

## BENEFICIAL OWNER IDENTIFICATION CARD\*

\_\_\_\_/\_\_\_\_/20\_\_\_\_

Complete in BLOCK CAPITALS

Approved by Board of JSC "Rietumu Banka", Minutes No. 7, February 20, 2009

**Client** \_\_\_\_\_  
(full name)

**Reg. No. / Passport No. / ID card No. / ID number** \_\_\_\_\_

**I hereby certify that the beneficial owner of the Customer's funds is:**

**Name** \_\_\_\_\_ **Surname** \_\_\_\_\_

ID number \_\_\_\_\_ Date of birth \_\_\_\_\_

Passport No. / ID card No. \_\_\_\_\_ Country of residence code \_\_\_\_\_ Country of citizenship code \_\_\_\_\_

Issued \_\_\_\_\_

Residential address \_\_\_\_\_

**Please, specify sources of the beneficial owner's funds:**

- royalties / rewards
- interest receivable and dividends
- income received as a result of:
  - capital share (stocks) sale
  - private property sale
  - inheritances / gifts
  - rent
  - other (specify in detail) \_\_\_\_\_

**The beneficial owner's employment sector** \_\_\_\_\_

**Is the beneficial owner or his/her close relatives classified as politically exposed persons? \*\***

- No       Yes (provide a detailed answer) \_\_\_\_\_

**How is the beneficial owner related to the company? (for corporate entity only):**

- owns the company's stocks
- trust deed signed between the interest bearer and the registered owners of the company
- other (specify) \_\_\_\_\_

**By signing below, I confirm the authenticity of the information provided above. I undertake to give immediate written notice to the Bank regarding any substantial changes in the provided information.**

**Client** \_\_\_\_\_  
(name, surname)

X \_\_\_\_\_  
(signature)

\*Beneficial owner is a private entity: a) who owns or indirectly controls at least 25 percent of the share capital or voting rights of a merchant or exercises other control over the merchant's operation, b) who, directly or indirectly, is entitled to the property or exercises a direct or an indirect control over at least 25 percent of a legal arrangement other than a merchant. In case of a foundation, a beneficial owner shall be a person or a group of persons for whose benefit the foundation has been set up. In the case of political parties, societies and cooperative societies, a beneficial owner shall be the respective political party, society or cooperative society, c) for whose benefit or in whose interest a business relationship is established, d) for whose benefit or in whose interest a separate transaction is made without establishing a business relationship (in the meaning of the "Law on the Prevention of Laundering the Proceeds from Criminal Activity (Money Laundering) and of Terrorist Financing of the Republic of Latvia");

\*\* Political exposed person (PEP) is a private entity, who: a) in any other EU-country or a country of the 3rd country occupies any of the following positions: Country President, Minister President, Minister, Deputy Minister or Deputy Vice Minister, Secretary of State, Member of Parliament, Supreme Court Judge, Constitutional Court Judge, Council or Board member of a supreme auditing organisation, Council or Board member of Central Bank, Ambassador, charge d'affaires, highest ranking military officer, Council or Board member of a government-owned enterprise, as well as all entities, who have recently (within one year) resigned from the aforementioned positions; b) is a parent, spouse, or an equated entity, a child, its spouse or an equated entity, mentioned in clause a) of this definition; an entity equated to PEP's spouse is only the entity, whose status and rights are defined by a particular country's Law; c) is known as having business relationships with any of PEPs mentioned in clause a) of this definition, or which owns a capital of a commercial enterprise in partnership with PEP, as well as a private entity, which is the only owner of a corporate entity known to be established in a benefit of PEP.