



JSC "RIETUMU BANKA"
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INFORMATION ON COMPANY ACTIVITY

Date ___/___/20__

Approved by the Board of JSC "Rietumu Banka", Minutes No. 36, 21.10.2019

COMPLETE IN BLOCK CAPITALS

Client

(full name)

Registration No. _____

Do you have a licence/permit to undertake business operations subject to licensing? No Yes

Licence/permit No. _____

issued on ___/___/____ valid until ___/___/_____

Type and name of the licence/permit _____

Regulatory authorities _____

(please specify the full name, country of registration, website address)

Information about anti-money laundering and counter-terrorism and proliferation financing measures taken by the Client¹

Is the Client subject to anti-money laundering and counter-terrorism and proliferation financing regulation?

No

Yes

Submit policies and procedures that regulate:

- client identification and analysis, examination and monitoring of transactions, identification and approval of beneficial owner;
- reporting to respective institutions on unusual and/or suspicious transactions;
- anti-money laundering and terrorist and proliferation financing risk groups of clients and the criteria of formation thereof;
- compliance with the international and national sanctions;
- setting of limits and other restrictions for client transactions;
- evaluation and control of the efficiency of the Client's internal control system;
- identification of politically exposed persons;
- training of employees;
- evaluation of compliance with the anti-money laundering and counter-terrorism and proliferation financing procedures and policies of the client-payment service provider;
- anti-money laundering and counter-terrorism and proliferation financing risk mitigation and management requirements;
- prohibition to cooperate with shell banks;
- prohibition to open and maintain anonymous accounts.

Information about auditors

Whether an independent internal / external audit of the Client's anti-money laundering and counter-terrorism financing system/measures is carried out?

No

Yes _____

(please specify the internal/external audit report)

Structure of customer basis:

private individuals _____ %

politically exposed persons _____ %

legal entities _____ %

clients subject to enhanced due diligence _____ %

residents of the Client's country of registration _____ %

shell companies _____ %

non-residents _____ %

Does the Client cooperate with shell banks? No Yes

Does the Client render an anonymous account opening service? No Yes

¹ JSC "Rietumu Banka" requires this information in order to comply with the Finance and Capital Market Commission regulations No. 121.

X

(signature of Client's Representative)

What anti-money laundering and counter-terrorism and proliferation financing measures does the Client take?

(please explain in detail)

Which software does the Client use for the anti-money laundering and counter-terrorism and proliferation financing control?

(please specify name of software, suppliers)

Does the Client use external services in anti-money laundering and counter-terrorism and proliferation financing area?

No

Yes

(please specify the name of supplier and list of services)

Please provide information about all accounts opened by the Client in other credit institutions:

(full name and country of banks, account number and type: for private/client funds)

Provide information about the representative offices, branches, subsidiaries and related companies of the Client:

(full name, country of registration/location)

Whether the Client renders or plans to render services to other payment institutions or electronic money institutions?

No

Yes

Whether the Client renders or plans to render services to third parties whose activities do not require a licence in the country of registration, however the EU laws provide for a licence for such activity?

No

Yes

Does any other payment institution or electronic money institution participate in the mutual payment scheme of the Client?

No

Yes (in this case please provide a mutual payment scheme as an attachment)

Has the Company relevant structural divisions and individuals appointed to be in charge of taking anti-money laundering and counter-terrorism and proliferation financing measures?

No

Yes

(please specify full name of the structural division and name, surname, position and contact details of the persons in charge)

X

(signature of Client's Representative)

Certification in accordance with U.S. FATCA

If the Client is a financial institution² within the meaning of U.S. FATCA, please specify:

FATCA status of the financial institution: _____

FATCA Global Intermediary Identification Number (GIIN): _____

Reason why the financial institution lacks GIIN: _____

² **Financial Institution** – means Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company.

a) **Custodial Institution** – means any Entity that holds, as a substantial portion of its business, financial assets for the account of others. An entity holds financial assets for the account of others as a substantial portion of its business if the entity’s gross income attributable to the holding of financial assets and related financial services equals or exceeds 20 percent of the entity’s gross income during the shorter of: (i) the three-year period that ends on December 31 (or the final day of a non-calendar year accounting period) prior to the year in which the determination is being made; or (ii) the period during which the entity has been in existence.

b) **Depository Institution** – means any Entity that accepts deposits in the ordinary course of a banking or similar business.

c) **Investment Entity** – means any Entity that conducts as a business (or is managed by an entity that conducts as a business) one or more of the following activities or operations for or on behalf of a customer:

- i. trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;
- ii. individual and collective securities portfolio management; or
- iii. investing, administering, or managing funds or money on behalf of other persons.

This subparagraph (c) shall be interpreted in a manner consistent with similar language set forth in the definition of “financial institution” in the Financial Action Task Force Recommendations.

d) **Specified Insurance Company** – means any Entity that is an insurance company (or the holding company of an insurance company) that issues Cash Value Insurance Contracts providing for payments with respect to accumulated capital and life insurance amounts, or Annuity Contracts providing for regular payment of benefits, or that is obliged to make payments with respect to these agreements.

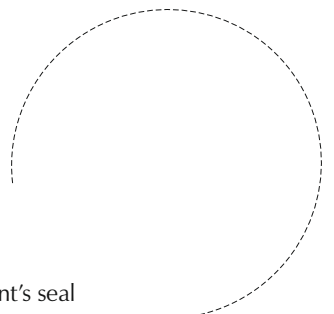
Hereby I confirm that all information provided herein is true.

Hereby I confirm that I am aware of the liability, including criminal responsibility for providing false data or wilful non-disclosure of information.

I acknowledge that I have read and agree to the Client Personal Data Protection Notice (available on the website www.rietumu.com).

Client represented by _____
(name, surname)

X _____
(signature)



Rietumu ID _____

Test-key _____

Client’s seal

TO BE COMPLETED BY BANK EMPLOYEE

I confirm the identity and signature of the Client’s Representative

Passport / Identity document No. _____

_____ X _____ Date ____ / ____ / 20____
(name, surname) (signature)