



**DUE DILIGENCE QUESTIONNAIRE - PRIVATE INDIVIDUALS  
WITH REGISTERED BUSINESS ACTIVITY**

**TEMPLATE FILLED FOR THE PURPOSE OF:**

- establishing a business relationship       reporting data changes  
(in the template state only the data that are changed)

**1. Identification Data of the Client (business entity)**

Client Name

OIB  VAT ID

Country of Establishment

Date of Establishment

**SEAT ADDRESS**

Street and No.

Place

Country

**Information on Persons Authorised for Representation**

	<b>NAME AND SURNAME</b>	<b>OIB<sup>1</sup> / Identification No.</b>	<b>COUNTRY OF RESIDENCE</b>
1.	<input type="text"/>	<input type="text"/>	<input type="text"/>
2.	<input type="text"/>	<input type="text"/>	<input type="text"/>
3.	<input type="text"/>	<input type="text"/>	<input type="text"/>
4.	<input type="text"/>	<input type="text"/>	<input type="text"/>
5.	<input type="text"/>	<input type="text"/>	<input type="text"/>

**2. Business Activity**

Details of the Client's business operations

Number of employees

- Client is registered or performs activities related to
- gambling  Yes  No
- war material  Yes  No
- nuclear energy  Yes  No

<sup>1</sup> Enter if assigned to an authorised representative of the Client

### 3. Purpose of Establishing Business Relationship

(fill only when establishing a business relationship or change in owner/stakeholder)

- |   |   |
|---|---|
| <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) <input style="width: 300px; height: 20px;" type="text"/> |

- Types of transactions to be executed in the account
- |   |
|---|
| <input type="checkbox"/> national transactions          |
| <input type="checkbox"/> cross-border (EU) transactions |
| <input type="checkbox"/> international transactions     |

If using the account for international transactions, state data of the 3 most important international business partners

**COMPANY NAME/NAME AND SURNAME OF BUSINESS PARTNER**

**COUNTRY**

**NATURE OF BUSINESS**

COMPANY NAME/NAME AND SURNAME OF BUSINESS PARTNER	COUNTRY	NATURE OF BUSINESS
<input style="width: 300px; height: 25px;" type="text"/>	<input style="width: 150px; height: 25px;" type="text"/>	<input style="width: 150px; height: 25px;" type="text"/>
<input style="width: 300px; height: 25px;" type="text"/>	<input style="width: 150px; height: 25px;" type="text"/>	<input style="width: 150px; height: 25px;" type="text"/>
<input style="width: 300px; height: 25px;" type="text"/>	<input style="width: 150px; height: 25px;" type="text"/>	<input style="width: 150px; height: 25px;" type="text"/>

- Planned annual turnover in the Account
- |  |   |
|--|---|
| <input type="checkbox"/> up to HRK 200,000   | <input type="checkbox"/> up to HRK 15,000,000 |
| <input type="checkbox"/> up to HRK 500,000   | <input type="checkbox"/> over HRK 15,000,000  |
| <input type="checkbox"/> up to HRK 1,000,000 |   |

- Transaction Account used primarily for cash transactions
- Yes  No

- Source of assets
- |   |
|---|
| <input type="checkbox"/> assets from regular business operations                                |
| <input type="checkbox"/> assets from owner  |
| <input type="checkbox"/> assets from business partners, sponsors, etc. (loan, etc.)             |
| <input type="checkbox"/> other (state) <input style="width: 300px; height: 25px;" type="text"/> |

Expected inflow of assets in the next 12 months by currencies

CURRENCY	AMOUNT	FROM WHICH COUNTRY
<input style="width: 150px; height: 25px;" type="text"/>	<input style="width: 150px; height: 25px;" type="text"/>	<input style="width: 150px; height: 25px;" type="text"/>
<input style="width: 150px; height: 25px;" type="text"/>	<input style="width: 150px; height: 25px;" type="text"/>	<input style="width: 150px; height: 25px;" type="text"/>
<input style="width: 150px; height: 25px;" type="text"/>	<input style="width: 150px; height: 25px;" type="text"/>	<input style="width: 150px; height: 25px;" type="text"/>
<input style="width: 150px; height: 25px;" type="text"/>	<input style="width: 150px; height: 25px;" type="text"/>	<input style="width: 150px; height: 25px;" type="text"/>

State 3 most important business partners – BUYERS<sup>2</sup>

	NAME/COMPANY	TOWN	COUNTRY
1.	<input style="width: 250px; height: 25px;" type="text"/>	<input style="width: 100px; height: 25px;" type="text"/>	<input style="width: 100px; height: 25px;" type="text"/>
2.	<input style="width: 250px; height: 25px;" type="text"/>	<input style="width: 100px; height: 25px;" type="text"/>	<input style="width: 100px; height: 25px;" type="text"/>
3.	<input style="width: 250px; height: 25px;" type="text"/>	<input style="width: 100px; height: 25px;" type="text"/>	<input style="width: 100px; height: 25px;" type="text"/>

State 3 most important business partners – SUPPLIERS<sup>2</sup>

	NAME/COMPANY	TOWN	COUNTRY
1.			
2.			
3.			

- Client has no significant suppliers/buyers because
- it is a newly founded business entity
  - business entity's activity has no significant suppliers
  - business entity's activity has no significant buyers
  - other reasons (state)

### Determining Existence of a Fiduciary Relationship / Pooled account

You are opening a Transaction Account or establishing another business relationship for

- your own account (not acting in the capacity of a trustee)
- a third person's account (if you ticked this option, filling Attachment 2 hereto is mandatory)

You will use the Account as a Pooled account (in order to administer funds that belong to the customer's own clients)

- Yes (if you ticked this option, please be noted that you are obligated to perform due diligence measures for your own customers, including establishing the identity of beneficiary owners, and that Raiffeisenbank Austria d.d. can request that such data be delivered to it at any time)
- No

## 4. Tax Residency

The information is collected for the purpose of determining tax residency and fulfilling the obligations that arise from the Act on Administrative Cooperation in Tax Matters. The information shall be used and exchanged in keeping with the valid regulations, adhering to the rules and protection measures concerning personal data, to the effect of implementing the obligation of adequate reporting to the tax administrations of the countries of tax residency of their respective tax residents.

### Information on Owner/Stakeholder

Name	<input style="width: 270px; height: 25px;" type="text"/>	Surname	<input style="width: 270px; height: 25px;" type="text"/>
Date of Birth	<input style="width: 270px; height: 25px;" type="text"/>	Place of Birth	<input style="width: 270px; height: 25px;" type="text"/>
Country of Birth	<input style="width: 270px; height: 25px;" type="text"/>	OIB	<input style="width: 50px; height: 25px;" type="text"/> <input style="width: 50px; height: 25px;" type="text"/> <input style="width: 50px; height: 25px;" type="text"/> <input style="width: 50px; height: 25px;" type="text"/> <input style="width: 50px; height: 25px;" type="text"/> <input style="width: 50px; height: 25px;" type="text"/> <input style="width: 50px; height: 25px;" type="text"/> <input style="width: 50px; height: 25px;" type="text"/> <input style="width: 50px; height: 25px;" type="text"/> <input style="width: 50px; height: 25px;" type="text"/>

### Residence Address

Street and No.	<input style="width: 670px; height: 25px;" type="text"/>
Place	<input style="width: 670px; height: 25px;" type="text"/>
Country	<input style="width: 670px; height: 25px;" type="text"/>

Owner/stakeholder is a US Citizen  Yes

(in keeping with the US tax regulations, US citizens are considered also US tax residents)

No

If you are a US citizen and do not regard yourself a US tax resident, please clarify

Owner/stakeholder is a US tax resident<sup>3</sup>

Yes Tax Identification Number

No

         

<sup>2</sup> Significant buyers/suppliers are those that participate in a Client's business in a significant amount (>5%).

<sup>3</sup> US tax resident is required to deliver the W-9 form filled and signed.



If you entered no tax identification number for the respective country of tax residency above, tick your reason

- country of tax residency does not issue TIN  
 country of tax residency did not issue a TIN to the business entity  
 other (state)

If the country of residence address is different from the country of tax residency, please clarify

Collecting information contained in this Questionnaire is mandatory. If the Client refuses to exchange a particular piece of information or provides incorrect information to Raiffeisenbank Austria d.d. (hereinafter: Bank), the Bank can reject the business relationship to be established or terminate a previously made business relationship with the Client in accordance with regulations governing the prevention of money laundering and terrorist financing".

I am aware that the Bank collects and processes the information in this Questionnaire in compliance with the requirements of the Bank as the processor to the effect of customer due diligence and fulfilling the obligations pursuant to the regulations mentioned in this Questionnaire herein, and to the effect of establishing or maintaining the Client's relationship with the Bank.

By signing this Questionnaire, I confirm, under material liability, that the above information is accurate and updated. I undertake to notify the Bank in writing of any and all changes to the above information immediately.

If I as the Client wish to establish a relationship with any of the Raiffeisen Group members in the country or abroad, I agree that the information contained in this Questionnaire can be exchanged with the respective Raiffeisen Group member.

By signing this Questionnaire, I express our consent that any and all information in this Questionnaire and other data placed at the Bank's disposal by the authorised person at the time of establishing and duration of the business relationship as well as the data, facts and circumstances that the Bank learns in the process of executing any agreement made with the Bank can be used within the Bank and the Raiffeisen Group members in the country and abroad, to the effect of determining the Client's tax residency and fulfilment of obligations arising from the Act on Administrative Cooperation in Tax Matters and that these can be used and exchanged, in compliance with the regulations, to the effect of reporting to the tax administrations of the residence countries on their respective tax residents to the effect of implementing the Act on Administrative Cooperation in Tax Matters.

We know that any and all information on data processing is contained in the document Rules of Personal Data Treatment of Raiffeisenbank Austria d.d., which is available at the Bank's Branches and [www.rba.hr](http://www.rba.hr)

Name and Surname of the authorised representative/s signing this form:

Place and date:

\_\_\_\_\_  
Certification of the Client: