



## DUE DILIGENCE QUESTIONNAIRE – business entities

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.

### TEMPLATE FILLED FOR THE PURPOSE OF:

- ☐ establishing a business relationship ☐ reporting data changes

### 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"/>	VAT ID	<input type="text"/>
												(filled by Client registered in an EU member state, except RH)	
Date of Establishment	<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 information on:

- Board members and procurists (data on Supervisory Board members, company founders or members not filled)
- Other authorised representatives of the business entity who are authorised to contract deals with Raiffeisenbank Austria d.d.

1.	Name and Surname	<input type="text"/>											
	OIB <sup>1</sup> /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"/>	Country of Residence	<input type="text"/>
	Function	<input type="text"/>											
2.	Name and Surname	<input type="text"/>											
	OIB <sup>1</sup> /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"/>	Country of Residence	<input type="text"/>
	Function	<input type="text"/>											
3.	Name and Surname	<input type="text"/>											
	OIB <sup>1</sup> /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"/>	Country of Residence	<input type="text"/>
	Function	<input type="text"/>											

<sup>1</sup> Fill if assigned to a person authorised for client representation

4. Name and Surname

OIB<sup>1</sup>/Identification No.                     Country of Residence

Function

5. Name and Surname

OIB<sup>1</sup>/Identification No.                     Country of Residence

Function

## 2. BUSINESS ACTIVITY (if business entity has been founded within 6 months, required data refer to the planned business activity)

Business Entity Economic Activity Code (NKD)<sup>2</sup>

Business activity from which the Client realizes or will realize the highest income

**Details of business activity** (describe business activities performed or planned to be performed by the Client in the next 3 years in Croatia and/or abroad, volume to be executed through RBA, indicate products/services offered by the Client, business partners or potential business partners in Croatia and/or abroad, describe cash flow/business plan and supply chain)

Number of employees

Client or a connected business entity (founder or affiliate), as well as a significant buyer/supplier, 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 <small>(subsidiary, rep. office, joint venture)</small>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Business partners <small>(buyers, suppliers, customers)</small>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Selling products/offering services	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Ownership / Authorised representatives <small>(owned by sanctioned entities, individuals)</small>	<input type="checkbox"/> Yes	<input type="checkbox"/> No

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

<sup>2</sup> Please state NKD (National Classification of Activities) code from the Notification on Classification of Business Entities of the State Bureau of Statistics (or other relevant bodies) or NACE code.

### 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: 30px; display: inline-block; vertical-align: middle;"></div> |

The Client is opening a Transaction Account or establishing 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

Reason for opening the account in RH  
(filled by business entity with seat outside RH)

Types of transactions to be executed in the account

- |  |  |   |   |
|--|--|---|---|
| <input type="checkbox"/> national payments | <input type="checkbox"/> cross-border payments<br>(EEA: EU members, Iceland, Lichtenstein, Norway) | <input type="checkbox"/> international payments | <input type="checkbox"/> payments towards the following states <sup>3</sup> |
|--|--|---|---|

If the account will be used for international transactions, data for 3 most significant business partners are mandatory

COMPANY NAME / NAME AND SURNAME	CITY, COUNTRY	NATURE OF BUSINESS

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  |

Expected annual account turnover increase in next 3 years

- ☒ up to 15%<sup>4</sup>
☐ up to 30%
 ☐ up to 50%
 ☐ up to 100%
 ☐ over 100%

<sup>3</sup> Afghanistan, Barbados, Burkina Faso, Cambodia, Cayman Islands, DPK Korea, Haiti, Iran, Jamaica, Jordan, Mali, Morocco, Myanmar, Nicaragua, Pakistan, Panama, The Philippines, Senegal, South Sudan, Syria, Trinidad and Tobago, Uganda, Vanuatu, Yemen, Zimbabwe

<sup>4</sup> This selection is also applicable in case that no annual increase in account turnover is expected in the next 3 years.

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

CURRENCY	AMOUNT	FROM WHICH COUNTRY

Transaction account will be used for cash transactions primarily

☐ Yes

☐ No

Source of funds inflow to the account

☐ assets from regular business

☐ assets from business partners, sponsors, etc. (loan, etc.)

☐ assets from founder  
(equity share capital, owner's loan, recapitalization)

☐ assets from project financing and/or EU funds

☐ loans from financial /credit institutions

☐ other (state)

State 3 most important business partners – BUYERS<sup>5</sup>

NAME / COMPANY	CITY, COUNTRY	NATURE OF BUSINESS

State 3 most important business partners – SUPPLIERS<sup>5</sup>

NAME / COMPANY	CITY, COUNTRY	NATURE OF BUSINESS

Reason for the Client not having any significant suppliers/buyers

☐ business entity established within 6 months

☐ activity of the business entity has no significant suppliers

☐ activity of the business entity has no significant buyers

☐ other reasons (state)

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

## 5. INFORMATION OF BUSINESS ENTITY RELATED TO AN OFFSHORE DESTINATION

(information filled only by the client with seat or company in the ownership chain from an offshore destination)

Select the Client's country of the registered seat or country of the registered seat of the company in the Client's ownership chain

(multiple selection possible)

- |  |   |   |   |
|--|---|---|---|
| <input type="checkbox"/> American Samoa                | <input type="checkbox"/> Costa Rica     | <input type="checkbox"/> Macao                        | <input type="checkbox"/> Seychelles               |
| <input type="checkbox"/> Andorra                       | <input type="checkbox"/> Curacao        | <input type="checkbox"/> Madeira                      | <input type="checkbox"/> Sint Maarten             |
| <input type="checkbox"/> Anguilla                      | <input type="checkbox"/> Cyprus         | <input type="checkbox"/> Marshall Islands             | <input type="checkbox"/> St. Kitts and Nevis      |
| <input type="checkbox"/> Antigua & Barbuda             | <input type="checkbox"/> Delaware (USA) | <input type="checkbox"/> Mauritius                    | <input type="checkbox"/> St. Lucia                |
| <input type="checkbox"/> Aruba                         | <input type="checkbox"/> Dominica       | <input type="checkbox"/> Monaco                       | <input type="checkbox"/> St. Vincent & Grenadines |
| <input type="checkbox"/> Bahamas                       | <input type="checkbox"/> Fiji           | <input type="checkbox"/> Montserrat                   | <input type="checkbox"/> Trinidad & Tobago        |
| <input type="checkbox"/> Bahrain                       | <input type="checkbox"/> Gibraltar      | <input type="checkbox"/> Nauru                        | <input type="checkbox"/> Turks and Caicos         |
| <input type="checkbox"/> Belize                        | <input type="checkbox"/> Grenada        | <input type="checkbox"/> Nevada (USA)                 | <input type="checkbox"/> U.S. Virgin Islands      |
| <input type="checkbox"/> Bermudas                      | <input type="checkbox"/> Guam           | <input type="checkbox"/> Niue                         | <input type="checkbox"/> Uruguay                  |
| <input type="checkbox"/> Bonaire, St. Eustatius & Saba | <input type="checkbox"/> Guernsey       | <input type="checkbox"/> Palau                        | <input type="checkbox"/> Vanuatu                  |
| <input type="checkbox"/> British Virgin Islands        | <input type="checkbox"/> Isle of Man    | <input type="checkbox"/> Panama                       | <input type="checkbox"/> Wyoming (USA)            |
| <input type="checkbox"/> Brunei Darussalam             | <input type="checkbox"/> Jersey         | <input type="checkbox"/> Panama Channel zone (Panama) | <input type="checkbox"/> Zug (Switzerland)        |
| <input type="checkbox"/> Cape Verde                    | <input type="checkbox"/> Labuan         | <input type="checkbox"/> Philippines                  |   |
| <input type="checkbox"/> Cayman Islands                | <input type="checkbox"/> Lebanon        | <input type="checkbox"/> Saint Martin                 |   |
| <input type="checkbox"/> Cook Islands                  | <input type="checkbox"/> Liechtenstein  | <input type="checkbox"/> Samoa                        |   |

State the reason for choosing an offshore jurisdiction (e.g. fear of political repression, of expropriation, lower expenses of company registration or administration). If the choice was made due to taxation reasons, clarify or deliver a tax advisory statement.

If the Client with registered seat in offshore jurisdiction has a connection to the company which registered seat is not in some of listed offshore jurisdictions, fill the following information of the company

1. Company Name

Country and Address

Type of connection

- |  |  |
|--|--|
| <input type="checkbox"/> ownership connection  | <input type="checkbox"/> business relationship with an industrial onshore <sup>6</sup> group |
| <input type="checkbox"/> international trading company with onshore <sup>6</sup> business activity | <input type="checkbox"/> other (clarify the connection) <input type="text"/>                 |

2. Company Name

Country and Address

Type of connection

- |  |  |
|--|--|
| <input type="checkbox"/> ownership connection  | <input type="checkbox"/> business relationship with an industrial onshore <sup>6</sup> group |
| <input type="checkbox"/> international trading company with onshore <sup>6</sup> business activity | <input type="checkbox"/> other (clarify the connection) <input type="text"/>                 |

<sup>6</sup> Onshore business activity or business relationship with an industrial onshore group means business activity or business relationship outside the offshore jurisdictions listed above.

The Client is an already existing client of

- ☐ RBI
- ☐ an RBI Group member  
(state of which one)

If the Client is a member of a group of connected companies, state the name of the group

The Client issues bearer shares

- ☐ Yes ☐ No

## 6. TAX RESIDENCY

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.

Client is a US tax resident<sup>7</sup>

- ☐ Yes
- ☐ No

Tax identification number

State the countries (other than US) 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

Is the Client a Passive NFE<sup>8</sup>

- ☐ Yes ☐ No

Passive NFS – a passive non-financial subject is a subject which realized over 50% of its gross income in the previous calendar year as passive income and over 50% of the NFS's assets are assets realized or held for passive income. Passive income consists of e.g. dividend, interests, rent or royalties which do not arise from an active business, rent etc. Subjects with passive activity are also those with basic business activity classified as one of the following: 6420, 7010, 9200, 9491, 9492 and 9609 or if the Client themselves stated that they pursue a passive business activity.

<sup>7</sup> US tax resident is obliged to deliver filled and signed form W9

<sup>8</sup> Passive NFE is obliged to deliver filled and signed form W-8BEN-E

Within the scope of their business, the Client engages in one of the following activities<sup>9</sup>

- |   |                              |                             |
|---|------------------------------|-----------------------------|
| • accepting deposits within regular banking or similar business   | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| • holding financial assets and performing related financial services (custody) for a third party's account whereby your company realizes over 20% of gross income from such activities over the past three years (or in the period since the company incorporation if this period is less than three years) | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| • performing currency exchange activities, trading in money market instruments, FCY, interest and index instruments, security papers and commodity futures in the name and for the account of their customer  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| • managing individual and joint portfolio in the name and for the account of their customer   | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| • investing in another manner, by administering or managing funds or money for a third party's account  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| • issuing insurance agreements with cash value payment option or life assurance with annuities payment, of making payments in respect of said agreements  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

Tick if any of the following is applicable to the Client

- ☐ public government authority or entity owned by such authority or central bank
- ☐ international organization or entity owned by such organization
- ☐ regularly traded corporation which stocks are regularly traded on an established security market, or the corporation is a related entity of a regularly traded corporation
- ☐ investment entity managed by a financial institution registered and with seat in a country that is not a participating jurisdiction

## 7. OWNERSHIP STRUCTURE OF BUSINESS ENTITY

In keeping with the Anti-Money Laundering and Terrorist Financing Act, the Bank is obligated to determine and verify the identity of the Client's beneficial owner. The Client's beneficial owner is any natural person/s who is/are the end owner or who control/s the Client or otherwise governs them, an/or any natural person/s in whose name a transaction is executed and includes the natural person/s who execute the end efficient control over a legal entity or a legislative framework.

The Client must reveal the overall ownership structure:

- by filling the Attachment Ownership Structure Scheme, which is attached to this form and/or
- by enclosing the organizational scheme dated and signed by the authorised representative, which displays the ownership structure and which must include: name, city, country and ownership percentage of every entity all the way to the beneficial owner.

The Client must document information on the beneficial owners. Acceptable documentation is deemed to be the information from a competent registry in their original or certified copy not older than 3 months. If such a document does not contain data on beneficial owners, the Client is obligated to deliver the originals or photocopies of other documentation from which it is possible to ascertain these (e.g. articles of association, excerpt from register of shareholders) not older than 3 months.

The Client with seat in RH, subject to such an obligation pursuant to the Anti-Money Laundering and Terrorist Financing Act, must register the information on the beneficial owners in the Registry of Beneficial Owners.

The Client with seat outside RH, is obligated to deliver the excerpt from the Registry of Beneficial Owners if such a registry exists in the country of the Client's seat.

The Client is obligated to report any change in the beneficial owners' information to the Registry of Beneficial Owners and deliver it to the Bank as well.

If the Client is registered as a joint stock company with stocks traded at an acceptable stock exchange (see the list on p. 8 herein), state the name of the stock exchange and the share code and in this case, it is not necessary to further fill out the information of ownership.

### STOCK EXCHANGE

### STOCK ISIN



<sup>9</sup> The Client who ticked one of the activities is obligated to deliver its GIIN (Global Intermediary Identification Number) and filled and signed form W-8BEN-E

## Acceptable stock exchanges

COUNTRY	STOCK EXCHANGE	COUNTRY	NAZIV BURZE
Albania	Tirana Stock Exchange	Latvia	Nasdaq Riga AS
Australia	Australian Securities Exchange; Sydney Stock Exchange	Lithuania	Nasdaq Vilnius, AB
Austria	Vienna Stock Exchange	Luxembourg	Bourse de Luxembourg; Luxembourg Stock Exchange (Bourse de Luxembourg)
Belgium	Euronext Brussels	Malaysia	Kuala Lumpur Stock Exchange
Brazil	Bolsa de Valores, Mercadorias & Futuros de Sao Paulo	Malta	European Wholesale Securities Market; Institutional Financial Securities Market; Malta Stock Exchange
Canada	Toronto Stock Exchange	Mexiko	Bolsa Mexicana de Valores
China	Shanghai Stock Exchange; Shenzhen Stock Exchange	Netherlands	Euronext Amersterdam; ICE Endex Markets B.V.; Nxchange B.V.
Croatia	Zagreb Stock Exchange (regulated market)	Norway	FISH POOL ASA; NASDAQ OSLO ASA; NOREXECO ASA; Oslo Bors
CYPRUS	Cyprus Stock Exchange	Poland	Warsaw Stock Exchange
Czech Republic	Burza cenných papírů Praha, a.s.; Prague Stock Exchange; RM-SYSTÉM, česká burza cenných papírů a.s.	Portugal	EURONEXT – MERCADO DE FUTUROS E OPÇÕES; Euronext Lisbon; Euronext Lisbon – Sociedade Gestora de Mercados Regulamentados, SA; OMIP – Pólo Português, S.G.M.R., SA
Denmark	Copenhagen Stock Exchange (belongs to NASDAQ Nordic OMX); NASDAQ Copenhagen A/S	Quatar	Qatar Stock Exchange
Estonia	NASDAQ Tallinn Aktsiaselts; OMX Nordic Exchange Baltic Market Tallinn	Romania	Bursa de Valori Bucuresti (BVB)
Finland	Helsinki Stock Exchange (belongs to NASDAQ Nordic OMX); Nasdaq Helsinki Oy	Russia	Moscow Stock Exchange ; St. Petersburg Stock Exchange
France	Euronext Paris (Paris Bourse); MATIF; MONEP; Powernext SAS	Saudia Arabia	Saudi Stock Exchange (Tadawul)
Germany	BADEN-WUERTTEMBERGISCHE WERTPAPIERBOERSE (REGULIERTER MARKT); Bavarian Exchange AG (Exchange Munich); Boerse Berlin; Boerse Düsseldorf; EUREX DEUTSCHLAND; Eurex Frankfurt AG; Exchange Stuttgart AG; German Exchange AG (Frankfurt); Hamburg Stock Exchange; HANSEATISCHE WERTPAPIERBOERSE HAMBURG (REGULIERTER MARKT); NIEDERSAECHSISCHE BOERSE ZU HANNOVER (REGULIERTER MARKT); TRADEGATE EXCHANGE (REGULIERTER MARKT); XETRA (REGULIERTER MARKT)	Serbia	Belgrad Stock Exchange
Greece	ATHEX Athens Stock Exchange	Singapore	SGX – Singapore Stock Exchange
Hong Kong	Hong Kong Stock Exchange	Slovak Republic	Bratislava Stock Exchange
Hungary	Budapest Stock Exchange; HUDEX Energiatőzsde Zrt.	Slovenia	Ljubljana Stock Exchange
Iceland	Iceland Stock Exchange (belongs to NASDAQ Nordic OMX)	South Africa	Johannesburg Stock Exchange
India	Bombay Stock Exchange (BSE); National Stock Exchange of India	South Korea	KOSDAQ (Part of KRX); KRX Korea Stock Exchange
Indonesia	Indonesia Stock Exchange (IDX)	Spain	Barcelona Stock Exchange; Bolsa de Barcelona; Bolsa de Bilbao; Bolsa de Madrid; Bolsa de Valencia; Bolsas y Mercados Espanoles (BME): Bolsa de Madrid (The Madrid Stock Exchange), Barcelona/ Bilbao/ Valencia Stock Exchange
Ireland	ISE Irish Stock Exchange	Sweden	Nasdaq Stockholm AB; Stockholm Stock Exchange (belongs to NASDAQ Nordic OMX)
Israel	Tel Aviv Stock Exchange	Switzerland	Eurex Zurich; SIX Swiss Exchange (SWX)
Italy	Borsa Italiana; MTS S.P.A. – MTS Italia	Taiwan	Taiwan Stock Exchange
Japan	JASDAQ (Part of JPX); Osaka Exchange (Part of JPX); Hercules (Part of the Osaka Exchange); Tokyo Stock Exchange (JPX); TSE – MOTHERS (Part of JPX)	Thailand	The Stock Exchange of Thailand
		Turkey	Istanbul Stock Exchange
		UAE	Dubai Financial Market; NASDAQ Dubai Abu Dhabi Securities Exchange
		United Kingdom	London Stock Exchange
		USA	Chicago Stock Exchange; NASDAQ Stock market; New York Stock Exchange (NYSE)



## **BENEFICIAL OWNER DEFINITION - NATURAL PERSON**

The beneficial owner of a business entity is considered to be the natural person/s who is/are the ultimate owner or the one who has effective control over the business entity or in whose name a transaction is executed, and includes at least the following:

- A. Natural person/s who own/s the business entity and who otherwise exercise/s control over a sufficient percentage of stocks of the business entity by direct ownership, including also bearer shares, or voting rights or shares in the business entity. Indicator of direct ownership exercised by natural person/s over a business entity is over 25% of shares, voting or other rights pursuant to which rights they gain the right to manage the business entity or ownership of 25% plus one stock (**D – direct beneficial owner**).
- B. Natural person/s who exercise/s control over a business entity by indirect ownership of a sufficient percentage of stocks, including also bearer shares, or voting rights or shares in the business entity. Indicator of indirect ownership is ownership or control of the respective natural person/s over one or more business entities or trusts which individually or jointly hold over 25% of shares or 25% plus one stock (**IND – indirect beneficial owner**).
- C. Natural person/s who exercise/s control over managing a business entity's assets through other means. Control exercised over managing a business entity's assets through other means can refer also to the control criteria used in preparing consolidated financial statements, e.g. shareholders' agreement, gaining a controlling influence and authority to appoint senior management (**KP – controlling position**).
- D. Subsidiary beneficial ownership: exists where there are no natural person/s who correspond to the actual/beneficial owner definition on the basis of ownership or control position, and in such cases directors/Management Board members are considered to be the actual/beneficial owners (**SUP – management**).
- E. Beneficiaries of trusts, and of any legal entities subject to foreign law equal to a trust, are considered to be the natural person/s who exercise ultimate control over the respective legal entity, which includes the following: settlor, trustees, protectors (if any), beneficiary or a group of beneficiaries of the assets if they have already being determined, council members and other natural persons exercising control (**KT – beneficiary, OT – settlor/trustor/founder, UT – trustee/council members/control, or ZT – protector**).  
The list of trusts and any entities subject to foreign law equal to a trust, which belong to the jurisdictions of the European Economic Area countries, is available on the link: [EUR-Lex - 52019XC1024\(01\) - EN - EUR-Lex \(europa.eu\)](#)
- F. Beneficiaries of domestic and foreign associations and their alliances, trusts, funds, institutions, artistic organizations, chambers, trade unions, employer associations, political parties, co-operatives, credit unions or religious communities, are any natural person/s authorised for representation or any natural person/s of a controlling assets management position (**SUP – management**).

## **DEFINITION OF A POLITICALLY EXPOSED PERSON**

In accordance with the Anti-Money Laundering and Terrorist Financing Act, when establishing a business relationship or conducting transactions, the Bank is obligated to apply a procedure that determines whether the Client or Client's beneficial owner is a politically exposed person.

Politically Exposed Person (PEP) is a natural person who is or who was in the previous 12 months performed a prominent public function in a member state or a third country, including its immediate family members and persons known to be close associates of a politically exposed person.

### **Natural persons who perform or have performed a prominent public function are:**

- 1. heads of state, heads of government, ministers and their deputies, state secretaries and assistant ministers
- 2. members of legislative bodies
- 3. members of the governing bodies of political parties
- 4. members of supreme courts, of constitutional courts or of other high-level judicial bodies, the decisions of which are not subject to further appeal, except in exceptional circumstances
- 5. members of courts of auditors
- 6. members of the boards of central banks
- 7. ambassadors, chargés d'affaires and high-ranking officers in the armed forces
- 8. members of management or supervisory boards of commercial companies that are owned or majority owned by the state or local and regional self-government units
- 9. directors, deputy directors and members of the boards and persons performing equivalent functions in international organisations
- 10. heads of municipalities, mayors, county prefects and their deputies elected pursuant to the law regulating local elections in the Republic of Croatia.

### **Immediate family members of politically exposed person are:**

- 1. the spouse, or a person considered to be equivalent to a spouse, of a politically exposed person
- 2. the children and their spouses, or persons considered to be equivalent to a spouse, of a politically exposed person
- 3. the parents of a politically exposed person.

### **Persons known to be close associates of politically exposed person are:**

- 1. natural persons who are known to have joint beneficial ownership of legal entities or legal arrangements, or any other close business relations, with a politically exposed person
- 2. natural persons who have sole beneficial ownership of a legal entity or legal arrangement which is known to have been set up for the benefit of a politically exposed person.

## INFORMATION ON BENEFICIAL OWNERS - NATURAL PERSONS

Please enter information on all beneficial owners who meet the definition of beneficial owners.

### BENEFICIAL OWNER

Name	<input type="text"/>	Surname	<input type="text"/>
OIB <sup>10,11</sup>	<input type="text"/>	Date of Birth	<input type="text"/>
Place of Birth <sup>11</sup>	<input type="text"/>	Country of Birth <sup>11</sup>	<input type="text"/>
Citizenship	<input type="text"/>		

### Residence address

Street and No <sup>11</sup>	<input type="text"/>		
Place <sup>11</sup>	<input type="text"/>	Country	<input type="text"/>
Type of Beneficial Ownership <sup>12</sup> <small>(select from the drop-down menu)</small>	<input type="text"/>	Ownership percentage <sup>13</sup>	<input type="text"/>

Beneficial owner is a politically exposed person (PEP) ☐ Yes ☐ No

If yes, beneficial owner:

☐ a) performs or was performed in the last 12 months a public function

Type of public function

☐ b) family member of politically exposed person

Name and surname and public function of politically exposed person

☐ c) close associate of politically exposed person

Name and surname and public function of politically exposed person

Beneficial owner is a US citizen<sup>11</sup> ☐ Yes ☐ No

Country of Tax Residence<sup>11</sup>

  
  


Tax Identification No.<sup>11</sup>

  
  


### BENEFICIAL OWNER

Name	<input type="text"/>	Surname	<input type="text"/>
OIB <sup>10,11</sup>	<input type="text"/>	Date of Birth	<input type="text"/>
Place of Birth <sup>11</sup>	<input type="text"/>	Country of Birth <sup>11</sup>	<input type="text"/>
Citizenship	<input type="text"/>		

<sup>10</sup> Enter if one was assigned to the Beneficial owner of a Client which is a Passive NFE

<sup>11</sup> Additional data collected pursuant to the Act on Administrative Cooperation in the Field of Taxation

<sup>12</sup> Details of the letter code are included in the definition of Beneficial owner on Page 9 of this form

<sup>13</sup> The field Ownership percentage is filled only if the code D or IND was entered in the field Type of Beneficial Ownership

## Residence address

Street and No<sup>11</sup>

Place<sup>11</sup>  Country

Type of Beneficial Ownership<sup>12</sup>  Ownership percentage<sup>13</sup>   
(select from the drop-down menu)

Beneficial owner is a politically exposed person (PEP) ☐ Yes ☐ No

If yes, beneficial owner:

☐ a) performs or was performed in the last 12 months a public function

Type of public function

☐ b) family member of politically exposed person

Name and surname and public function of politically exposed person

☐ c) close associate of politically exposed person

Name and surname and public function of politically exposed person

Beneficial owner is a US citizen<sup>11</sup> ☐ Yes ☐ No

Country of Tax Residence<sup>11</sup>

  
  

Tax Identification No.<sup>11</sup>

  
  

## BENEFICIAL OWNER

Name

Surname

OIB<sup>10,11</sup>

Date of Birth

Place of Birth<sup>11</sup>

Country of Birth<sup>11</sup>

Citizenship

## Residence address

Street and No<sup>11</sup>

Place<sup>11</sup>  Country

Type of Beneficial Ownership<sup>12</sup>  Ownership percentage<sup>13</sup>   
(select from the drop-down menu)

Beneficial owner is a politically exposed person (PEP) ☐ Yes ☐ No

If yes, beneficial owner:

☐ a) performs or was performed in the last 12 months a public function

Type of public function

<sup>10</sup> Enter if one was assigned to the Beneficial owner of a Client which is a Passive NFE

<sup>11</sup> Additional data collected pursuant to the Act on Administrative Cooperation in the Field of Taxation

<sup>12</sup> Details of the letter code are included in the definition of Beneficial owner on Page 9 of this form

<sup>13</sup> The field Ownership percentage is filled only if the code D or IND was entered in the field Type of Beneficial Ownership

☐ b) family member of politically exposed person  
Name and surname and public function of politically exposed person

☐ c) close associate of politically exposed person  
Name and surname and public function of politically exposed person

Beneficial owner is a US citizen<sup>11</sup> ☐ Yes ☐ No

Country of Tax Residence<sup>11</sup>

  
  


Tax Identification No.<sup>11</sup>

  
  


## BENEFICIAL OWNER

Name

Surname

OIB<sup>10,11</sup>

Date of Birth

Place of Birth<sup>11</sup>

Country of Birth<sup>11</sup>

Citizenship

## Residence address

Street and No<sup>11</sup>

Place<sup>11</sup>

Country

Type of Beneficial Ownership<sup>12</sup>

(select from the drop-down menu)

Ownership percentage<sup>13</sup>

Beneficial owner is a politically exposed person (PEP) ☐ Yes ☐ No

If yes, beneficial owner:

☐ a) performs or was performed in the last 12 months a public function

Type of public function

☐ b) family member of politically exposed person  
Name and surname and public function of politically exposed person

☐ c) close associate of politically exposed person  
Name and surname and public function of politically exposed person

Beneficial owner is a US citizen<sup>11</sup> ☐ Yes ☐ No

Country of Tax Residence<sup>11</sup>

  
  


Tax Identification No.<sup>11</sup>

  
  


<sup>10</sup> Enter if one was assigned to the Beneficial owner of a Client which is a Passive NFE

<sup>11</sup> Additional data collected pursuant to the Act on Administrative Cooperation in the Field of Taxation

<sup>12</sup> Details of the letter code are included in the definition of Beneficial owner on Page 9 of this form

<sup>13</sup> The field Ownership percentage is filled only if the code D or IND was entered in the field Type of Beneficial Ownership

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 state and warrant that the information of the beneficial owners was collected and made available to the Bank with the consent of the above persons and the consent from the previous point refers also to the information of the beneficial owners
- 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](http://www.rba.hr)

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

  

Place and date

\_\_\_\_\_  
Client's signature