



Number of employees \_\_\_\_\_

Turnover (gross profit) \_\_\_\_\_ Currency \_\_\_\_\_ Period (as of the date) \_\_\_\_/\_\_\_\_/20\_\_\_\_

Amount of assets (balance) \_\_\_\_\_ Currency \_\_\_\_\_ Period (as of the date) \_\_\_\_/\_\_\_\_/20\_\_\_\_

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### 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 \_\_\_\_\_

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### 4. Owners / shareholders of the company

Number of shareholders having over 25% of shares \_\_\_\_\_

Incl. private individuals \_\_\_\_\_  
(specify number)

Incl. corporate entities \_\_\_\_\_  
(specify number)

Number of shareholders having over 10%, but less than 25% of shares \_\_\_\_\_

Incl. private individuals \_\_\_\_\_  
(specify number)

Incl. corporate entities \_\_\_\_\_  
(specify number)

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### 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 (%) \_\_\_\_\_

**4** 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-citizen of the Republic of Latvia.

The Bank requests this information in order to protect its legitimate interests, including to comply with the requirements of anti-money laundering and counter-terrorism financing.

The Bank is entitled to request information from the Commercial Register of the Republic of Latvia on the credit liabilities of companies / persons having qualifying holdings (10% and more) in the potential co-borrower / guarantor.

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X

(authorised representative's signature)

ON BORROWER / CO-BORROWER / GUARANTOR / PLEDGOR  
INFORMATION (QUESTIONNAIRE)  
FOR CORPORATE ENTITIES 2 / 8

**6. Company managers and persons entitled to act on behalf of the company on the 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 jointly 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 jointly with others  No  
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 jointly with others  No  
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 Latvia.  
The Bank requests this information in order to ensure its legitimate right, including to meet the requirements of anti-money laundering and counter-terrorism financing.  
The Bank is entitled to request information from the Credit Register of the Republic of Latvia regarding the credit liabilities of the companies / persons having qualifying holdings (10% and more) in the potential co-borrower / guarantor.

Are any of the shareholders, beneficial owners, managers of the company or their close relatives politically exposed persons<sup>1</sup>, family members of politically exposed persons<sup>2</sup> or persons closely related to politically exposed persons<sup>3</sup>?

No  
 Yes \_\_\_\_\_  
(please specify your answer)

<sup>1</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 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 parliament or a similar legislative framework, member of the governing body (board) of a political party, judge of the constitutional court, supreme court or another court (member of a judicial institution), 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.

<sup>2</sup>Family 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 politically exposed person's spouse, his spouse or a person equivalent to a spouse, c) parent, grandparent or grandchild, d) brother or sister.

<sup>3</sup>Person 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.

## 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 \_\_\_\_\_  
(full name)

Relation with your company:  subsidiary  
 through shareholders / beneficial owners

Account in JSC "Rietumu Banka"  Yes  No Servicing bank \_\_\_\_\_

**2** Organisation 2 \_\_\_\_\_  
(full name)

Relation with your company:  subsidiary  
 through shareholders / beneficial owners

Account in JSC "Rietumu Banka"  Yes  No Servicing bank \_\_\_\_\_

**3** Organisation 3 \_\_\_\_\_  
(full name)

Relation with your company:  subsidiary  
 through shareholders / beneficial owners

Account in JSC "Rietumu Banka"  Yes  No Servicing bank \_\_\_\_\_

**4** Organisation 4 \_\_\_\_\_  
(full name)

Relation with your company:  subsidiary  
 through shareholders / beneficial owners

Account in JSC "Rietumu Banka"  Yes  No Servicing bank \_\_\_\_\_

The Bank requests this information in order to ensure its legitimate right, including to meet the requirements of anti-money laundering and counter-terrorism financing. The Bank is entitled to request information from the Credit Register of the Republic of Latvia regarding the credit liabilities of the companies / persons having qualifying holdings (10% and more) in the potential co-borrower / guarantor.

## 8. Credit history (current and previous indebtedness of the company)

### **1** Loans, leasing

Creditor 1:  private individual  
 corporate entity \_\_\_\_\_  
(full name of the creditor – corporate entity)

Credit  Credit facility  Leasing Credit amount \_\_\_\_\_ Currency \_\_\_\_\_

Date of issue \_\_\_\_\_ Date of discharge \_\_\_\_\_

Outstanding amount \_\_\_\_\_ Monthly payment \_\_\_\_\_

Description of collateral \_\_\_\_\_

### **2** Loans, leasing

Creditor 2:  private individual  
 corporate entity \_\_\_\_\_  
(full name of the creditor – corporate entity)

Credit  Credit facility  Leasing Credit amount \_\_\_\_\_ Currency \_\_\_\_\_

Date of issue \_\_\_\_\_ Date of discharge \_\_\_\_\_

X

\_\_\_\_\_  
(authorised representative's signature)

INFORMATION (QUESTIONNAIRE)  
ON BORROWER / CO-BORROWER / GUARANTOR / PLEDGOR  
FOR CORPORATE ENTITIES 4 / 8

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)

Has the company been / is subject to bankruptcy proceedings?

No

Yes \_\_\_\_\_  
(please specify)

Additional information: \_\_\_\_\_

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#### Additional information

Information that is not included in this questionnaire, but may be relevant to JSC "Rietumu Banka"

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**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](http://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.**

X

\_\_\_\_\_  
(authorised representative's signature)

INFORMATION (QUESTIONNAIRE)  
ON BORROWER / CO-BORROWER / GUARANTOR / PLEDGOR  
FOR CORPORATE ENTITIES 5 / 8

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.

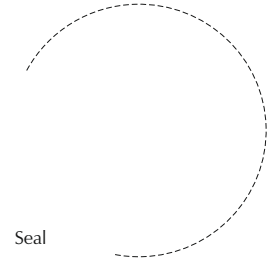
In order to verify or receive additional information, the Bank is entitled to use private and public registers, including to request information on the applicant from the credit information bureau (kreditinformācijas birojs).

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

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

Who is acting on the grounds of:  Statutes  Power of attorney<sup>5</sup>

other \_\_\_\_\_  
(please specify)



\_\_\_\_\_  
<sup>5</sup>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) (signature)

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



