



Questionnaire (for legal entities)

Basic information

Client CIF

Date

Place

Name

Registration date

Registration number

Are any insolvency proceedings or liquidation processes initiated against the company?

Yes

No

Company's address/-es

Legal address

Country

Postal code

Region/Municipality

Area/Parish

City/Village

Street

House

Flat / Office

Actual business address (es) of the company

1. the actual business address coincides with the legal one

Country

Postal code

Region/Municipality

Area/Parish

City/Village

Street

House

Flat / Office

2. the actual business address coincides with the legal one

Country

Postal code

Region/Municipality

Area/Parish

City/Village

Street

House

Flat / Office

Correspondence address

Correspondence address coincides with the legal one

Correspondence address coincides with the 1st actual business address

Correspondence address coincides with the 2nd actual business address

Country

Postal code

Region/Municipality

Area/Parish

City/Village

Street

House

Flat / Office

Contact information

Phone

Phone

E-mail

E-mail

Skype

www

Country of tax residence

Please indicate country of tax residence

In accordance with normative acts of the tax residence country, taxpayes number is granted to the Client Yes No

Tax payer number

Approval of conformity FATCA status

Is the company a Financial Institution within the meaning of the US FATCA? * Yes No

Conformity FATCA status of the financial institution

FATCA Global Intermediary Identification Number (GIIN)

Reasons why a financial institution does not have a GIIN

* The term "Financial Institution" means a Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company.(a) The term "Custodial Institution" means any Entity that holds, as a substantial portion of its business, financial assets for the account of others.(b) The term "Depository Institution" means any Entity that accepts deposits in the ordinary course of a banking or similar business.(c) The term "Investment Entity" means any Entity that conducts as a business (or is managed by an entity that conducts as a business) one or more of the following activities or operations for or on behalf of a customer:(d) trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;(dd) individual and collective portfolio management; or(ddd) otherwise investing, administering, or managing funds or money on behalf of other persons. This subparagraph 1(j) shall be interpreted in a manner consistent with similar language set forth in the definition of "financial institution" in the Financial Action Task Force Recommendations (FATF).(i) The term "Specified Insurance Company" means any Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract."

Information for determining US tax payer status

Are You person related to a USA? No Yes (explain)

Is the legal entity's place of registration in the US? (specify)

Is the legal entity a tax resident of the US?

Is the legal entity's residence address or correspondence address in the US (including US P.O. box)?

(specify address)

Is the Beneficial owner / -s of legal entity a US citizen / -s or resident / -s for tax purposes? (specify)

Other relation with the US (explain)

In case of one or more of the positive response, necessary fill out the form W-8BEN-E or W-9.

Company status

Does the company have the status of a public benefit organization?	Yes	No
Does the company issue or is it entitled to issue bearer shares (equity securities)?	Yes	No
Is the gross proportion of your company's passive income* at least 50% from the total annual gross income for the previous calendar year?	Yes	No
Does at least 50% of your company's assets are being used to form passive income*?	Yes	No

** Passive income is, for example, dividends, income from interest, income from rental of property (lease), royalties, income from transactions with financial instruments (including derivatives).*

Representative (s) of the company

1. representative

Name, surname

Personal identity code

Date of birth

No changes

Information about previously declared representatives has changed (please fill out the form)

Delete previously declared representative

Add a new representative (please fill out the form)

2. representative

Name, surname

Personal identity code

Date of birth

No changes

Information about previously declared representatives has changed (please fill out the form)

Delete previously declared representative

Add a new representative (please fill out the form)

3. representative

Name, surname

Personal identity code

Date of birth

No changes

Information about previously declared representatives has changed (please fill out the form)

Delete previously declared representative

Add a new representative (please fill out the form)

4. representative

Name, surname

Personal identity code

Date of birth

No changes

Information about previously declared representatives has changed (please fill out the form)

Delete previously declared representative

Add a new representative (please fill out the form)

Ultimate Beneficial Owner (UBO)

1.UBO

Name, surname

Personal identity code

Date of birth

Number of Company's shares owned by the owner, %

No changes

Information about previously declared UBO has changed (please fill out the form)

Delete previously declared UBO

Add new UBO (please fill out the form)

2.UBO

Name, surname

Personal identity code

Date of birth

Number of Company's shares owned by the owner, %

No changes

Information about previously declared UBO has changed (please fill out the form)

Delete previously declared UBO

Add new UBO (please fill out the form)

3. UBO

Name, surname

Personal identity code

Date of birth

Number of Company's shares owned by the owner, %

No changes

Information about previously declared UBO has changed (please fill out the form)

Delete previously declared UBO

Add new UBO (please fill out the form)

4. UBO

Name, surname

Personal identity code

Date of birth

Number of Company's shares owned by the owner, %

No changes

Information about previously declared UBO has changed (please fill out the form)

Delete previously declared UBO

Add new UBO (please fill out the form)

5. UBO

Name, surname

Personal identity code

Date of birth

Number of Company's shares owned by the owner, %

No changes

Information about previously declared UBO has changed (please fill out the form)

Delete previously declared UBO

Add new UBO (please fill out the form)

Owner (-s) of company shares not declared as UBO

Owner of the Company's capital shares is a private individual (fill the form "Questionnaire: A shareholder in a company who is not declared as an UBO (for private person)")

1. Owner of the Company's capital shares

Name, surname

Personal identity code

Date of birth

Number of Company's shares owned by the owner, %

No changes

Information about previously declared owner has changed (please fill out the form)

Delete previously declared owner

Add a new owner (please fill out the form)

2. Owner of the Company's capital shares

Name, surname

Personal identity code

Date of birth

Number of Company's shares owned by the owner, %

No changes

Information about previously declared owner has changed (please fill out the form)

Delete previously declared owner

Add a new owner (please fill out the form)

3. Owner of the Company's capital shares

Name, surname

Personal identity code

Date of birth

Number of Company's shares owned by the owner, %

No changes

Information about previously declared owner has changed (please fill out the form)

Delete previously declared owner

Add a new owner (please fill out the form)

Owner of the Company's capital shares is a legal entity

1. Owner of the Company's capital shares

Name of the Company's owner

Registration number of the Company's owner

Registration date of the Company's owner

Country of registration of the Company's owner

Country of actual economic activity of the Company's owner

Jurisdiction with which the owner of the Company has significant business links (relations)

Number of Company's shares owned by the owner, %

No changes

Information about previously declared owner has changed

Delete previously declared owner

Add a new owner

2. Owner of the Company's capital shares

Name of the Company's owner

Registration number of the Company's owner

Registration date of the Company's owner

Country of registration of the Company's owner

Country of actual economic activity of the Company's owner

Jurisdiction with which the owner of the Company has significant business links (relations)

Number of Company's shares owned by the owner, %

No changes

Information about previously declared owner has changed

Delete previously declared owner

Add a new owner

3. Owner of the Company's capital shares

Name of the Company's owner

Registration number of the Company's owner

Registration date of the Company's owner

Country of registration of the Company's owner

Country of actual economic activity of the Company's owner

Jurisdiction with which the owner of the Company has significant business links (relations)

Number of Company's shares owned by the owner, %

No changes

Information about previously declared owner has changed

Delete previously declared owner

Add a new owner

Information on economic activity

Is the Company's economic activity related to the Republic of Latvia? Yes No

Indicate the necessity (purpose) for maintaining an account in the Republic of Latvia, if there is no connection with the Republic of Latvia

Reason for opening an account in JSC "LPB Bank"

Basic countries where the Company conducts its business

Additional information

Type/sector of economic activity:

Production

Construction

Agriculture, forestry and fisheries

Military goods or services

Public administration and defence

Provision of services, including:

- Customs services
- Logistics services
- Tourism/catering services
- Marketing/advertising services
- Legal services (provider of legal community's services)
- Lawyer
- Outsourced accounting services
- Consulting services
- Gambling organisation
- Health or pharmaceutical services
- Business and management consultancy activities
- Waste management
- Real estate brokerage
- Parking service providers (except for PI)
- Self-service vending machines
- Self-service laundries

Trade, including:

- Trade in precious metals, precious stones or jewellery
- Works of art or antiques
- Trade in arms and ammunition
- Trade in exclusive goods
- Trade services for small and medium-sized enterprises (beverages, tobacco trade)

Mining, including:

- Precious metals, precious stones
- Mining of gold and other underground resources
- Oil or gas

Information technologies, telecommunications, computer services

Online services (e-commerce), including:

- Ticket sales on the internet
- Internet sales of goods and services
- Internet sales of content meant for adults (incl. dating sites)
- Organising gambling on the internet

Financial services, including:

- Insurance or reinsurance
- Insurance or reinsurance brokerage
- Payment institution
- Electronic money institutions

- Credit institution
- Cash logistics services
- Financial institutions attracting finances and money lenders (pawnshops)
- Leasing, factoring unions, consumer creditors
- Investment brokerage company (incl. Forex)
- Investment management company
- State pension funds
- Private pension funds
- Private and public pension investment plans
- Alternative investment funds
- Alternative investment fund managers
- Credit unions
- Crowdfunding service provider
- Credit claims trading on web platforms
- Financial innovation service provider
- Provision of money services
- Currency exchange, currency brokerage services
- Investments and activities in the securities market

Other (specify)

Types of business according to NACE2 classification:

Additional information on economic activities *

** - please fill in the points below if the sector "Gambling organization" or "Financial services" (or one of the sub-sectors) is selected*

Describe the Company's clients

Private individuals, % of total number of clients

Legal entities, % of total number of clients

LR residents, % of total number of clients

LR non-residents, % of total number of clients

Countries of origin of the Company's clients

Countries where the Company's clients conduct their business/personal activities

Information on measures taken to prevent money laundering, terrorist financing and proliferation financing

Company identifies its clients, researches, analyzes the origin of funds and keeps documents related to customer research (describe)

Yes No

Companies performs the client identification remotely Yes No

The Company has a unit or designated persons responsible for anti-money laundering, anti-terrorist and anti-proliferation financing measures Yes No

Indicate the structure

Name and surname of the responsible person

Contact information

Indicate the binding regulatory enactments that regulate money laundering and terrorist financing prevention activities of the company:

Information on auditors *

* - please fill in the points below if the sector "Gambling organization" or "Financial services" (or one of the sub-sectors) is selected

Name

Address

Phone

Website address

Is it possible to use virtual currency (including cryptocurrency) for settlements within the business of a Company? Yes No

* - Virtual currencies are meant to define not only cryptocurrencies such as Bitcoin or Ethereum, but also a wide range of other digital means of exchange, utilize an innovative new technology that enables digital transactions and the delivery of financial products and services in online networks, environments and marketplaces.

Licences or special permits

Does your economic activity require a licence or special permit? Yes No

In the country of registration Yes No

In the country of operation Yes No

Is the licence or special permit obtained? Yes No

Licence or special permit No.

Licensing or special permit authority (name, address, website address of the authority)

Date of issue

Term of validity

Indefinite

Explain, in case the licence is not obtained

Information on financial indicators of economic activity

Duration of the business activities (in years)

Financial indicators:

Last year's turnover (EUR)

Amount of share capital (EUR)

Number of employees in the company (including the Company's representative (s))

1-5 6-20 21-50

51-100 more than 100 (specify)

Corporate group or association

Is the company part of a corporate group or an association? Yes No

Describe the structure of group names

structure

operating scheme

location

website address

Specify the role of the Client in the corporate group:

Specify group companies that are clients of JSC "LPB Bank"

The Company's main partners

(fill the form "Questionnaire: Business Partner" for those partners who have a connection with at least one of the following countries / territories: Russian Federation, Belarus, Ukraine (Donetsk/Luhansk/Crimea territories), Afghanistan, Central African Republic, South Sudan, Iraq, Iran, Yemen, Republic of the Congo, Democratic People's Republic of Korea, Cuba, China, Lebanon, Liberia, Libya, Myanmar (Burma), Syria, Somalia, Sudan, Venezuela, Zimbabwe).

1. Name of the partner

For incoming payments For outgoing payments

Location (country of registration)

Registration number

Economic activity sector

Country of actual economic activity

Website address

2. Name of the partner

For incoming payments For outgoing payments

Location (country of registration)

Registration number

Economic activity sector

Country of actual economic activity

Website address

3. Name of the partner

For incoming payments For outgoing payments

Location (country of registration)

Registration number

Economic activity sector

Country of actual economic activity

Website address

4. Name of the partner

For incoming payments For outgoing payments

Location (country of registration)

Registration number

Economic activity sector

Country of actual economic activity

Website address

5. Name of the partner

For incoming payments For outgoing payments

Location (country of registration)

Registration number

Economic activity sector

Country of actual economic activity

Website address

Additional information

Information about sanctions requirements

The company has created a structural unit or appointed a person responsible for compliance with sanctions requirements Yes No

Indicate the structure

Name and surname of the responsible person

Contact information

Does the company check partners/goods/services against lists of sanctions/restrictions before delivering goods/services and making payments? Yes No Partly

Specify

Does the company regularly check partners/intermediaries/clients against lists of sanctions/restrictions? Yes No Partly

Specify

Please indicate which sanctions the company is complying with

U.N. Security Council European Union OFAC Republic of Latvia

Others (indicate)

Information about the Company's financial resources

Sources of financial resources

Income from economic activity

Income from participation in other businesses

Borrowings

Investments of business owners

Others (specify)

The Company has additional income/sources for increasing working capital (specify)

Planned transactions in the Account(s)

- Settlement and cash services
- Payment cards (planned number of cards)
- Term deposits
- Lending
- E-commerce
- Documentary operations (letters of credit, etc.)
- Trust services
- Escrow account opening and servicing
- Individual safes
- Transactions in financial instruments (shares, bonds, etc.)
- POS terminals
- Other Bank services (specify)

Information about planned payments

Incoming payments:

- Income from buyers or recipients of goods / services
- Owner's investments
- Loans
- Income from participating in other companies
- Other (specify)

Outgoing payments:

- Fees for deliveries and services
- Administration costs
- Salary
- Mandatory governmental payments (taxes and charges)
- Loan repayment (granting of loans)
- Investments (specify the field)
- Other (specify)

Planned transactions in the Account(s)

Fill in the information on all transactions together, then separately for cash transactions (deposits/withdrawals at the Bank's branch and ATMs) in the section "Cash transactions"

Incoming transactions, EUR

Maximum amount of one incoming transaction	up to 5000	5001-30000	30001-50000
	more than 50001 (specify)		
Maximum incoming turnover on accounts per month	up to 5000	5001-30000	30001-50000
	more than 50001 (specify)		
Maximum incoming turnover on accounts per year	up to 60000	60001-360000	360001-600000
	more than 600001 (specify)		
Number of planned incoming transactions per month			

Other accounts

Do you have an account(s) with another credit institution(s) or financial institution(s)? Yes No

Name Country

Name Country

Name Country

Name Country

Name Country

Financial reports

Does the company have to submit financial reports to the public authorities in its country of registration? Yes No

Indicate the institution to which the financial report was submitted

What reporting period is reflected in the last submitted financial report

The financial report is publicly available (specify):

Customer confirmations

I Certify that the information in this document is complete and true.

— I undertake to immediately inform the Bank in writing on any changes in the above information. I am informed that in accordance with General terms of service, this Application is an integral part of the Agreement and the signing of this Application means the signing of the Agreement, except the Bank Services, which can be received only by signing of Special agreement.

— I am informed that in accordance with the normative acts of the Republic of Latvia, the Bank is obligated to acquire information on the Client's tax residence and other related information to it, and that in cases prescribed for in the normative acts of the Republic of Latvia the Bank is obligated to provide information to the State revenue service and that the specified information is intended for the purpose of client research (including in-depth research) specified in the Law on the Prevention of Money Laundering and Terrorism Financing.

— I am informed that the Bank processes (collects, stores, records, submits, transfers, transmits, etc.) the Client's data and other persons' data submitted by the Client, as well as in accordance with Applicable legal acts requests and receives the above-mentioned data and other information from the third parties and processes it. Bank has the right to transfer the Client's personal data to the third parties, if the Bank considers it necessary for the provision of services or debt recovery from the Client. The Client confirms that, he / she has right to transfer data of other natural persons to the Bank, for that he / she has received all necessary consents.

— I confirm that I have read the Bank's General Terms of Service, the Bank's Tariffs and Personal Data Processing Policy, which are available on the www.lpb.lv website and at the Bank's customer service points, I understand them and am aware that they will apply to the legal relationship between me and the Bank.

— I undertake not to use accounts held with the Bank and services provided by the Bank in transactions which would violate or circumvent international or national sanctions as defined by the applicable legislation or decrees of the Republic of Latvia, the European Union, OFAC or the U.N. Security Council which indicate persons subject to sanctions/restrictions, territories subject to sanctions/restrictions, or restrictions on the movement of specific goods.

Client's representative			
(position)	(name, surname)	(signature)	
Client's representative			
(position)	(name, surname)	(signature)	Seal

To be completed by a representative of the Bank, who identifies the Client.
 The document has been signed in my presence. I confirm the identity and signature / -s of the Client / Client's representative / -s.

(The Bank representative position, name, surname)
(signature)
(date)

Bank notes

Legal department			
(remarks)	(The Bank representative position, name, surname)	(signature)	(date)