	JSC "RIETUMU BANKA" VESETAS 7 / RIGA LV-1013 / LATVIA	
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ON (QUESTIONNAIRE) ON BORROWER / WER / GUARANTOR / PLEDGOR

FOR CORPORATE ENTITIES

www.rietumu.com	LINITIES	
Date / / 20	Approved by the Board of JSC "Rietumu Banka", Minutes No. 7, 12.02.2019	
COMPLETE IN BLOCK	CAPITALS	
This questionnaire is an Appendix to Application for a loan by	(full name of the borrower / name, surname of the borrower)	
for a local in encount of		
for a loan in amount of as of		
By signing this questionnaire I confirm that I am ready to participat	e in the loan transaction as a:	
borrower co-borrower guarantor	pledgor	
1. Information on the borrower / co-borrower / guarantor / pledg	or	
Company	(full name)	
Registration No.	Date of registration/ Country code	
Organisational structure of the company:		
SIA (Limited liability company)	CJSC (Closed joint stock company)	
OJSC (Open joint stock company)	other	
Company's country of registration	Country code	
Taxpayer's number		
Registered address	(street, house, office)	
Country	City	
	Ouy	
Region	Postal code	
Business address	(street, house, office)	
Country	City	
Country	City	
Region	Postal code	
Contact phone 1 +	E-mail 1	
,		
Contact phone 2 + Land (country code)	E-mail 2	
Fax V	Website	
2. Company's activity area and key indicators		
Activity area of the company		
Turnover in this area, % Approx. market share		
Secondary activity area		
Turnover in this area, % Approx. market share		
Main competitors in the specified activity areas		

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Number of employees	
Turnover (gross profit)	Currency Period (as of the date)/ 20
Amount of assets (balance)	Currency Period (as of the date) / / / / 20
3. Company's activity regions	
Country of main activity	Turnover in this country
Country of main activity	Turnover in this country
Other countries where the company carries out its business activity	У
4. Owners / shareholders of the company	
Number of shareholders having over 25% of shares	
Incl. private individuals	
Incl. corporate entities	
Number of shareholders having over 10%, but less than 25% of sha	ares
Incl. private individuals	
Incl. corporate entities	
5. Company owners / shareholders with qualifying holdings (10)% of share capital and more)
1 Name, surname / Full name of the company	
Identity number / Data of birth*	
Passport / Registration No	
Number of shares (%)	
2 Name, surname / Full name of the company	
Identity number / Data of birth*	
Passport / Registration No	
Number of shares (%)	
3 Name, surname / Full name of the company	
Identity number / Data of birth*	
Passport / Registration No	
Number of shares (%)	
Name, surname / Full name of the company	
Identity number / Data of birth*	
Passport / Registration No	
Number of shares (%)	
* Date of birth must be specified if the company owner/shareholder is not a citizen / non-citi The Bank requests this information in order to protect its legitimate interests, including to co The Bank is entitled to request information from the Commercial Register of the Republic o	

potential co-borrower/guaranto	r.
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(authorised representative's signature)

6. Company managers and persons entitled to act on behalf of the company on t	he basis of a power of attorney (procuration)
1 Name, surname	
Identity number / Date of birth*	citizen of LR Coutry code
Passport No	non-citizen of LR
Position	_ Work experience in a position of manager (years)
Right of signature: Is Is joinly with others No	
Grounds: Statutes Power of attorney Other	
2 Name, surname	
Identity number / Date of birth*	citizen of LR Coutry code
Passport No	non-citizen of LR
Position	Work experience in a position of manager (years)
Right of signature: Is Is joinly with others INO	
Grounds: Statutes Power of attorney Other	
3 Name, surname	
Identity number / Date of birth*	citizen of LR Coutry code
Passport No	non-citizen of LR
Position	Work experience in a position of manager (years)
Right of signature: Is Is joinly with others INO	
Grounds: Statutes Power of attorney Other	
* date of birth shall be specified if the company owner/shareholder is not the citizen / non-citizen of the Republic of The Bank requests this information in order to ensure its legitimate right, including to meet the requirements of anti- The Bank is entitled to request information from the Credit Register of the Republic of Latvia regarding the credit lia the potential co-borrower/guarantor.	money laundering and counter-terrorism financing.
Are any of the shareholders, beneficial owners, managers of the company or their clopolitically exposed persons ² or persons closely related to politically exposed persons ³ ?	ose relatives politically exposed persons ¹ , family members of
No	
Yes	
· · · · · · · · · · · · · · · · · · ·	
¹ Politically exposed person – a person, who is entrusted or has been entrusted with prominent public function	ons in the Republic of Latvia, in another EU or EEA Member State or a third

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 an administrative unit (municipality) of the state, the head of the government, minister (a deputy minister or an assistant deputy minister, if such a position exists in the state), state secretary or another high-ranking official in the government or in the administrative unit (municipality) of the state, a member of the state, a member of the solution), member of the council or board of the supreme audit institution, member of the council or board of a central bank, ambassador, chargé d'affaires, high-ranking military officer, member of the council or of the board of a state-owned enterprise, the head (director, deputy director) and board member of an international organization, or a person who holds an equivalent position in that organization.

¹Family member of a politically exposed person – a person, who is a politically exposed person's: a) spouse or a person equivalent to the spouse. The person is considered as a person equivalent to a spouse only if the laws of the corresponding country provide this person with a corresponding status, b) child or a child of a politically exposed person's spouse or a person equivalent to a spouse, c) parent, grandparent or grandchild, d) brother or sister.

³Person closely related to a politically exposed person – a private person, on whom it is known that it has business or another close relationship with any of the politically exposed persons, or he/she is a shareholder or participant of one and the same commercial company and any of the politically exposed persons, as well as a private person, who is a sole owner of such legal entity, on which it is known that it was actually formed in the interest of the politically exposed person.

(authorised representative's signature)

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7. Related companies

In this chapter please indicate the organisations related to your company – for example, organisations, subsidiaries held by the same shareholders (owners) as your company.

1	Organisation 1		
	tion with your company:	(full name)	
Ken	alon wan your company.	through shareholders / beneficial owners	
		through shareholders / beneficial owners	
Acc	ount in JSC "Rietumu Banka"	Yes No Servicing bank	
2	Operation 2		
	0	(full name)	
Rela	ation with your company:	subsidiary	
		through shareholders / beneficial owners	
Acc	ount in JSC "Rietumu Banka"	Yes No Servicing bank	
3	Organisation 3		
Rela	tion with your company:	(full name)	
		through shareholders / beneficial owners	
Acc	ount in JSC "Rietumu Banka"	Yes No Servicing bank	
4	Organisation 4		
	-	(full name)	
Kela	tion with your company:	subsidiary	
		through shareholders / beneficial owners	
Acc	ount in JSC "Rietumu Banka"	Yes No Servicing bank	
The F	Bank requests this information in order to	o ensure its legitimate right, including to meet the requirements of anti-money laundering and counter-terrorism financing.	
The E		om the Credit Register of the Republic of Latvia regarding the credit liabilities of the companies / persons having qualifying h	oldings (10% and more) in
	0		
		revious indebtedness of the company)	
	Loans, leasing		
Crea	ditor 1: private individ		
		(full name of the creditor – corporate entity)	
	Credit Credit faci	ility Leasing Credit amount	
Dat	e of issue	Date of discharge	
Out	standing amount	Monthly payment	
Des	cription of collateral		
2	Loans, leasing		
Cree	ditor 2: 📃 private individ		
	corporate ent	(full name of the creditor – corporate entity)	
	Credit Credit faci	ility Leasing Credit amount	Currency
Dat	e of issue المالية المالية الم		
		0	

(authorised representative's signature)

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Outstanding amount	_ Monthly payment	
Description of collateral		
Issued guarantees		
Other relevant encumbrances		
Has the company been / is subject to enforcement proceedings?		
No		
Yes	(please specify)	
	(please specify)	
Has the company been / is subject to bankruptcy proceedings?		
No		
Yes		
	(please specify)	
Additional information:		
Additional information		
Information that is not included in this questionnaire, but may be rele	vant to ISC "Rietumu Banka"	

The Bank processes the personal data of private individuals (hereinafter – data) in accordance with the laws of the Republic of Latvia and the European Union.

Full information on the processing of data by the Bank, the purposes, legal basis of the processing, data recipients, the transmission and transfer of data, the rights and obligations of the data subject, and other information regarding the data processing is included in the Client Personal Data Processing Notice, whose current wording is published on www.rietumu.com. The borrower / co-borrower / guarantor / pledgor (hereinafter – applicant) confirms that he/she has read the above document, is informed on its conditions, and is aware of that the Bank is entitled to unilaterally amend the Client Personal Data Processing Notice.

If the applicant or any of his/her representatives transfer to the Bank the data of private individuals and/or documents comprising data, the applicant and his/her representatives certify and guarantee that:

- they are entitled to transfer the data of these persons to the Bank and comply with the requirements of the data protection laws;

- persons whose data were transferred to the Bank were informed on the data processing by the Bank and have given consent or otherwise permitted the processing of their data. The applicant and his/her representatives have presented the Client Personal Data Processing Notice to these persons;

- upon the Bank's request the applicant and his/her representatives would immediately provide the Bank with the documents approving the consent or any other permission given by the respective person to the transferring and processing of the data by the Bank, or a document approving other grounds for transferring and processing of the data in the Bank.

The applicant and his/her representatives are liable for the claims of any private individuals against the Bank, and losses related thereto, and the sanctions imposed by competent institutions, if any.

The Bank is not liable for any actions of third parties, including for further disclosure, use, storage or transferring of the data, to whom in relation to the provision of services by the Bank, the fulfilment by the Bank of its lawful obligations and the Bank's legitimate interests, the data of the applicant or private individuals related with him/her were transferred and/or disclosed. Information on the applicant may be disclosed to other parties to a transaction and other persons in accordance with the Client Personal Data Processing Notice.

The applicant and his/her representatives agree that for communication and exchange of data with them or other persons involved in the reviewing and ensuring of the transaction, the Bank is entitled to use public communication channels, including electronic mail, phone, mail and other means of communication. The applicant and his/her representatives assume all risks that are related to the technique and security of the data transfer. The Bank is not liable for losses incurred in relation to unlawful access to the transferred information.

In order to verify or receive additional information, the Bank is entitled to use private and public registers, including to request information on the applicant from the credit information bureau (kredītinformācijas birojs).

Hereby I confirm that the information / documents provided are true.

The applicant represented by	
Who is acting on the grounds of: \Box Statutes \Box Power of attorney ⁵	
other (please specify)	Seal
X *please enclose a power of attorney to the questionnaire (signature)	Date / / 20
TO BE COMPLETED BY BANK EMPLOYEE	

I confirm the identity and signature of the authorised representative

Passport / ID document No.

(name, surname)

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(signature)

. Date _____ /____ / 20_____

List of documents to be enclosed to the questionnaire

The following documents (excerpts, printouts) from the oficial public registers of the company's country of registration, and shareholders registers of the companies (joint stock companies) are enclosed to the questionnaire.

1	
date o	of the document (day/month/year)
2	
date o	of the document (day/month/year)
3	
date o	of the document (day/month/year)
4	
date o	of the document (day/month/year)
	rove that at the time of submission of this information (questionnaire), the composition of the company's shareholders and the company's gers correspond to the above documents.
The f	ollowing forms are enclosed to the questionnaire:
Certif	ication of beneficial owner ⁶ : Yes number of documents
	No
Addit	ional information / comments:
	Registration certificate of the company*
	Statutes of the company and amendments thereto*
	Current excerpt from the shareholder register of the company
	Current excerpt / statement from the Commercial Register of the Republic of Latvia certifying the structure of the shareholders of the company, and the structure and powers of the officials***
	Passports of the persons providing this information (questionnaire)*
	Power of attorney whereupon acts the person who provides this information (questionnaire)**
	Annual reports (full) for last 2 years with a mark from SRS***
	Operative balance sheet and income statement for the current year with deciphering of main items (debtors, inventory, fixed assets, creditors)
establis a) in the	cial Owner – a private individual who is an owner of a Client-corporate entity or who controls the Client or on behalf of who, for whose benefit or in whose interest a business relationship is hed, or an occasional transaction is made and who is at least: e case of corporate entities – a private individual who directly or indirectly owns more than 25 percent of the share capital or voting rights of a corporate entity or who directly or indirectly or indirectly owns more than 25 percent of the share capital or voting rights of a corporate entity or who directly or indirectly or indirectly or indirectly on the share capital or voting rights of a corporate entity or who directly or indirectly or

b) in the case of legal arrangements – a private individual who owns or in whose interest a legal arrangement is established or operates or who directly or indirectly exercise control over it, who, in particular, is a founder, a trustee or a supervisor (a manager) of such an arrangement.

JSC "Rietumu Banka" is obliged to collect and once a year submit to the State Revenue Service of the Republic of Latvia information and data regarding its clients and/or beneficial owners of the clients, subject to the Standard for Automatic Exchange of Financial Account Information in tax area according to the requirements of the laws and regulations of the Republic of Latvia.

(authorised representative's signature)

VAT return for last 2 taxation years and for the last reporting month with a mark from SRS***
Statement from the SRS / municipality that there are no debts***
Application for a loan for a corporate entity (E form)****
Other documents:
*Documents that will be copied by an employee of JSC "Rietumu Banka" **If the specified person acts on the basis of authorisation ***For residents of the Republic of Latvia; for non-residents of the Republic of Latvia – the respective institution of the country of residence ****If the borrower is a private individual, an Application for a loan (A form)
The applicant represented by

X

(signature)