

# Business Entity Questionnaire

The data contained in this Questionnaire shall be collected in accordance with applicable Anti-Money Laundering and Terrorist Financing Act and the related implementing legislation.

The collected data shall be processed by the Bank for the purpose of performing due diligence of its clients.

Please specify will the account be used as a collective account (for holding your customer financial assets, apart from the mandatory condominium maintenance funds):

YES (If you have checked this option, please note that the Imex banka d.d. can require the information about the due diligence performed in respect of your customers at any time)

NO

## I. Identification data

Business entity name												
Registration number												
PIN												
Activity code								Legal form				
State in which you are a tax payer								Tax number				

## Registered address

Street						Number		
Post code				Town/Place				
State								

## Address for correspondence

Street						Number		
Post code				Town/Place				
State								
Contact person								
Telephone						Fax		
Mobile						E-mail		

## II. Persons authorised to represent the business entity

(Information for all persons authorised to represent the business entity shall be provided)

1. Name and surname											
Residence address / Street						Number					
Post code				Town/Place							
State											
Date of birth					PIN						
State in which you are a tax payer								Tax No.			
Identification document name				ID document number							
Name and state of ID document issuing authority											
Validity date						Citizenship					

## Role of the authorised representative

- President of the Board of Directors
- Member of the Board of Directors or a person performing equivalent functions
- Manager / Director
- Business owner
- Other person performing independent activity
- Attorney
- Other legal representative



<b>2. Name and surname</b>			
Residence address / Street		Number	
Post code	Town/Place		
State			
Date of birth	PIN		
State in which you are a tax payer			Tax No.
Identification document name		ID document number	
Name and state of ID document issuing authority			
Validity date		Citizenship	

<b>Role of the authorised representative</b>	
<input type="checkbox"/>	President of the Board of Directors
<input type="checkbox"/>	Member of the Board of Directors or a person performing equivalent functions
<input type="checkbox"/>	Manager / Director
<input type="checkbox"/>	Business owner
<input type="checkbox"/>	Other person performing independent activity
<input type="checkbox"/>	Attorney
<input type="checkbox"/>	Other legal representative

<b>3. Name and surname</b>			
Residence address / Street		Number	
Post code	Town/Place		
State			
Date of birth	PIN		
State in which you are a tax payer			Tax No.
Identification document name		ID document number	
Name and state of ID document issuing authority			
Validity date		Citizenship	

<b>Role of the authorised representative</b>	
<input type="checkbox"/>	President of the Board of Directors
<input type="checkbox"/>	Member of the Board of Directors or a person performing equivalent functions
<input type="checkbox"/>	Manager / Director
<input type="checkbox"/>	Business owner
<input type="checkbox"/>	Other person performing independent activity
<input type="checkbox"/>	Attorney
<input type="checkbox"/>	Other legal representative



### III. Business purpose

#### 1. What is the purpose of business relationship with the bank (please specify)

- Opening of a transaction account
- Financing
- Savings
- Other

#### 2. Type of transactions to be performed through the account and type of products and services to be used

- Cash transactions
- Non-cash national payment transactions
- Cross-border and international payment transactions
- Savings and investments
- Bonds
- Letters of Credit
- Other

#### 3. Do you plan to use your account prevalingly for the purpose of cash transactions? If yes, why and in what average amounts?

- YES
- NO

#### 4. Expected annual account activity (EUR)

- Up to 100.000,00 EUR
- Up to 500.000,00 EUR
- Up to 1.000.000,00 EUR
- Over 1.000.000,00 EUR

#### 5. Currencies that will be used most frequently

#### 6. Who are the Company business partners? Where are they located?

##### Suppliers

Name, registered office

Name, registered office

Name, registered office

Business entity has no suppliers

- Newly established business entity
- No suppliers involved in the business entity's activity
- Other reasons

##### Purchasers

Name, registered office

Name, registered office

Name, registered office

- Newly established business entity
- No purchasers involved in the business entity's activity
- Other reasons

#### 7. Source of funds to be used in business relationship

- Self-financing (funds derived from regular operations)
- Funds from business partners, sponsors etc. (borrowing etc.)
- Funds related to project financing and/or from EU funds
- Other

#### IV. Information about beneficial owners of the business entity

In accordance with applicable Anti-Money Laundering and Terrorist Financing Act and the related implementing legislation, the Bank shall establish and verify the identity of the client's beneficial owner.

Beneficial owner of a legal entity means any natural person(s) being the ultimate owner(s) of or controlling the client for which a transaction is carried out, including at least:

- A) Natural person(s) being the owner(s) of the legal entity and controlling such legal entity based on direct ownership of a sufficient percentage of shares, including the bearer shares, or voting rights or participating interest held in such legal entity. The indicator of direct ownership held by the natural person in such legal entity shall be the ownership over 25% of participating interest, voting or other rights being a basis for exercising the right of control over such legal entity or ownership of 25% plus one share;
- B) Natural person(s) controlling the legal entity based on indirect ownership of a sufficient percentage of shares, including the bearer shares or voting rights or participating interest held in such legal entity. The indicator of direct ownership shall be the ownership of or control by the same natural person(s) over one or more legal entities or trusts that hold(s) individually or collectively over 25% of participating interest, voting or other rights being the basis for exercising the right of control over such legal entity, or ownership of 25% plus one share;
- C) Natural person(s) holding a controlling position in managing the assets of the legal entity by other means. The controlling position in managing the assets of the legal entity by other means can also relate to the control criteria used for preparation of consolidated financial statements, e.g. Shareholders Agreement, by exercising the prevailing influence and power for the appointment of senior management.
- D) Subsidiary beneficial ownership shall be deemed to exist: where there are no natural persons corresponding to the definition of beneficial owner based on the ownership or controlling position in which case the beneficial owner shall mean any natural person(s) being a member(s) of the Board of Directors or of another management body or a person performing equivalent functions;
- E) Beneficial owners of trusts or trust equivalent subjects under foreign legislation shall mean natural persons having ultimate control over the legal entity, in particular: the founders, managers, guardians, trust beneficiary or group of beneficiaries, members of the council and other natural persons exercising the control.
- F) Where it is not possible to identify the natural person(s) corresponding to the definition of a beneficial owner based on the ownership or the controlling position, the beneficial owners of national or international associations and their federations, foundations, funds, institutions, artist organisations, chambers, trade unions, employer associations, political parties, co-operatives, credit unions or religious communities shall mean any natural person authorised to represent the legal entity.

If you are registered as a joint stock company whose shares are traded at an eligible Stock Exchange (the Bank shall confirm the Stock Exchange eligibility), please specify the name of the Stock Exchange and the abbreviated share code

Stock Exchange name		Share code	
---------------------	--	------------	--

#### Owner (legal entity) 1

(Please fill-in the ownership structure table in the form)

Business entity name														
Registered office address (street and number, town and post code, state)														
PIN													Ownership percentage	

#### Owner (legal entity) 2

(Please fill-in the ownership structure table in the form)

Business entity name														
Registered office address (street and number, town and post code, state)														
PIN													Ownership percentage	

#### Owner (legal entity) 3

(Please fill-in the ownership structure table in the form)

Business entity name														
Registered office address (street and number, town and post code, state)														
PIN													Ownership percentage	

**Owner 1**

Name and surname		Date of birth	
State of residence			
Citizenship 1		Citizenship 2	
State in which you are a tax payer		Tax number	
The person is			
<input type="checkbox"/> Direct owner			
<input type="checkbox"/> Indirect owner			
Ownership type			
<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D <input type="checkbox"/> E <input type="checkbox"/> F			
Percentage of ownership			
Is the Owner 1 a politically exposed person who is holding or who in the last year held an outstanding political office, including his/her close family members or close co-workers?			
<input type="checkbox"/> YES			
<input type="checkbox"/> NO			

For politically exposed persons see the form Questionnaire for Politically Exposed Persons.

**Owner 2**

Name and surname		Date of birth	
State of residence			
Citizenship 1		Citizenship 2	
State in which you are a tax payer		Tax number	
The person is			
<input type="checkbox"/> Direct owner			
<input type="checkbox"/> Indirect owner			
Ownership type			
<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D <input type="checkbox"/> E <input type="checkbox"/> F			
Percentage of ownership			
Is the Owner 2 a politically exposed person who is holding or who in the last year held an outstanding political office, including his/her close family members or close co-workers?			
<input type="checkbox"/> YES			
<input type="checkbox"/> NO			

For politically exposed persons see the form Questionnaire for Politically Exposed Persons.

**Owner 3**

Name and surname		Date of birth	
State of residence			
Citizenship 1		Citizenship 2	
State in which you are a tax payer		Tax number	
The person is			
<input type="checkbox"/> Direct owner			
<input type="checkbox"/> Indirect owner			
Ownership type			
<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D <input type="checkbox"/> E <input type="checkbox"/> F			
Percentage of ownership			

Is the Owner 3 a politically exposed person who is holding or who in the last year held an outstanding political office, including his/her close family members or close co-workers?

YES

NO

For politically exposed persons see the form Questionnaire for Politically Exposed Persons.

#### Information about all members of the Board of Directors, persons performing equivalent functions and legal entity authorised representatives

Name	Surname	PIN or date of birth		Country of residence	Role

#### V. FATCA Statement

##### Information for establishing the FATCA status for non-financial business entities

The Bank shall apply the provisions of FATCA (Foreign Account Tax Compliance Act) which became binding upon all financial institutions in the Republic of Croatia after the Government of the Republic of Croatia and the Government of the United States of America had signed the Agreement to Improve International Tax Compliance and to Implement FATCA, providing that financial institutions established in the Republic of Croatia shall identify and inform local tax institutions and, indirectly, the US tax institutions, i.e. IRS, about certain persons from the USA holding financial assets in the Republic of Croatia.

1. Was more than 50% of your income in the previous calendar year or another relevant reporting period generated from interest, annuities, dividend or real estate lease fee and other passive income and does more than 50% of your assets in the previous calendar year or another relevant reporting period represent the assets acquired or held for the purpose of generating passive income?

YES

NO

If YES, please answer the following question

2. Are the beneficial owners of the business entity or persons controlling the business entity US citizens for tax purposes?  
(if the answer is YES, please fill-in the attachment: W9 Form)

YES

NO

#### VI. CRS Statement

Are you an entity of which more than 50% of gross income in the current and/or previous calendar year was generated from passive\* sources (interest, dividend, commission etc.) or was invested in the assets generating passive income?

YES

NO

If YES, please insert the tax number and state of tax residence of the business entity, its legal representatives and beneficial owners under Sections I, II and IV

\* Passive non-financial business entities are all those that do not meet any of the criteria for active business entities. Active business entity means an entity prevalently involved in manufacturing/service provision/trading activities / business entity issuing financial instruments/shares listed / traded in a regulated market (Stock Exchange) / business entity controlled by a business entity issuing financial instruments/shares listed / traded in a regulated market (Stock Exchange) / Financial centre of a non-financial group.

The client by its signature confirms that it has been notified in accordance with the provisions of REGULATION (EU) 2016/679 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC (General Data Protection Regulation) that the IMEX BANKA d.d. shall be the controller of personal data processing (contact details: address: Split, Tolstojeva 6, tel: 021/406 167, e-mail: zop@imexbanka.hr, and that the Bank shall not disclose client personal data to third parties or organisations.

As regards the personal data processing, General Data Protection Regulation, Law Implementing General Data Protection Regulation and the Bank's Personal Data Protection Policy available at [www.imexbanka.hr](http://www.imexbanka.hr) and at the Banks premises shall apply and the data subject shall have the following rights: the right to require (in writing to the address: Split, Tolstojeva 6 or by using the Application Form available at [www.imexbanka.hr](http://www.imexbanka.hr)) access to its personal data, to rectify inaccurate or to complete the incomplete data, the right to erasure of personal data, restriction of data processing, the right to object to the personal data processing, the right to transfer of personal data to another controller as well as the right to file objection/request for establishing any violation of rights to the supervisory authority (Personal Data Protection Agency).

Personal data shall not be used for automatic decision making without human intervention. Personal data shall be disclosed to the relevant regulatory authority (the Croatian National Bank) and to public administration authorities solely for the purpose of the Bank's fulfilment of its obligations, or at a specific request, which in such case shall be deemed to be personal data recipients.

When establishing a business relationship or carrying out transactions, the Bank shall apply an adequate procedure to establish whether or not the client or the client's beneficial owner is a politically exposed person in accordance with Article 46 of Anti-Money Laundering and Terrorist Financing Act.

A politically exposed person means any natural person who is holding or held in the last year (or longer) an outstanding public position including the members of his/her close family or his/her close co-workers, in particular:

- a) close family members: spouse or civil partner, person with whom the politically exposed person is in a life or informal life partnership, parents, children and their respective spouses or civil partners or persons with whom the children of a politically exposed person are in a life or informal life partnership;
- b) close co-worker: any natural person known to hold joint beneficial ownership over the legal entity or legal regulation thereof or to have any other close business relations with the politically exposed person or to be a sole beneficial owner of the legal entity or legal regulation thereof, known to be established to the benefit of the politically exposed person.

---

By signing the present Questionnaire, I confirm that the information contained therein is true and authorise the Bank to verify all data contained herein. I will personally and without delay inform you of any changes of the previously provided data and will provide the new data.

---

Business entity authorised signature and stamp \_\_\_\_\_

Place and date of establishment of business relationship/repeated due diligence (encircle as appropriate) \_\_\_\_\_

Name and surname of the Bank's officer \_\_\_\_\_ Signature of the Bank's officer \_\_\_\_\_