

INFORMATION ON BENEFICIAL OWNER OF COMPANY

Date (dd/mm/yyyy) ____/____/20____ **COMPLETE IN BLOCK CAPITALS** Approved at JSC "Rietumu Banka" Board Meeting on May 20, 2016, Minutes No. 25

Company _____
(full name)

Registration No. _____

INFORMATION ON BENEFICIAL OWNER¹ OF THE COMPANY

1. Name, surname _____

Date of birth (dd/mm/yyyy) ____/____/____ **Passport / Identity document No.** _____

Place of birth: _____
(country, province, state, region / district, city, settlement)

Actual residence address: _____
(country, city, house, street, flat, postal code)

Contact details: Phone + _____ E-mail _____
(country code)

Please state the country(-ies) and/or place(-s), where the Beneficial Owner is a tax resident, and the taxpayer identification number, assigned to the Beneficial Owner as a tax resident²:

_____	_____
(country or place of tax residence)	(taxpayer identification number)
_____	_____
(country or place of tax residence)	(taxpayer identification number)
_____	_____
(country or place of tax residence)	(taxpayer identification number)

Income sources:

royalties / rewards private property sale rent
 dividends / interest payments gift deeds / inheritance
 sale of own capital shares (stakes) other (please state) _____

Form of shareholding in the Company capital:

direct owner according to an agreement (trust, etc.)
 other (please state) _____

Is the Beneficial Owner or his/her close relatives classified as politically exposed persons³ or members of the family of a politically exposed person⁴, or persons closely related to a politically exposed person⁵? Yes No

Is the Beneficial Owner a citizen and/or tax resident of the United States of America (USA)? Yes No

▪ a copy of passport must be enclosed

2. Name, surname _____

Date of birth (dd/mm/yyyy) ____/____/____ **Passport / Identity document No.** _____

Place of birth: _____
(country, province, state, region / district, city, settlement)

Actual residence address: _____
(country, city, house, street, flat, postal code)

Contact details: Phone + _____ E-mail _____
(country code)

X _____ Company Representative signature

Please state the country(-ies) and/or place(-s), where the Beneficial Owner is a tax resident, and the taxpayer identification number, assigned to the Beneficial Owner as a tax resident²:

(country or place of tax residence)	(taxpayer identification number)
(country or place of tax residence)	(taxpayer identification number)
(country or place of tax residence)	(taxpayer identification number)

Income sources:

<input type="checkbox"/> royalties / rewards	<input type="checkbox"/> private property sale	<input type="checkbox"/> rent
<input type="checkbox"/> dividends / interest payments	<input type="checkbox"/> gift deeds / inheritance	
<input type="checkbox"/> own capital share (stakes) sale	<input type="checkbox"/> other (please state) _____	

Form of shareholding in the Company capital:

<input type="checkbox"/> direct owner	<input type="checkbox"/> according to an agreement (trust, etc.)
<input type="checkbox"/> other (please state) _____	

Is the Beneficial Owner or his/her close relatives classified as politically exposed persons³ or members of the family of a politically exposed person⁴, or persons closely related to a politically exposed person⁵? Yes No

Is the Beneficial owner a citizen and/or tax resident of the United States of America (USA)? Yes No

- a copy of passport must be enclosed

¹**Beneficial Owner** – a private entity: a) who owns or directly or indirectly controls at least 25 percent of the merchant’s share capital or voting right shares or exercises any other control over the merchant’s operation; b) who is directly or indirectly 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 the case of a foundation, a beneficial owner is considered to 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 business relationships have been established; d) for whose benefit or in whose interest a separate transaction has been made without establishing business relationship (within the meaning of the Law of the Republic of Latvia on the Prevention of Laundering the Proceeds Derived from Criminal Activity (Money Laundering) and Terrorist Financing).

²JSC “Rietumu Banka” shall collect and annually provide information and data on its Clients and/or Beneficial Owners of the Client to the State Revenue Service of the Republic of Latvia within the framework of the Standard for Automatic Exchange of Financial Information in Tax Matters in circumstances and order stipulated by legislation of the Republic of Latvia.

³**Politically exposed person** – a person who is entrusted or has been entrusted with prominent public functions in the Republic of Latvia, in another EU or EEA Member State or a third country, including the head of the state, the head of administrative unit (municipality) of the state, the head of the government, a minister (a deputy minister or an assistant deputy minister, if such a position exists in the state), a state secretary or another high-ranking official in the government or in the administrative unit (municipality) of the state, a member of the parliament or a similar legislative framework, a member of the governing body (board) of a political party, a judge of the constitutional court, a judge of the supreme court or a judge of another court (member of a judicial institution), a member of the council or of the board of the supreme audit institution, a member of the council or of the board of a central bank, an ambassador, a chargé d'affaires, a high-ranking military officer, a member of the council or of the board of a state-owned enterprise, the head (director, deputy director) of an international organization and a member of the board or a person who holds an equivalent position in that organization.

⁴**Member of the family of a politically exposed person** – a person who is: a) a spouse of a politically exposed person or a person equivalent to a spouse. A person shall be treated as equivalent to a spouse provided that the laws of the respective country contain a provision for such status, b) a child of a politically exposed person or a child of a spouse of a politically exposed person, or of a person equivalent to a spouse, his/her spouse or a person equivalent to a spouse, c) parents, grandparents and grandchildren of a politically exposed person, d) brothers and sisters of a politically exposed person.

⁵**Person closely related to a politically exposed person** – a private individual who is publicly known to have business relationship or other close relationship with a politically exposed person, or who is a shareholder or a participant in the same commercial company with any politically exposed person, and a private individual that is a sole owner of a legal arrangement that is known to be established for the benefit de facto of any politically exposed person.

JSC “Rietumu Banka” is entitled to request and the Client shall timely provide any information and documents, confirming data stated above.

X _____ Company Representative signature

INFORMATION ACKNOWLEDGEMENT

Hereby I confirm with the signature that all countries and/or territories, where the Beneficial Owner(-s) is/are tax resident(-s), have been stated.
Hereby I confirm with the signature the authenticity of the provided information. The Company undertakes to immediately inform JSC "Rietumu Banka" about any changes in the provided information, if any, in writing.
I hereby confirm with my signature that I am aware of the liability, including criminal responsibility for providing false data or willful non-disclosure of information.
Hereby I confirm with the signature that I give my consent to the Bank to verify the information stated in the Appendix herein.

I acknowledge as having read and agree with the Terms and Conditions of JSC "Rietumu Banka" and Client Agreement and the Bank's tariffs

Company Representative _____ **Position** _____
(name, surname)

Signature _____ Date ____/____/20____

Rietumu ID _____ **Test Key** _____

TO BE COMPLETED BY THE BANK EMPLOYEE

I confirm the identity and the signature of the Company Representative

Passport / Identity document No. _____

(name, surname)

Signature _____ Date ____/____/20____