loan	
<input type="checkbox"/> Other (please specify)	<input type="text"/>

How did you know about AS "PrivatBank"?	<input type="text"/>
Why did you decide to open an account with AS "PrivatBank"?	<input type="text"/>
	<input type="text"/>

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

<input type="checkbox"/> Transfers, currency exchange transactions	
<input type="checkbox"/> Crediting	
<input type="checkbox"/> Loans secured with financial tools or guarantees issued by third-country credit institutions, except in cases when REPO transactions are executed	
<input type="checkbox"/> Currency market transactions (monetary market contracts, trading in futures, Swap deals etc.)	
<input type="checkbox"/> Ordering more than 20 payment cards	
<input type="checkbox"/> Trust transactions	
<input type="checkbox"/> Trust services in the amount more than EUR 300,000 (equivalent)	
<input type="checkbox"/> Documentary transactions	
<input type="checkbox"/> Deposits	
<input type="checkbox"/> Other (please specify)	<input type="text"/>

ANNEX TO THE QUESTIONNAIRE

Field of activity of the financial intermediary:

- Payment cards
- Brokerage services
- FOREX
- Crediting
- Trust
- Other (please describe) _____

Type of the Customer's customers:

- Individuals
- Legal entities

Countries of location of the Customer's customers _____

Does the Customer fall under the group of legal entities that corresponds to a concern/financial intermediary group in its essence?

Yes (please specify the structure and names of legal entities included in the concern/group) _____

No

Does the Customer carry out identification of its customers, examine the origin of funds and store relevant documents?

- Yes
- No

Does the Customer have an institution supervising its activities?

- Yes (name of institution) _____
- No

I confirm that the information given in this inquiry form is true and complete. I undertake within three (3) business days to notify the Bank in writing of any changes regarding the information specified herein.

I hereby acknowledge that I have got acquainted with the restrictive measures (sanctions) of the European Union (EU)* with regard to illegal annexation of Crimea and Sevastopol and actions of the Russian Federation aimed at destabilizing Ukraine, and undertake not to make any transactions falling under the above-mentioned sanctions.

* Information on EU sanctions is available at <http://www.privatbank.lv/en/about/informacija-o-mezhdunarodnyh-sankcijah-v-sv-azi-s-situacijeh-v-ukraine/>.

NOTES (TO BE FILLED IN BY THE BANK)

On behalf of the Customer:

Customer representative (name, surname)

Signature, seal

Date

Place of signing (city, country)

On behalf of the Bank:

Bank representative (name, surname)

Signature, seal