

# BENEFICIAL OWNER DECLARATION

Client ID No. ....

**Dear Client,**

Pursuant to regulatory requirements in the field anti - money laundering and counter terrorism and proliferation financing binding on Citadele banka AS and its group companies (hereinafter – the Bank), the Bank shall identify a beneficial owner receiving the certified Beneficial Owner Declaration of the Client. The Bank asks you to fill in the Beneficial Owner Declaration.

The Bank guarantees confidentiality of Clients' personal data, data on Customers' accounts, deposits and transactions. The personal data specified in the Beneficial Owner Declaration are processed in accordance with the Bank's Privacy Protection Rules, which is published on the Bank's website.

**Thank you for understanding!**

- Initial declaration                       Changes in previously provided information                       Declaration of BO change

**CLIENT INFORMATION**

Company name .....  
 Registration No. ....Date of registration .....

**BENEFICIAL OWNER<sup>1</sup> (BO) INFORMATION**

**Name, surname** .....  
 Date of birth ..... Place (country) of birth.....  
 Personal Identity number (for Estonian residents<sup>3</sup>)/ Identity number (for Estonian non-residents<sup>4</sup>) .....  
 Country of residence ..... Citizenship (Allegiance) .....

**Information on personal identification document (for Estonian non-residents)**

Document type       passport       identity card                      Identity document No. ....  
 Date of issue ..... Date of expiry .....  
 Issuing authority ..... Issuing country .....  
 Actual address .....  
 .....  
 (street, house/building name or number, apartment/office No., city (region, inhabited place), zip code, country)

**Information on tax residency**

Tax residence country<sup>4</sup> ..... Tax identification number .....  
 Tax residence country<sup>4</sup> ..... Tax identification number .....

**BO's personal activity** (occupation) (please specify according to NACE 2 classification) .....

**INFORMATION ON OWNERSHIP:**                      **Number of shares, votes (percentage)** ..... %

**Type of ownership/control and relation to the Client:**       direct ownership       indirect ownership  
 owner of shares/capital shares of the company  
 high level manager/ controlling person<sup>2</sup>  
 other (please specify): .....

**INFORMATION ON RELATION TO THE CLIENT**

**Is the BO a legal representative/ official of the Client?**       No                       Yes, please provide the following information

| Representative's Position  | Rights of Representation                                 |                                  |   |
|--|--|----------------------------------|---|
| <input type="checkbox"/> Chairperson of the Board  | <input type="checkbox"/> Right to represent individually | <input type="checkbox"/> Jointly | <input type="checkbox"/> No right of representation |
| <input type="checkbox"/> Member of the Board   | <input type="checkbox"/> Right to represent individually | <input type="checkbox"/> Jointly | <input type="checkbox"/> No right of representation |
| <input type="checkbox"/> Authorized person (represents the company on the grounds of a power of attorney/ procuration)/ Other positions in the management body | <input type="checkbox"/> Right to represent individually | <input type="checkbox"/> Jointly | <input type="checkbox"/> No right of representation |

.....  
 Signature

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**INFORMATION ON POLITICALLY EXPOSED PERSON STATUS**

Is BO a politically exposed person<sup>6</sup>, family member of a politically exposed person<sup>7</sup> or person closely associated with a politically exposed person<sup>8</sup>?  **No**  **Yes**, please provide the following information

|  | Name, surname       | Country, in which the BO is/was holding a politically exposed position | Politically exposed position (please specify in accordance with the definition) |
|--|---------------------|--|---|
| <input type="checkbox"/> BO is a politically exposed person                                  | <i>Not required</i> |  |   |
| <input type="checkbox"/> BO is a family member of a politically exposed person               |                     |  |   |
| <input type="checkbox"/> BO is a person closely associated with a politically exposed person |                     |  |   |

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**CLIENT'S SIGNATURE AND ACKNOWLEDGMENT**

I, the undersigned, certify that the person indicated in this Declaration is the client's beneficial owner and undertake to immediately inform the Bank in writing of any changes in the above information on the financial assets' beneficial owner.

I certify that the information provided in the Declaration is complete and true, and I am aware that I will be held liable according to applicable laws for providing false or misleading information.

I am informed that Citadele banka AS and its group companies process my personal data for the purpose of prevention of money laundering and financing of terrorism and proliferation in order to meet the requirements of regulatory enactments, provided that my rights are exercised in accordance with the Privacy Protection Rules published on [www.citadele.ee](http://www.citadele.ee).

**Declared by**  **Customer's BO**  **Customer's authorized person**

.....  
*Name, surname*

.....  
*Signature*

.....  
*Date*

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**BANK'S NOTES**

Representative of the Bank .....

Branch of the Bank .....

Seal

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PLGK/PA-S-J-EN-0121.01-EE

<sup>1</sup> **Beneficial Owner (BO)** – a natural person who is the owner of the client (legal entity) or who controls the client, or on whose behalf, for whose benefit or in whose interests a business relationship is being established or an occasional transaction is being executed, and it is at least:

- in case of legal entities, a natural person who owns, in the form of direct or indirect shareholding, more than 25 per cent of the capital shares or voting stock of the legal entity or who directly or indirectly controls it;
- in case of legal arrangements, a natural person, who owns, or for whose interests a legal arrangement is established created or operating, or directly or indirectly exercises control over it, including the founder, trustee or supervisor (manager) of such entity.

<sup>2</sup> **Controlling Person** – a natural person who holds a position in the highest management body of a legal entity or legal arrangement, in case it is not possible to determine the Beneficial Owner.

<sup>3</sup> **Resident** – a natural person registered in the Population Register of the Republic of Estonia and to whom a personal identity number has been granted, as well as a natural person, whilst they are residing in Estonia, on the basis of a permanent or temporary residence permit issued by the Republic of Estonia.

<sup>4</sup> **Non-resident** – a natural person who is not registered in the Population Register of the Republic of Estonia and to whom a personal identity number of Estonia has not been granted.

<sup>5</sup> **Tax Residence** – the country according to the legislation of which the Customer’s income is subject to taxation. For example, based on a person’s place of permanent residence, length of stay (usually 183 days or more in a 12-month period), close personal or economic relationship, or other criteria for income taxation in the relevant country (for example, in the United States, a U.S. tax resident is a US citizen/holder of a US residence permit (Green Card)).

<sup>6</sup> **Politically Exposed Person** – a natural person, who in the Republic of Estonia or in foreign countries occupies or has been entrusted with prominent public functions:

|   |  |    |  |
|---|--|----|--|
| 1 | Head of State  | 9  | Member of parliament or member of other similar legislative bodies   |
| 2 | Head of government   | 10 | Other high-level official in government or state administrative unit (municipality)  |
| 3 | Member of Central bank’s council or board  | 11 | Member of highest revision (audit) institution council or board  |
| 4 | Head of state administrative unit (municipality)   | 12 | Member of management or supervisory bodies of State-owned companies  |
| 5 | Member of governing bodies (board) of a political party  | 13 | State secretary  |
| 6 | Chief officer in the armed forces  | 14 | Ambassador or charge affaires  |
| 7 | Minister, deputy of minister or deputy of minister’s deputy  | 15 | Head of an international organization (director, deputy director), and member of the board or a person who is in a similar position in this organization |
| 8 | Judge of constitutional court, higher court or judge in a different level court (member of court institutions) |    |  |

<sup>7</sup> **Family member of a politically exposed person** – politically exposed person’s spouse or a person similar to spouse status (considered as such only if the law of according state stipulate this status), child, or a child of politically exposed person’s spouse or a person similar to spouse status, his spouse or a person similar to spouse status, parent, grandparent, grandchild, brother or sister.

<sup>8</sup> **Person closely associated to politically expose person** – natural person who has business or other type of close relationship with politically exposed person, who is a shareholder in the same legal entity as politically exposed person, or who has sole beneficial ownership of a legal arrangement which is known to have been set up for the de facto benefit of a politically exposed person.