



DUE DILIGENCE QUESTIONNAIRE – sovereigns, local and regional administration and self-government, international missions and international organisations

Raiffeisenbank Austria d.d. (hereinafter: the Bank) collects and processes the data provided in this Questionnaire, including personal data, for the purpose of complying with its legal obligations as the processing party in order to perform client due diligence and fulfil the obligations which arise from the regulations specified below, and all to the effect of establishing and maintaining the client's business relationship with the Bank.

The data from this Questionnaire, including personal data, are collected and processed pursuant to:

- The Anti-Money Laundering and Terrorist Financing Act and related implementing regulations,
- The Act on International Restrictive Measures and the resolutions of the European Union on the implementation of international restrictive measures and related implementing regulations,
- The Act on Administrative Cooperation in the Field of Taxation and/or other tax regulations

Collecting data contained in this Questionnaire is mandatory. If the Client refuses to disclose a required piece of data or provides incorrect information, the Bank may reject to establish a business relationship or terminate an already established business relationship with the Client.

TYPE OF CLIENT

- | | |
|---|--|
| <input type="checkbox"/> state ministry | <input type="checkbox"/> diplomatic mission or consular post |
| <input type="checkbox"/> state administrative organization | <input type="checkbox"/> international mission |
| <input type="checkbox"/> public authority (fund, agency, institute) | <input type="checkbox"/> supranational institution |
| <input type="checkbox"/> county/city/municipality | <input type="checkbox"/> international organization |
| <input type="checkbox"/> other | <input type="text"/> |

1. CLIENT'S IDENTIFICATION DATA

Name	<input type="text"/>	
OIB (PIN)	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	VAT ID <input type="text"/> <small>(filled by Client registered in an EU member state, except RH)</small>
LEI	<input type="text"/>	
Date of Establishment <small>(not for sovereigns)</small>	<input type="text"/>	Country of Establishment <input type="text"/>

SEAT ADDRESS

Street and No.	<input type="text"/>	
Place	<input type="text"/>	Country <input type="text"/>

DATA OF AUTHORISED REPRESENTATIVES

Enter data¹ of the Client's authorised representatives with powers to do business with Raiffeisenbank Austria d.d.

1. Name and Surname	<input type="text"/>		
OIB ² /Identification No.	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Citizenship	<input type="text"/>
Date of Birth	<input type="text"/>	Country of Residence	<input type="text"/>
Function	<input type="text"/>		

¹ Data are collected also in the capacity of beneficial owners of subsidiary/ies, in compliance with the Anti-Money Laundering and Terrorist Financing Act

² Fill if assigned to a person authorised for client representation

2.	Name and Surname	<input type="text"/>		
	OIB ² /Identification No.	<input type="text"/>	Citizenship	<input type="text"/>
	Date of Birth	<input type="text"/>	Country of Residence	<input type="text"/>
	Function	<input type="text"/>		
3.	Name and Surname	<input type="text"/>		
	OIB ² /Identification No.	<input type="text"/>	Citizenship	<input type="text"/>
	Date of Birth	<input type="text"/>	Country of Residence	<input type="text"/>
	Function	<input type="text"/>		
4.	Name and Surname	<input type="text"/>		
	OIB ² /Identification No.	<input type="text"/>	Citizenship	<input type="text"/>
	Date of Birth	<input type="text"/>	Country of Residence	<input type="text"/>
	Function	<input type="text"/>		
5.	Name and Surname	<input type="text"/>		
	OIB ² /Identification No.	<input type="text"/>	Citizenship	<input type="text"/>
	Date of Birth	<input type="text"/>	Country of Residence	<input type="text"/>
	Function	<input type="text"/>		

2. BUSINESS ACTIVITY

Details of business activity which is or will be performed via RBA

Number of employees

Client is registered or performs activities related to

gambling	<input type="checkbox"/> Yes	<input type="checkbox"/> No
military business activities	<input type="checkbox"/> Yes	<input type="checkbox"/> No
nuclear power	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Client has business activity or other nexus to sanctioned countries and regions like Iran, Syria, North Korea, Crimea, Afganistan, Russia, Belarus, Eastern Ukraine - Donetsk and Luhansk Oblasts

Presence (subsidiary, rep. office, joint venture)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Business partners (buyers, suppliers, customers)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Selling products/offering services	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Ownership / Authorised representatives (owned by sanctioned entities, individuals)	<input type="checkbox"/> Yes	<input type="checkbox"/> No

If any of the answers is YES, please explain in detail:

The Client does not execute and will not execute transactions prohibited by applicable sanctions³ which involve the Bank in any way.

☐ Confirmed

☐ Not confirmed

³ Applicable sanctions: EU <https://sanctionsmap.eu/#/main>; US/OFAC <https://ofac.treasury.gov/sanctions-list-search-tool>; UK <https://sanctionssearchapp.ofsi.hmtreasury.gov.uk/>

3. PURPOSE OF BUSINESS RELATIONSHIP

Select the purpose of business relationship with the Bank

- | | |
|---|---|
| <input type="checkbox"/> Transaction Account | <input type="checkbox"/> Trading in Financial Instruments by Order |
| <input type="checkbox"/> Loans | <input type="checkbox"/> Custody Business and Portfolio Management |
| <input type="checkbox"/> Documentary Agreements | <input type="checkbox"/> Factoring |
| <input type="checkbox"/> Treasury Transactions | <input type="checkbox"/> Other (state) <div style="border: 1px solid black; width: 200px; height: 40px; display: inline-block; vertical-align: top;"></div> |

Reason for establishing business relationship in RH

(filled by business entity with seat outside RH)

The Client is opening/maintaining a Transaction Account or establishing/maintaining another business relationship for

- ☒ their own account (not acting in the capacity of a trustee)
- ☒ a third party's account (if you ticked this option, filling the Attachment Trusteeship hereto is mandatory)

4. BUSINESS TRANSACTIONS THROUGH RBA TRANSACTION ACCOUNT

Types of transactions to be executed in the account

- | | | | |
|--|--|---|---|
| <input type="checkbox"/> national payments | <input type="checkbox"/> cross-border payments
(EEA: EU members, Iceland, Lichtenstein, Norway) | <input type="checkbox"/> international payments | <input type="checkbox"/> payments towards EU high-risk third countries ⁴ |
|--|--|---|---|

Planned account turnover (total inflows and outflows) in the next 12 months

- | | |
|--|--|
| <input type="checkbox"/> up to EUR 50.000 | <input type="checkbox"/> up to EUR 1.000.000 |
| <input type="checkbox"/> up to EUR 100.000 | <input type="checkbox"/> up to EUR 2.000.000 |
| <input type="checkbox"/> up to EUR 300.000 | <input type="checkbox"/> over EUR 2.000.000 |

Compared to the planned annual turnover in the account, expected inflow of assets to the account

CURRENCY

FROM WHICH COUNTRY

AMOUNT

Expected annual account turnover increase in next 3 years

- ☒ up to 15%⁵ ☒ up to 30% ☒ up to 50% ☒ up to 100% ☒ over 100%

Transaction account will be used for cash transactions primarily

- ☒ Yes ☐ No

Source of funds inflow to the account

- | | |
|---|---|
| <input type="checkbox"/> funds from home country | <input type="checkbox"/> loans from financial/credit institutions |
| <input type="checkbox"/> budget funds | <input type="checkbox"/> loans/deeds of gift |
| <input type="checkbox"/> funds from business activity | <input type="checkbox"/> other (state) <div style="border: 1px solid black; width: 200px; height: 40px; display: inline-block; vertical-align: top;"></div> |

⁴ Afghanistan, Barbados, Burkina Faso, Cameroon, Cayman Islands, DPR Korea, DR Congo, Gibraltar, Haiti, Iran, Jamaica, Jordan, Mali, Mozambique, Myanmar, Nigeria, Panama, Philippines, Senegal, South Africa, South Sudan, Syria, Tanzania, Trinidad and Tobago, Uganda, United Arab Emirates, Vanuatu, Vietnam, Yemen.
EU high-risk third countries <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A02016R1675-20231018>

⁵ This selection is also applicable in case that no annual increase in account turnover is expected in the next 3 years

5. TAX RESIDENCY (filled by international organization)

The information is collected to the effect of determining tax residency and fulfilling the obligations arising from the Act on Administrative Cooperation in the Field of Taxation. It will be used and communicated in keeping with the regulations in effect, taking into consideration the rules and measures for personal data protection, to the effect of implementing the obligations of appropriate reporting to tax administrations of countries of residence on their respective tax residents.

State the countries in which the Client is a tax resident and their respective Tax Identification No.

COUNTRY OF RESIDENCE

TAX IDENTIFICATION NUMBER

If no Tax Identification No. was entered for the country of residence, state the reason

- ☐ country of tax residence does not issue a tax number
- ☐ country of tax residence has not issued a tax number to the business entity
- ☐ other (state)

If the country of seat / registration address is different from the country of tax residence, clarify

By signing this Questionnaire:

- I confirm, under material liability, that any and all information provided in this Questionnaire is true and up to date
- I undertake to personally and without any delay notify the Bank of any data changes in respect of the information provided in this Questionnaire in writing
- In the event that, as a Client, I wish to establish business relationship with one of the members of Raiffeisen Group in the country or abroad, I agree that the data from this Questionnaire as well as all other data and documents that I have made available to the Bank during onboarding process and in the course business relationship for the purpose of implementing the measures arising from the Anti-Money Laundering and Terrorist Financing Act may be exchanged with such member of the Raiffeisen Group
- I explicitly agree that any and all information from this Questionnaire as well as other any and all information that I have placed at the Bank's disposal at any time of establishing and duration of business relationship as well as information, facts and circumstances which the Bank learns while executing any agreements that I have made with the Bank, can be used at the Bank and other Raiffeisen Group members in the country or abroad to the effect of determining tax residency and complying with the obligations arising from the Act on Administrative Cooperation in the Field of Taxation and can be used and communicated, in compliance with the regulations, to the effect of implementing the obligations of adequate reporting to tax administrations of the respective countries of residence on their respective resident taxpayers for the purpose of implementing the Act on Administrative Cooperation in the Field of Taxation
- I am aware that any and all information referring to personal data processing are contained in the Rules of Personal Data Treatment of Raiffeisenbank Austria d.d. which are available at the branches and on www.rba.hr

Name and surname of the Client's authorised representative/s signing the form:

Place and date

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Client's signature