

Tel.: 8000 1515, www.privatbank.lv

Dear customer! This questionnaire shall be completed according to the recommendations of the Financial and Capital Market Commission of the Republic of Latvia and international banking standards in the sphere of control over economic activities of the customer, which are binding on all credit institutions registered in the Republic of Latvia, as well as on subsidiaries of foreign credit institutions registered in Latvia. This information is intended for internal use only, and the Bank guarantees confidentiality of information according to article 61 of the Credit Institutions Law on of the Republic of Latvia.

CONTACT INFORMATION

Name, surname of contact person	<input style="width: 90%;" type="text"/>		
Telephone	<input style="width: 90%;" type="text"/>	Fax	<input style="width: 90%;" type="text"/>
E-mail	<input style="width: 90%;" type="text"/>	Company website address	<input style="width: 90%;" type="text"/>

COMPANY INFORMATION

Company name / reg. No. (Customer)		<input style="width: 90%;" type="text"/>	
Legal entity which issues or is entitled to issue bearer shares	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Information on licenses (permits) to carry out certain activities or transactions	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Country of principal business	<input style="width: 80%;" type="text"/>	Number of employees	<input style="width: 80%;" type="text"/>
Countries of tax residence of the Customer ¹ :			
Country of tax residence	<input style="width: 80%;" type="text"/>	Taxpayer number	<input style="width: 80%;" type="text"/>
Country of tax residence	<input style="width: 80%;" type="text"/>	Taxpayer number	<input style="width: 80%;" type="text"/>
<input type="checkbox"/> I certify that I have listed all countries of tax residence, where the Customer is a taxpayer, as well as all taxpayer numbers of the Customer.			
Is a US-based company among the shareholders/founders of the company (at least 25% shareholding)?			
<input type="checkbox"/> No			
<input type="checkbox"/> Yes <input style="width: 80%;" type="text"/>			
Indicate the name, TIN ² , registered address, and shareholding (%)			
Does the company have any branches, representative offices, etc. in the USA?			
<input type="checkbox"/> No			
<input type="checkbox"/> Yes <input style="width: 80%;" type="text"/>			
Indicate the name, TIN ² and registered address of the structural unit			
Does passive income ³ make 50% or more of the Customer total income for the previous calendar year?			
<input type="checkbox"/> No			
<input type="checkbox"/> Yes			
Do at least 50% of the Customer assets generate passive income?			
<input type="checkbox"/> No			
<input type="checkbox"/> Yes			
Sources of cash assets used in business activity			
<input style="width: 90%;" type="text"/>			
<input style="width: 90%;" type="text"/>			
Principal business partners (company names)			
<input style="width: 90%;" type="text"/>			
<input style="width: 90%;" type="text"/>			
Company accounts with other Banks	<input type="checkbox"/> European banks	<input type="checkbox"/> CIS banks	<input type="checkbox"/> Latvian banks
	Other <input style="width: 80%;" type="text"/>		
Purpose of opening of account	<input type="checkbox"/> To receive income from principal activity	<input type="checkbox"/> Tax payments	
	<input type="checkbox"/> Operating expenses, other expenditure	<input type="checkbox"/> Deposits, investments	
	<input type="checkbox"/> Other (please specify) <input style="width: 80%;" type="text"/>		
Are you participating or planning to participate in public procurements?			
<input type="checkbox"/> Yes <input type="checkbox"/> No			
Which banking services are you planning to use?	<input type="checkbox"/> EUR transfers	<input type="checkbox"/> Transfers in other currencies	<input type="checkbox"/> Payment cards <input style="width: 50px;" type="text"/> quantity
	<input type="checkbox"/> Cash transactions	<input type="checkbox"/> Credit facility	<input type="checkbox"/> Foreign exchange
	<input type="checkbox"/> Cheques	<input type="checkbox"/> Deposits	<input type="checkbox"/> Trust services / financial instruments
	<input type="checkbox"/> Trust services exceeding 300,000 euro (equivalent)	<input type="checkbox"/> Private banking	
	<input type="checkbox"/> Loans secured by financial instruments or a guarantee, issued by a third-country credit institution, except REPO transactions		
	<input type="checkbox"/> Documentary operations	<input type="checkbox"/> Other	<input style="width: 80%;" type="text"/>

PRINCIPAL ACTIVITY OF COMPANY (NACE CODE)

Principal activity of company	<input style="width: 90%;" type="text"/>	
	NACE code	Breakdown; to be completed by the Customer.
Account activity of Customer	<input style="width: 90%;" type="text"/>	
	Code	To be completed by the manager on the basis of Customer-provided information and NACE codes.
Product / service breakdown	<input style="width: 90%;" type="text"/>	

¹ According to the law On Taxes and Duties of the Republic of Latvia, the Bank shall provide information to the State Revenue Service of the Republic of Latvia about non-resident taxpayers and their accounts, which comply with the provisions of the law On Taxes and Duties.

² TIN means US taxpayer identification number.

³ Passive income means the income from passive activity of a company, such as leasing or letting of property, royalties, interest income on deposits, dividends (except dividends from trading in financial instruments on stock exchange).

TRANSACTION INFORMATION

Transaction type	Currency	Estimated number of transactions per month	Estimated maximum amount of a transaction	Estimated maximum turnover per month
Payment transactions (including payment card settlements)				
Cash transactions (including payment card transactions)				

Is your business of irregular (seasonal) nature? Yes No
 If so, please, specify the months when a significant increase in turnover is expected. _____

Please, mark the regions of economic activity of your counterpart: specify the country and type of cooperation (goods or services).

<input type="checkbox"/> Latvia	_____	<input type="checkbox"/> USA, Canada	_____
<input type="checkbox"/> European Union	_____	<input type="checkbox"/> Asia	_____
<input type="checkbox"/> Latin America	_____	<input type="checkbox"/> Other	_____
<input type="checkbox"/> Russia and CIS	_____		

Do you export to Russia? If so, specify the type of goods. No Yes
Do your counterparties have any relation to Crimea or Sevastopol? Specify the type of relation. No Yes

IDENTIFICATION CARD OF TRUE BENEFICIARY

The true beneficiary of an individual customer is a natural person who controls (directly or indirectly) a customer of the Bank, or in whose interests transactions are made. If transactions are conducted in the interests of a legal entity, see the Legal Entities section.
 The true beneficiaries of a legal entity are all natural persons who own at least 25% of such legal entity's equity capital or voting shares (including directly or indirectly obtained shareholding); who control the legal entity directly or indirectly (via other legal entities), and in whose interests transactions of such legal entity are executed.

I certify that I am the owner and true beneficiary of the funds on the account.

Tax residence countries⁴:

Tax residence country	_____	taxpayer number	_____
Tax residence country	_____	taxpayer number	_____

I certify that I have stated all tax residence countries where in the capacity of a true beneficiary I am a taxpayer, as well as all my taxpayer numbers.

I certify that the true beneficiary(-ies) of the financial resources, in whose interests transactions are conducted, is (are) the following natural person(-s):

Name, surname	Personal information (ID number/date of birth; number, date and issuing authority of personal identity document)	Tax residence countries and taxpayer numbers
_____	_____	_____
_____	_____	_____
_____	_____	_____

I certify that I have stated all tax residence countries where the specified true beneficiary(-ies) is (are) a taxpayer(-s), as well as all their taxpayer numbers.
 This information is provided in agreement with the true beneficiary(-ies).

I submit to the Bank a copy of the identity document and other documents that prove the above information (the copies should be marked *To be submitted to AS PrivatBank*).

Pursuant to Section 195¹ of the Criminal Law of the Republic of Latvia, a person, who deliberately provides false information to a bank, which is authorised by law to request information regarding a true beneficiary, is subject to criminal liability and imposition of criminal punishment.

Notes _____

SIGNATURES

Customer		Representative of the Bank	
Company name		Name, surname	
Name, surname	Position		
Date of completion	Place of completion		
stamp	signature	stamp	signature

Brief description of the Customer's activity according to their oral information _____

The Application Form was approved on 15.08.2017 at the Bank Board's meeting (Minutes No. 44/2017)

⁴ According to the law On Taxes and Duties of the Republic of Latvia, the Bank shall provide information to the State Revenue Service of the Republic of Latvia about non-resident taxpayers and their accounts, which comply with the provisions of the law On Taxes and Duties.