



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	<input style="width: 90%;" type="text"/>																				
OIB	<table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>																				
Country of Establishment	<input style="width: 90%;" type="text"/>																				
Date of Establishment	<input style="width: 150px;" type="text"/>																				

SEAT ADDRESS

Street and No.	<input style="width: 90%;" type="text"/>
Place	<input style="width: 90%;" type="text"/>
Country	<input style="width: 90%;" type="text"/>

Information on Persons Authorised for Representation

(filled only by the Client with seat registered outside the Republic of Croatia)

	NAME AND SURNAME	OIB ¹ / Identification No.	COUNTRY OF RESIDENCE																																								
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2. Business Activity

Details of the Client's business operations

<input style="width: 98%;" type="text"/>
<input style="width: 98%;" type="text"/>
<input style="width: 98%;" type="text"/>

Number of employees	<input style="width: 80%;" type="text"/>
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Client is registered or performs activities related to	gambling	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	war material	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	nuclear energy	<input type="checkbox"/> Yes	<input type="checkbox"/> No	

¹ 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 type="text"/> |

Types of transactions to be executed in the account

- ☐ national transactions
☐ cross-border (EU) transactions
☐ 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

<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"/>

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

- ☐ assets from regular business operations
☐ assets from owner
☐ assets from business partners, sponsors, etc. (loan, etc.)
☐ other (state)

Expected inflow of assets in the next 12 months by currencies

CURRENCY

AMOUNT

FROM WHICH COUNTRY

<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"/>

State 3 most important business partners – BUYERS²

NAME/COMPANY

TOWN

COUNTRY

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"/>

State 3 most important business partners – SUPPLIERS²

	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 type="text"/>	Surname	<input type="text"/>
Date of Birth	<input type="text"/>	Place of Birth	<input type="text"/>
Country of Birth	<input type="text"/>	OIB	<input type="text"/>

Residence Address

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

Owner/stakeholder is a US tax resident

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

☐ Yes

☐ No

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

Owner/stakeholder is a US tax resident³

☐ Yes

☐ No

Tax Identification Number

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

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

State countries (other than US) where the owner/stakeholder is a tax resident and the respective tax identification number

COUNTRY OF RESIDENCE

TAX IDENTIFICATION NUMBER

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)

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

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Information on owner/stakeholder

Name	<table border="1"><tr><td></td></tr></table>		Surname	<table border="1"><tr><td></td></tr></table>																				
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Residence Address

Street and No.	<table border="1"><tr><td></td></tr></table>	
Place	<table border="1"><tr><td></td></tr></table>	
Country	<table border="1"><tr><td></td></tr></table>	

Owner/stakeholder is a US tax resident

☐ 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 resident³

☐ Yes

Tax Identification Number

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☐ No

State countries (other than USA) where the owner/stakeholder is a tax resident and the respective tax identification number

COUNTRY OF RESIDENCE

TAX IDENTIFICATION NUMBER

³ 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.

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 to the effect of determining the data on the named beneficiaries.

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

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

Place and date:

Certification of the Client: