

## QUESTIONNAIRE FOR A DOMESTIC LEGAL ENTITY OR LEGAL FORMATION WITH COMPLEX STRUCTURE

FILL IN USING BLOCK CAPITALS!

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(Filled in by the Bank: Client No.)

Dear Client,

To ensure compliance with international standards and regulations for credit institutions, please provide the required information below. AS BlueOrange Bank, hereinafter referred to as the Bank, adheres to regulatory requirements, observes confidentiality, and safeguards your data.

### 1. Client information

1.1. Company name \_\_\_\_\_ 1.2. Registration No. \_\_\_\_\_

1.3. Registered office \_\_\_\_\_  
(Address – street, building and office number, city, postal code, country)

1.4. Actual residence \_\_\_\_\_  
(if different from registered office) (Address – street, building and office number, city, postal code, country)

1.5. Corporate website address \_\_\_\_\_

### 2. Beneficial owner information\*

2.1. Surname, name			
2.2. Share of equity (%)			
2.3. Identity code			
2.4. Date of birth			
2.5. For international clients:			
Identity document No. and series			
Date of issue			
Expiration date			
Issuing authority			
Issuing country			
2.6. Citizenship			
2.7. Residence state			
2.8. Tax residence country and taxpayer No.			
2.9. Reason for the person's relation to the tax residence country (if not Republic of Latvia)			
2.10. Permanent residence (address – street, building, apartment, city, postal code, country)			
2.11. Correspondence address (street, building, apartment, city, country, postal code) <small>(if differs from permanent residence)</small>			
2.12. Phone No.			
2.13. Is the beneficial owner a U.S. person***? (if "Yes", please fill out the U.S. Taxpayer Identification Form)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.14. Is the beneficial owner a politically exposed person (PEP)***?	<input type="checkbox"/> No <input type="checkbox"/> PEP family member <input type="checkbox"/> Yes <input type="checkbox"/> Close associate of a PEP	<input type="checkbox"/> No <input type="checkbox"/> PEP family member <input type="checkbox"/> Yes <input type="checkbox"/> Close associate of a PEP	<input type="checkbox"/> No <input type="checkbox"/> PEP family member <input type="checkbox"/> Yes <input type="checkbox"/> Close associate of a PEP

### 3. Business profile

3.1. Information about the Client's business activity. Please describe what business activity will be involved in account transactions:

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3.2. Will these activities require special permits?  No  Yes, copies of relevant licenses and/or special permits attached to the application

3.3. Is the Client a Passive Non-financial Entity?

(i.e. more than 50% of the Client's income is passive income – dividends, investment margin, coupon income, interest income, royalties etc. More information is available on the Bank's website)

No  Yes

3.4. Is the Client's business activity related to the following lines of business?

No  Yes (please specify which):

<input type="checkbox"/> Gambling organisation	<input type="checkbox"/> Investment services and/or ancillary investment services	<input type="checkbox"/> Reinsurance services	<input type="checkbox"/> Services to legal entities (if the Client's account is intended for transactions on behalf of the Client's customers)
<input type="checkbox"/> Real estate mediation	<input type="checkbox"/> Trade in weapons and ammunition	<input type="checkbox"/> Accounting services (if the Client's account is intended for transactions on behalf of the Client's customers)	<input type="checkbox"/> Public organisation or foundation (non-profit activities)
<input type="checkbox"/> Trade in gemstones and precious metals	<input type="checkbox"/> Currency exchange	<input type="checkbox"/> Legal services (if the Client's account is intended for transactions on behalf of the Client's customers)	
<input type="checkbox"/> Payment services and/or electronic money services	<input type="checkbox"/> Collection services		

If the Client's declared activity meets the definition of a Financial Institution\*\*\*\*\*, please fill out the Financial Institution Questionnaire.

3.5. Business activity (in years):

Less than 1  1–3  3–5  Over 5

3.6. Number of employees in the company:

Less than 10  10–50  50–250  Over 250

3.7. Annual net turnover of the company (M EUR):

Less than 0.1  0.1–0.5  0.5–2  
 2–10  10–25  Over 25

3.8. Balance sheet assets of the company (M EUR):

Less than 0.1  0.1–0.5  0.5–2  
 2–10  10–25  Over 25

3.9. Do you hold accounts with other credit institutions?

No  Yes (Please specify the names of the credit institutions) \_\_\_\_\_

3.10. MONTHLY Account turnover

Client accounts' turnover	Up to EUR 15,000.00	From EUR 15,001.00 to EUR 100,000.00	EUR 100,001.00 and more (specify sum)
Planned maximum total volume of the incoming payments and maximum volume of a single incoming transaction	<input type="checkbox"/>	<input type="checkbox"/>	_____ EUR
Planned maximum total volume of the outgoing payments and maximum volume of a single outgoing transaction	<input type="checkbox"/>	<input type="checkbox"/>	_____ EUR
Planned maximum volume of cash deposits, including ATM cash deposits	_____ EUR		
Planned maximum volume of cash withdrawals, including ATM cash withdrawals	_____ EUR		
Planned maximum total volume of the incoming payments on the separate clients' funds account and maximum amount of a single incoming transaction (please fill if the Client is a financial institution)	<input type="checkbox"/>	<input type="checkbox"/>	_____ EUR

Information on payment purposes, business partners

3.11. Incoming payments:

Name of the partner	Country of registration	Payment purpose	Country of the servicing credit institution (if known)

Names of partners are currently unknown (please specify why and the purpose of a planned payment) \_\_\_\_\_

3.12. Outgoing payments:

Name of the partner	Country of registration	Payment purpose	Country of the servicing credit institution (if known)

Names of partners are currently unknown (please specify why and the purpose of a planned payment) \_\_\_\_\_

## 4. Confirmation

4.1. I am informed that the Bank processes personal data in accordance with applicable personal data protection laws and regulations of the Republic of Latvia and European Union, and the General Terms of Business, and Personal data processing policy. The purpose of data processing: client due diligence. More information about the Personal data processing policy of the Bank is available here: <https://www.blueorangebank.com/en/information-on-processing-of-personal-data>.

4.2. I confirm that the Current Account will not be used for transactions related to criminal activity or assets, violating sanctions/restrictions set by international organisations or individual countries, or transactions related to circumvention of transaction restrictions.

### 4.3. I confirm acquaintance with the following definitions and clarifications:

\* **Beneficial owner** is an individual who controls the Client or on whose behalf, for whose benefit or in whose interest the business relations are being established.

\*\* **United States person** – any person meeting at least one of the following criteria: 1) The individual has citizenship or a valid residence permit (Green Card) in the U.S.; 2) The individual's tax residence country is the U.S.; 3) The individual was born in the U.S.; 4) The legal entity has a phone number with a U.S. country code; 5) The legal entity is registered in the U.S.; 6) The residential or correspondence address of the individual is in the U.S. (including a P.O. Box in the U.S.); 7) A Power of Attorney has been issued to an individual/legal entity with an address in the U.S.

### \*\*\* Politically exposed person (PEP):

1) **a person** currently or formerly employed in major public office, including a supreme official of state government, head of a state administrative unit (municipal government), head of government, minister (deputy minister or deputy to the deputy minister, if the relevant country has such a position), state secretary, or other high-level official in government or a state administrative unit (municipal government), parliament deputy or member of an equivalent legislative body, member of the management body (board) of a political party, judge (member of a court institution) in a constitutional court, supreme court or other court instance, member of the board or council of a supreme audit institution, member of the board or council of a central bank, ambassador, charge d'affaires, senior officer of the armed forces, member of the board or council of a state corporation, executive (director, deputy director) or member of the board of an international organisation, or any person holding an equivalent position in such an organisation, within the Republic of Latvia, a member state or third country.

2) **a PEP family member:** a) Spouse or equivalent. A person is considered an equivalent of a spouse only if the laws of the relevant state provide for such status; b) Child, child of a spouse or equivalent, or their spouse or equivalent; c) Parent, grandparent or grandchild; d) Brother or sister.

3) **a close associate of a PEP** – an individual known to have business or other close ties to one of the aforementioned, to be a stockholder or shareholder in the same corporation as one of the aforementioned, or an individual that is the sole owner of a legal entity known to have been established for the actual benefit of one of the aforementioned.

\*\*\*\* **Legal formation** – an association of persons having independent legal capacity, as well as a disregarded entity with independent legal capacity and the structure of which may include the founder, the trustee, the supervisor (manager), or equivalent statuses, and the beneficiary – if no individual has been assigned as the beneficiary – being a person in whose interest the legal formation is established or operates, or any other individual who in fact exercises control over a legal formation through ownership or other means.

\*\*\*\*\* **Financial institution** – an entrepreneur, branch or representative registered with the commercial register, or an entrepreneur registered with the register of another member state or a third country, which is not a credit institution and which provides one or more financial services as defined in the Credit Institutions Law; the following entities shall also be considered financial institutions: (a) an insurance company in so far as it provides life insurance or other insurance activities related to accumulation of funds, or a private pension fund; (b) an insurance intermediary in so far as it provides life insurance or other insurance services related to accumulation of funds; (c) an investment brokerage firm; (d) an investment management company; (e) a capital company which purchases and sells foreign currency cash; (f) a payment institution; (g) an electronic money institution; (h) a loan and savings company; (i) other payment service provider not specified in subparagraphs "f", "g", and "h"; (j) alternative investment fund manager; (k) a reinsurance service provider; (l) a financial leasing service provider; m) a person who is involved in consumer lending and to whom the Consumer Rights Protection Centre issues a special permit (license) for providing lending services.

## 5. Questionnaire filled in by

5.1. Surname, name of the Client (Client's representative) \_\_\_\_\_ 5.2. Signature \_\_\_\_\_

5.3. Filled out in (country, city) \_\_\_\_\_ Date 

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5.4. Surname, name of the Client (Client's representative) \_\_\_\_\_ 5.5. Signature \_\_\_\_\_

5.6. Filled out in (country, city) \_\_\_\_\_ Date 

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## 6. Representative of the Bank

FILLED IN BY THE BANK

6.1. Surname, name \_\_\_\_\_ 6.2. Signature \_\_\_\_\_

Date 

d d	m m	y y y y

 L.S.