

KYC QUESTIONNAIRE FOR A BUYER

Dear Buyer! In accordance with the international standards and the laws and regulations of the European Union and the Republic of Latvia, the insolvent AS "PNB Banka" (hereinafter referred to as the Bank) must obtain from you the information requested in this form. The Bank ensures confidentiality of the received information in accordance with the requirements of the laws and regulations. We ask you to fill out all the boxes of the form in full and with good faith. The Bank would like to thank you for understanding and cooperation in filling out the form.

BUYER'S INFORMATION

Name, surname

Any other names used (such as maiden name, former surname and alias)

Date of birth

Place of birth (specify country)

Declared place of residence

Actual residence address (if differs from the declared one)

Mailing address (if differs from the declared one)

Personal identity document number and series

Issuing authority of the identity document, country, date of issue and expiration date

Phone number (with country code)

Mobile phone number (with country code)

E-mail address

Skype

Select the language of communication with the Bank:

☐

Russian

☐

English

☐

Latvian

Is the Buyer a politically exposed person, member of family of a politically exposed person, or person closely connected to a politically exposed person?

☐ NO☐ YES (please fill out the form "Notification about the status of a politically exposed person")**INFORMATION ABOUT THE CONTACT PERSON OF THE BUYER** (provided information will be used if the Buyer could not be reached)

Name, surname

Phone number (with country code)

Mobile phone number (with country code)

E-mail address

Skype

INFORMATION ABOUT THE BUYER'S LEGAL REPRESENTATIVE (if any)

Name, surname

Any other names used (such as maiden name, former surname and alias)

Personal identity number and date of birth (for residents of the Republic of Latvia) or date of birth (for non-residents of the Republic of Latvia)

Place of birth

Declared place of residence (actual)

Buyer's legal representative acts on the basis of

☐ POA☐ other (specify)

Is the Buyer's legal representative a politically exposed person?

☐ NO☐ YES (specify position, institution, country, period during which position was held) _____

Is the Buyer's legal representative a family member of a politically exposed person?

☐ NO☐ YES (specify the following information on the politically exposed person: name, surname, position, institution, country, period during which position was held, family ties) _____

Is the Buyer's legal representative a person who is closely connected to a politically exposed person?

☐ NO☐ YES (specify the following information on the politically exposed person: name, surname, position, institution, country, period during which position was held, nature of the link) _____

INFORMATION ABOUT THE BUYER'S STATUS AND SOURCE OF FUNDS FOR THE INTENDED ACQUISITION OF THE ASSET

<input type="checkbox"/> wage earner	<input type="checkbox"/> student	<input type="checkbox"/> entrepreneur (please fill out the form "Notification of Buyer about business activity")	<input type="checkbox"/> government employee
Name of employer	Country of employer/ educational institution	Type of activities	Position
<input type="checkbox"/> holder of pension	<input type="checkbox"/> unemployed person	<input type="checkbox"/> other (specify)	

Is the above-mentioned type of activity connected to the Republic of Latvia?

☐ NO ☐ YES

Bank	Buyer or Buyer's legal representative
(signature)	(signature)

Source of funds intended to be used to acquire the asset:

<input type="checkbox"/> salary//earnings/royalties	<input type="checkbox"/> inheritance
<input type="checkbox"/> savings/deposits	<input type="checkbox"/> deed of gift
<input type="checkbox"/> maturity/surrender of life insurance policy	
<input type="checkbox"/> property sale (specify the type of property)	
<input type="checkbox"/> sale or profit from stocks or other investments (specify name of the legal entity or type of investment)	
<input type="checkbox"/> dividends/interest (specify name of the legal entity/payer of the interest)	
<input type="checkbox"/> loan (specify the name of the lender)	
<input type="checkbox"/> sale of capital shares of a legal entity (specify the name of the legal entity)	
<input type="checkbox"/> other (specify)	

Please provide supporting documentation for all identified sources of funds, e.g. copy of the contract, transaction/receipt confirmation and other supporting information/documents depending on the indicated source of funds. List all supporting information/documents provided/to be provided to the Bank.

Buyer's average monthly income in EUR (please specify the amount)

REASONS FOR ACQUIRING THE ASSET (INTENDED NATURE OF THE TRANSACTION)

Please provide reasons for acquiring the asset

ACCOUNTS IN OTHER BANKS

☐ NO ☐ YES (please specify)

Bank	Country
1.	1.
2.	2.
3.	3.

WILL THE ASSET ACQUISITION BE LINKED TO THE BUSINESS ACTIVITY OF THE BUYER?

☐ NO ☐ YES (please fill out the form "Notification of Buyer about business activity")

ARE YOU A BENEFICIARY, I.E. A TRUE BENEFICIARY AND PARTY CONCERNED, IN TRANSACTIONS WITH THE BANK?

☐ YES ☐ NO (please supply the form "Buyer Beneficial owner confirmation")

By signing it, I hereby confirm that the information given is true and accurate and I undertake to notify the Bank immediately in writing about all the changes in the submitted information. I am informed and agree that in accordance with Article 195.1 of the Criminal Code of the Republic of Latvia the provision of false information to the Bank is a criminal infraction and is punishable under the criminal law. I am informed and agree that the Bank reserves the right of validity check of the information, as well as the right to obtain information about the Buyer. I undertake to submit the required documents at the first request of the Bank and within the time limit set by the Bank.

SIGNATURE OF BUYER OR BUYER'S LEGAL REPRESENTATIVE

Signature, name, surname of the Buyer or Buyer's legal representative

Date: _____ 20____

SIGNATURE OF THE INSOLVENT AS "PNB Banka" EMPLOYEE

Face-to-face identification of the Buyer or Buyer's legal representative has been performed. Authorization of the Buyer's legal representative has been checked. The document has been signed in my presence.

Position, signature, name, surname of the employee of the insolvent AS "PNB Banka"

Date: _____ 20____

NOTES OF THE INSOLVENT AS "PNB Banka"

Position, signature, name, surname of the representative of the insolvent AS "PNB Banka"

Date: _____ 20____

L.S.