



JSC "RIETUMU BANKA"  
VESETAS 7 / RIGA  
LV-1013 / LATVIA  
REG. No. 40003074497 / RTMBLV2X  
BLOOMBERG: RIET  
TELEPHONE +371 67025555  
FAX +371 67025588  
info@rietumu.lv  
www.rietumu.com

## BENEFICIAL OWNER'S<sup>1</sup> IDENTIFICATION CARD

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

Approved by the Board of JSC "Rietumu Banka", Minutes No. 43, 01.09.2021

COMPLETE IN BLOCK CAPITALS

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

Registration No. \_\_\_\_\_

**Client's Beneficial Owner: Name** \_\_\_\_\_ **Surname** \_\_\_\_\_

**To be completed in case the Beneficial Owner is a citizen / non-citizen of the Republic of Latvia:**

Identity number \_\_\_\_\_

**To be completed in case the Beneficial Owner is a citizen of another country:**

Passport / Identity document No. \_\_\_\_\_

**! If the Beneficial Owner is not JSC "Rietumu Banka" Client's Representative specify the following information:**

Date of birth (day/month/year) \_\_\_/\_\_\_/\_\_\_\_\_

Passport / identity document issued on (day/month/year) \_\_\_/\_\_\_/\_\_\_\_\_

Issuing country and institution of passport / identity document  
\_\_\_\_\_  
\_\_\_\_\_

**! A copy of passport is to be attached to this Beneficial Owner's Identification Card**

**Beneficial Owner's place of birth: Country** \_\_\_\_\_

Province, state, region / district, town, settlement \_\_\_\_\_  
\_\_\_\_\_

Residential address: \_\_\_\_\_  
(street, house, flat, town, country, postal code)

Phone + \_\_\_\_\_  
(country code)

**Source(-es) of the Beneficial Owner's funds:**

royalties / rewards  interest receivable and dividends

Income received from:  capital share (stocks) sale  private property sale

inheritance / gifts  rent

other \_\_\_\_\_  
(please specify in detail)

**The Beneficial Owner's employment sector(-s):** \_\_\_\_\_  
(please specify in detail)

**Is the Beneficial Owner a citizen and/or a tax resident of the United States of America (USA)?**

No  Yes

X  
\_\_\_\_\_ (signature of Client's Representative)

**Private individuals who directly or indirectly own shares of the Client's company, whose share ownership does not exceed 24.99% of the total number of shares of the Client's company** (please specify):

No.	Name	Surname	Country	Identity number / Date of birth	Ownership %
1					
2					
3					

**Companies that are part of the Client's share ownership structure** (please specify):

No.	Full name	Registration No.	Country of registration	Ownership %
1				
2				
3				

**Is/Was the Beneficial Owner or members of his/her family classified as politically exposed persons<sup>2</sup> or members of the family of a politically exposed person<sup>3</sup>, or persons closely related to a politically exposed person<sup>2</sup>?**

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

**The Beneficial Owner has the following ownership of the Client (corporate entity):**

- direct holding of the Client's (corporate entity's) shares – \_\_\_\_\_ %
- indirect ownership (through another corporate entity) or on the basis of the trust agreement entered into between the Beneficial Owner and the registered owners of corporate entity – \_\_\_\_\_ %
- other (manager, controlling entity) \_\_\_\_\_  
(please specify in detail)

<sup>1</sup> **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.

<sup>2</sup> **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.

X

(signature of Client's Representative)

<sup>3</sup> **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.

<sup>4</sup> **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 details provided in the Beneficial Owner’s Identification Card.

The Client undertakes to immediately inform JSC “Rietumu Banka” about any changes in the provided information in writing.

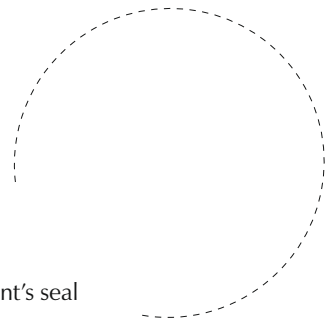
Hereby I confirm that all information provided herein is true.

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](http://www.rietumu.com)).

The Client represented by \_\_\_\_\_  
(name, surname)

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



Rietumu ID \_\_\_\_\_

Test-key \_\_\_\_\_

Client’s seal

**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\_\_\_\_