

BUYER'S BENEFICIAL OWNER CARD

(for Buyer – legal entity)

BUYER'S INFORMATION

Name

Registration number

INFORMATION ABOUT THE BUYER'S BENEFICIAL OWNER*

*Beneficial owner - a natural person:

- who owns, in the form of direct or indirect shareholding, more than 25 % (*twenty-five per cent*) of the capital shares or voting stock of the legal person or who directly or indirectly controls it;
- who owns or in whose interests a legal arrangement has been established or operates, or who directly or indirectly exercises control over it, including who is the founder, proxy or supervisor (manager) of such legal arrangement;
- on whose behalf, for whose benefit or in whose interests business relationship is being established or an occasional transaction is being executed with the insolvent AS "PNB Banka" (hereinafter referred to as the Bank).

Information about the beneficial owners (please fill out a separate card for each person).

I, hereby, confirm that the Buyer's beneficial owner is:

Name, Surname

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

Date of birth and personal identity number (for residents of the Republic of Latvia) / date of birth (for non-residents of the Republic of Latvia)

Place of birth (specify country)

Personal identity document number and series

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

Validity period of identity document

Nationality

Country of permanent residence

Declared place of residence

Actual residence address (if differs from the declared one)

Mailing address (if differs from the declared one)

Phone number (with country code):

Email address:

Type of exercised control:

- ☐ directly or indirectly owns shares / stocks of the Buyer's equity (specify %) _____
- ☐ other type of control over the Buyer (specify) _____

Bank

Buyer's legal representative

(signature)

(signature)

INFORMATION ABOUT THE SOURCE OF WEALTH AND ITS ORIGIN:

Please specify the total net worth wealth of the beneficial owner in euro:

Please specify source(s) of wealth and its origin:

- | | |
|--------------------------|--|
| <input type="checkbox"/> | salary/earnings/royalties (full name of the employer/ full names of legal entities providing earnings and the amount of salary/earnings for the last six (6) months and the statements on annual salary for last year including bonuses) |
| <input type="checkbox"/> | savings/deposits (assets and sources of the assets forming savings/deposits) |
| <input type="checkbox"/> | inheritance (full name of the deceased from whom an inheritance has been received and the received amount/value) |
| <input type="checkbox"/> | deed of gift (full name of the grantor of the gift and the amount/value of the gift) |
| <input type="checkbox"/> | maturity/surrender of life insurance policy (full name of the policy provider and the received amount) |
| <input type="checkbox"/> | property/property sale (type of the property (movable or immovable property) and sale price) |
| <input type="checkbox"/> | sale or profit from stocks or other investments (full name of the legal entity and type of investment) |
| <input type="checkbox"/> | dividends/interest (full name of the legal entity/payer of interest) |
| <input type="checkbox"/> | sale of capital shares of a legal entity (full name of the legal entity and sale price) |
| <input type="checkbox"/> | other (provide relevant details on the involved parties and total transactional amount received) |

Please note that you are required to provide supporting documentation for all identified sources of wealth, e.g. copy of the contact, transaction/receipt confirmation and other supporting information/documents depending on the indicated source of funds. In addition to the supporting documentation please provide a CV of the Buyer's beneficial owner outlining education and previous professional experience. List all supporting information/documents provided/to be provided to the Bank.

INFORMATION ABOUT TAX RESIDENCY OF THE BUYER'S BENEFICIAL OWNER, ACCORDING TO FATCA (THE FOREIGN ACCOUNT TAX COMPLIANCE ACT) AND OECD CRS (ORGANISATION FOR ECONOMIC CO-OPERATION AND DEVELOPMENT COMMON REPORTING STANDARD)

Tax Resident is a person whose income is taxed in accordance with the legislative and regulatory acts of the country concerned. For example, based on a permanent residence, period of stay (usually not less than 183 days within 12 months), close personal or economic relationship or other criteria that require taxation of income.

Specify Tax Residency country and tax identification number of the beneficial owner (if several, indicate all):

Country	Tax identification number
1.	1.
2.	2.
3.	3.

Is the beneficial owner a U.S. citizen or he has a U.S. taxpayer status?

- ☐ NO ☐ YES (necessary to fill in a W-9 form provided by the Bank representative)

INFORMATION REGARDING BENEFICIAL OWNER'S STATUS OF POLITICALLY EXPOSED PERSON

Politically exposed person - a person, who is entrusted or was entrusted with prominent public position in the Republic of Latvia, the country of a member state of the European Union or the European Economic Area, or in a third country other than the Republic of Latvia, the country of a member state to the European Union or the European Economic Area, including a prominent public official, the head of state administrative unit (local government), the head of the government, a minister (a deputy minister or a deputy minister assistant, if such a position exists in the state), a state secretary or another high rank officials in the government or in the state administrative unit (local government), a member of the parliament or a member of a similar legislative structure, a member of a governing body (board) of a political party, a judge of the constitutional court, supreme court or a judge of another court (member of a judicial institution), a member of the council or of the board of a high-ranking audit (review) commission, a member of the council or of the board of a central bank, an ambassador, a chargé d'affaires, a high-ranking military officer, a member of the council or of the board of a state-owned enterprise, head of an international organization (director, deputy director) or member of the board or a person who holds an equivalent position in the organization.

Member of the family of politically exposed person - a spouse or a person equivalent to a spouse. A person shall be treated as equivalent to a spouse provided that the laws of the respective country contain a provision for such status; a child or a child of a spouse of a politically exposed person, or of a person equivalent to a spouse, his/her spouse or a person equivalent to a spouse parents, grandparents, grandchildren, brothers and sisters.

Person closely connected to a politically exposed person - a natural person, about whom it is known to have business or other close relationship with any politically exposed person, or who is a shareholder or participant of the business society with any politically exposed person, as well as a natural person that is a sole owner of a legal arrangement that is known to be established for the benefit de facto of any politically exposed person.

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

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

- ☐ YES (please fill in the following information): ☐ NO

1. <input type="checkbox"/> is a politically exposed person	
2. <input type="checkbox"/> is a family member of a politically exposed person	
3. <input type="checkbox"/> is a person who is closely connected to a politically exposed person	
Country where politically exposed person holds/held prominent public position	
Name, surname of politically exposed person (only paragraphs 2, 3)	
Occupied position (only paragraphs 1,2,3): <div style="display: flex; flex-wrap: wrap;"> <div style="width: 33%;"><input type="checkbox"/> Head of State</div> <div style="width: 33%;"><input type="checkbox"/> Other high level official in government or state administrative unit (municipality, including deputy at municipal level)</div> <div style="width: 33%;"><input type="checkbox"/> Ambassador or chargés d'affaires</div> <div style="width: 33%;"><input type="checkbox"/> Head of state administrative unit(municipality)</div> <div style="width: 33%;"><input type="checkbox"/> Member of parliament or member of other similar legislative bodies</div> <div style="width: 33%;"><input type="checkbox"/> Member of Central bank's council or board</div> <div style="width: 33%;"><input type="checkbox"/> Head of government</div> <div style="width: 33%;"><input type="checkbox"/> Member of governing bodies (board) of a political party</div> <div style="width: 33%;"><input type="checkbox"/> High-ranking military officer</div> <div style="width: 33%;"><input type="checkbox"/> Minister, deputy minister or a deputy minister assistant</div> <div style="width: 33%;"><input type="checkbox"/> Judge of constitutional court, supreme court or a judge of another court (member of a judicial institution)</div> <div style="width: 33%;"><input type="checkbox"/> Member of the council or of the board of a state-owned enterprise</div> <div style="width: 33%;"><input type="checkbox"/> State secretary</div> <div style="width: 33%;"><input type="checkbox"/> Member of the council or of the board of a high-ranking audit (review) commission</div> <div style="width: 33%;"><input type="checkbox"/> Head of an international organization (director, deputy director) or member of the board or a person who holds an equivalent position in the organization</div> </div>	
Institution where politically exposed person holds/held position (for paragraphs 1,2,3)	
Period during which position is/was held (for paragraphs 1,2,3)	
By signing it, I hereby confirm that the submitted information 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 is entitled to verify the information and obtain additional information on the Buyer (as well as on authorized representative of the Buyer) and on Buyer's beneficial owner in the extent and according to procedures specified in regulations that related to money laundering and terrorist financing prevention area. 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 THE BUYER'S LEGAL REPRESENTATIVE/S	
Position, signature, name, surname of the Buyer's legal representative	
Date: _____ 20____	
Position, signature, name, surname of the Buyer's legal representative	
Date: _____ 20____	
Position, signature, name, surname of the Buyer's legal representative L.S.	
Date: _____ 20____	
SIGNATURE OF THE BANK 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 Bank	
Date: _____ 20____	
NOTES OF THE BANK	
Position, signature, name, surname of the representative of the Bank	
Date: _____ 20____ L.S.	