



JSC "RIETUMU BANKA"
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 www.rietumu.com

CLIENT REGISTRATION CARD CORPORATE ENTITY

Date

Approved by the Board of JSC "Rietumu Banka", Minutes No. 77, 04.11.2022

COMPLETE IN BLOCK CAPITALS

Client (full name)

Registration No.

Address of the actual location of the company (street, house, office)

City Country Postal code

CLIENT'S BUSINESS ACTIVITY

Client's principal activity (please indicate specialization)

Client's additional type of activity (please indicate specialization)

Whether a licence or special registration is required for the operation? No Yes (please fill in Appendix No. 1)

Please specify whether the Client's activity/service is any of the below specified areas?

- | | |
|---|---|
| <input type="checkbox"/> credit institution | <input type="checkbox"/> insurance company |
| <input type="checkbox"/> savings and loans cooperative | <input type="checkbox"/> reinsurance company |
| <input type="checkbox"/> fundraising institutions and lenders (lombard) | <input type="checkbox"/> insurance mediatory |
| <input type="checkbox"/> alternative investment fund manager | <input type="checkbox"/> payment services provider |
| <input type="checkbox"/> non-profit organisation (association or fund) | <input type="checkbox"/> investment management company |
| <input type="checkbox"/> trade with precious metals and/or gemstones | <input type="checkbox"/> financial instruments market participant |
| <input type="checkbox"/> trade in arms and/or military equipment | <input type="checkbox"/> investment services provider |
| <input type="checkbox"/> intermediation in real estate transactions | <input type="checkbox"/> pension fund |
| <input type="checkbox"/> legal services (if the account will be used for carrying out transactions on behalf of the Client) | <input type="checkbox"/> gambling organisation |
| <input type="checkbox"/> accounting services (if the account will be used for carrying out transactions on behalf of the Client) | <input type="checkbox"/> collection services |
| <input type="checkbox"/> registration and servicing of legal establishments (if the account will be used for carrying out transactions on behalf of the Client) | |
| <input type="checkbox"/> no | |

Detailed description of Client's business activities and planned transactions:

Number of employees

Key countries of purchase of products and services:

Key countries of sale of products and services:

X

(signature of Client's Representative)

Key partners of purchase of products and services

(please specify name, registration country, country of business, type of activity, website address):

1. _____

2. _____

3. _____

Key partners of sale of products and services

(please specify name, registration country, country of business, type of activity, website address):

1. _____

2. _____

3. _____

Whether the Client belongs to a group or an association of companies? No Yes (please specify the composition of the group or association of companies, including the Client's role in the group/association):

Nº	Name of the company	Role in the group/association	Country of registration	Servicing bank
1				
2				
3				

Does the Client's business activity relate to the Republic of Latvia? NO (please explain the reason for opening the current account with JSC "Rietumu Banka" in Riga, Republic of Latvia):

 Yes (please specify): business activity is carried out in the Republic of Latvia office in the Republic of Latvia business partners in the Republic of Latvia employees in the Republic of Latvia company is run from the Republic of Latvia real estate in the Republic of Latvia Client's beneficial owner and/or representative has a passport/identity card or a residence permit in the Republic of Latvia other (please specify) _____**Client's relation with the registration country is approved by** (please specify): agreements entered into with partners of the registration country office lease agreement in the registration country employment contracts with employees in the registration country documents approving the ownership of the real estate in the registration country Client's beneficial owner and/or representative has a passport/identity card or a residence permit in the registration country other (please specify) _____

X

(signature of Client's Representative)

IDENTIFICATION OF THE CLIENT AS A POLITICALLY EXPOSED PERSON

Are/were the Beneficial Owner¹ or the holder of shares of the Client 's company, or the Client 's officials/authorised representatives, and their family members classified as politically exposed persons² or members of the family of a politically exposed person³, or persons closely related to a politically exposed person⁴?

No Yes (please fill out the Politically exposed person's identification card)

DECLARATION IN ACCORDANCE WITH U.S. FATCA

I hereby certify that corporate entity: is not is a tax resident of the United States of America (USA)

FINANCIAL INFORMATION

Sources of funds:

- investments of company owners
- income and/or interest receivable from business activity
- subsidies (please specify the source) _____
- borrowings (please specify the source) _____
- other (please specify) _____

Description of planned transactions on the current account(s)

- Types of payments:** state compulsory payments salaries investments administrative costs payments for goods and services loans other (please specify) _____

Transaction currencies: _____ **Average monthly volume of transactions (EUR)** _____

Number of transactions per month _____ **The maximum monthly volume of transactions (EUR)** _____

Volume of payments per month: to private individuals _____ % to corporate entities _____ %

Average monthly cash transactions, including volume of ATM cash withdrawals _____ %

Please explain the necessity of cash transactions: _____

Average monthly balance planned on the current account (EUR) _____

Does the company have to submit regular financial reports in its place of registration or activity?

No Yes (please specify the institution, which collects financial reports) _____

For what period was the last financial report submitted? _____

Is the report available for public access? Yes _____ No (please specify the source)

Whether the Client has accounts in other banks/payment institutions?

No

Yes (please specify): _____ (name of the bank/payment institution) _____ (country of registration)

_____ (name of the bank/payment institution) _____ (country of registration)

GENERAL INFORMATION

Whether the stamp must be used for signing the documents in paper form on behalf of the Client? No Yes*

* please fill in Appendix No. 2

¹ **Beneficial owner** – a natural person who owns or controls a client-corporate entity or a legal arrangement, or for whose benefit or in whose interests the business relationship is being established or an individual transaction is being executed, and it is at least:

- a) in respect of corporate entities – a natural person who owns or directly or indirectly controls over 25 per cent of the corporate entity's fixed capital or the voting shares, or who directly or indirectly controls the corporate entity's activity;
- b) in respect of legal establishments – a natural person who owns or in whose interests a legal establishment is created or operates, or who directly or indirectly exercises the control over it, including who is the founder, trustee or supervisor (manager) of this establishment.

X

(signature of Client's Representative)

² **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.

³ **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.

⁴ **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.

DECLARATION

According to the Law on the Prevention of Money Laundering and Terrorism and Proliferation Financing of the Republic of Latvia and recommendations of the Financial and Capital Market Commission that are in line with international banking standards, banks of the Republic of Latvia have to be informed about clients' business activity and have to possess all documents that approve this information (the law is published on the web site of Financial and Capital Market Commission <http://www.fktk.lv/en/law/general/laws/>). Throughout the cooperation with the Client the Bank is entitled to require and the Client is obligated to provide the Bank with documents (in the line with Terms and Conditions of JSC "Rietumu Banka" and Client Agreement) necessary to comply with the provisions of the Law, including:

- documents that defines the Client's business activity;
- documents that approve sources of funds, and social and financial status of the beneficial owner;
- information on the Client's main partners, their role and position in the Client's business;
- information on volumes of transactions planned and their financial justification;
- information on any changes in the Client's or his/her beneficial owner's business activity, which the Client is obligated to inform the Bank about.

If the Client fails to comply with the above mentioned requirements and obligations, the Bank is entitled to terminate relations with the Client unilaterally (in line with Terms and Conditions of JSC "Rietumu Banka" and Client Agreement).

The Client declares that he/she has got acquainted with this Declaration and understands the requirements of the Bank for submission of information and documents in line with the Law on the Prevention of Money Laundering and Terrorism and Proliferation Financing of the Republic of Latvia, and possible consequences for failing to comply with the obligations vested in him/her.

JSC "Rietumu Banka" is entitled to request from the Client and the Client shall timely provide any information and documents, confirming details provided in the Client Registration Card.

The Client undertakes to immediately inform JSC "Rietumu Banka" about any changes in the above-stated information in writing.

Hereby I confirm that all information provided herein is true.

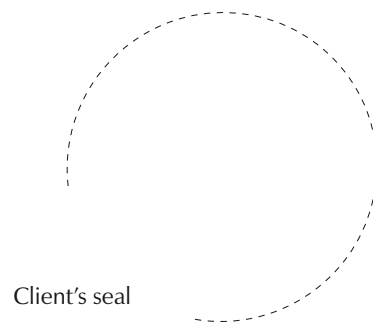
Hereby I confirm that I am aware of the liability, including criminal responsibility for providing false data or wilful non-disclosure of information.

I acknowledge that I have read and agree to the Client Personal Data Protection Notice (available on the website www.rietumu.com).

Client represented by _____
(name, surname)

X _____
(signature)

Rietumu ID _____ Test-key _____



TO BE COMPLETED BY BANK EMPLOYEE

I confirm the identity and signature of the Client's Representative

Passport / Identity document No. _____

(name, surname) X _____
(signature)

Date / / 20

Documents are checked by

(name, surname) X _____
(signature)

Date / / 20

Bank's notes _____

Client's CREF