PRIVREDNA BANKA ZAGREB
Intesa Sanpaolo Group

# DATA ON CUSTOMERS BENEFICIAL OWNERS

MBK

The Bank is under the obligation to establish the identity of the customer's beneficial owner and to take respective measures to verify the identity of the customer's beneficial owner, as well as the measures required for the understanding of ownership and control structure of the customer when it has the form of a company, other business entity and a subject equal thereto, or a trust and a subject equal thereto incorporated under a foreign law, on the basis of the Anti-Money Laundering and Terrorist Financing Law and associated regulations, EU regulations, international community regulations and international standards.

The Bank is also obligated to document the procedures of establishing and verifying the identity of the customer's beneficial owner, and the client is obliged to present to the Bank, along with the data on its beneficial owner, also the documents based on which the customer's ownership and control structure can be established and the data on the customer's beneficial owner collected.

The collected data will be used by the Bank for carrying out due diligence of the client, its transactions and fulfilment of obligations in accordance with these regulations.

**If the Bank cannot fulfil the requirements regarding due diligence, it cannot establish this business relationship, and may be obliged to terminate any existing business relationship.**

## 1. DATA ON BUSINESS ENTITY

Name _____

OIB[1] _____ Unique ID in registration country _____

Business entity's statistical ID no. _____

## 2. DATA ON BUSINESS ENTITY'S BENEFICIAL OWNERS*

***Beneficial owner definitions can be found at the end of the document**

**BENEFICIAL OWNER (EXCLUSIVELY A NATURAL PERSON) 1**

First and last name _____

Domicile address _____
(street and house number, place and postal code, country)

Residence address (if different from place of domicile)

_____
(street and house number, place and postal code, country)

Date of birth _____ Country of birth _____

Place of birth _____ Nationality _____

Do you have another nationality? Yes ☐ No ☐ If YES, please specify another Nationality _____

**OIB**[2] _____ **Uniqe ID**: _____

Type and number of identification document _____

Issuer and country of the identification document _____

Date of expiration of the identification document _____

Politically Exposed Person (PEP)[3] Yes ☐ No ☐

[1] If you do not have OIB of the entity/person from your country, please enter Unique ID in your country, for Banks please enter the LEI code
[2] If you do not have OIB (VAT number of the person in Croatia), please enter Unique ID in your country and identification document information.
[3] You can see who the PEP persons are in the Appendix PEP, and if you are a PEP person, you are obliged to fill in the mentioned form.
The Bank may request additional personal data for the purpose of conducting a more detailed customer due diligence

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**Please indicate if the person is:**

**DIRECT OWNER**

**A)** Natural person who is the owner of the legal person and who controls the legal person by **direct** ownership, holding a sufficient percentage of shares, including bearer shares or voting rights shares or equity stakes in that legal person

- ☐ natural person - shareholder owning 25 % plus one share, ownership of over 25 % in equity stakes, voting or other rights on the basis of which he/she shall exercise the right of managing the legal person. **Percentage of ownership** _____
- ☐ natural person - founder (100% ownership)
- ☐ natural person - less than 25% ownership. **Percentage of ownership** _____

**INDIRECT OWNER** **It is required to fill in the Appendix 1 - Ownership structure**

**B)** ☐ natural person who controls a legal person by indirect ownership, holding a sufficient percentage of shares, including bearer shares or voting right shares or equity stakes in that legal person. **Percentage of ownership** _____

**C)** natural person who has a **controlling function** in managing the legal person's property **via other means**

- ☐ control criteria used in preparation of consolidated financial reports
- ☐ exercising of prevailing influence
- ☐ power for appointing high-level (senior) management (DIRECTOR/MANAGEMENT BOARD MEMBER/CEO)

**D)** ☐ **SUBSIDIARY OWNER -** natural person who is a director/member of a management board or other managing body
If you chose *D) SUBSIDIARY OWNER* and declared that you are a politically exposed person, when filling out the "PEP Questionnaire" you can skip the questions related to sources of funds and source of assets.

**E)** natural person **authorised representative, having a controlling function in managing the property of associations and their unions, foundations, formations, institutions, art organisations, chambers, labour unions, employers' associations, political parties, cooperatives, credit unions or religious communitiesa or community of co-owners / building**

- ☐ person acting as authorised representative
- ☐ natural person having a controlling function

**F)** The person is

- ☐ trust settlor
- ☐ trustee
- ☐ protector
- ☐ beneficiary

## BENEFICIAL OWNER (EXCLUSIVELY A NATURAL PERSON) 2

First and last name _____

Domicile address _____
(street and house number, place and postal code, country)

Residence address (if different from place of domicile)

_____
(street and house number, place and postal code, country)

Date of birth _____ Country of birth _____

Place of birth _____ Nationality _____

Do you have another nationality? Yes ☐ No ☐ If YES, please specify another Nationality _____

**OIB**[2] | | | | | | | | | | | **Uniqe ID**: _____

Type and number of identification document _____

Issuer and country of the identification document _____

Date of expiration of the identification document _____

Politically Exposed Person (PEP)[3] Yes ☐ No ☐

[2] If you do not have OIB (VAT number of the person in Croatia), please enter Unique ID in your country and identification document information.
[3] You can see who the PEP persons are in the Appendix PEP, and if you are a PEP person, you are obliged to fill in the mentioned form.
The Bank may request additional personal data for the purpose of conducting a more detailed customer due diligence

**Please indicate if the person is:**

**DIRECT OWNER**

**A)** Natural person who is the owner of the legal person and who controls the legal person by **direct** ownership, holding a sufficient percentage of shares, including bearer shares or voting rights shares or equity stakes in that legal person

- ☐ natural person - shareholder owning 25 % plus one share, ownership of over 25 % in equity stakes, voting or other rights on the basis of which he/she shall exercise the right of managing the legal person. **Percentage of ownership** _____
- ☐ natural person - founder (100% ownership)
- ☐ natural person - less than 25% ownership. **Percentage of ownership** _____

**INDIRECT OWNER** **It is required to fill in the Appendix 1 - Ownership structure**

**B)** ☐ natural person who controls a legal person by indirect ownership, holding a sufficient percentage of shares, including bearer shares or voting right shares or equity stakes in that legal person. **Percentage of ownership** _____

**C)** natural person who has a **controlling function** in managing the legal person's property **via other means**

- ☐ control criteria used in preparation of consolidated financial reports
- ☐ exercising of prevailing influence
- ☐ power for appointing high-level (senior) management (DIRECTOR/MANAGEMENT BOARD MEMBER/CEO)

**D)** ☐ **SUBSIDIARY OWNER** - natural person who is a director/member of a management board or other managing body. If you chose *D) SUBSIDIARY OWNER* and declared that you are a politically exposed person, when filling out the "PEP Questionnaire" you can skip the questions related to sources of funds and source of assets.

**E)** natural person **authorised representative, having a controlling function in managing the property of associations and their unions, foundations, formations, institutions, art organisations, chambers, labour unions, employers' associations, political parties, cooperatives, credit unions or religious communitiesa or community of co-owners / building**

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- ☐ protector
- ☐ beneficiary

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## BENEFICIAL OWNER (EXCLUSIVELY A NATURAL PERSON) 3

First and last name _____

Domicile address _____
(street and house number, place and postal code, country)

Residence address (if different from place of domicile)

_____
(street and house number, place and postal code, country)

Date of birth _____ Country of birth _____

Place of birth _____ Nationality _____

Do you have another nationality? Yes ☐ No ☐ If YES, please specify another Nationality _____

**OIB**[2] ☐☐☐☐☐☐☐☐☐☐☐ **Uniqe ID**: _____

Type and number of identification document _____

Issuer and country of the identification document _____

Date of expiration of the identification document _____

Politically Exposed Person (PEP)[3] Yes ☐ No ☐

**Please indicate if the person is:**

**DIRECT OWNER**

**A)** Natural person who is the owner of the legal person and who controls the legal person by **direct** ownership, holding a sufficient percentage of shares, including bearer shares or voting rights shares or equity stakes in that legal person

- ☐ natural person - shareholder owning 25 % plus one share, ownership of over 25 % in equity stakes, voting or other rights on the basis of which he/she shall exercise the right of managing the legal person. **Percentage of ownership** _____
- ☐ natural person - founder (100% ownership)
- ☐ natural person - less than 25% ownership. **Percentage of ownership** _____

**INDIRECT OWNER** **It is required to fill in the Appendix 1 - Ownership structure**

**B)** ☐ natural person who controls a legal person by indirect ownership, holding a sufficient percentage of shares, including bearer shares or voting right shares or equity stakes in that legal person. **Percentage of ownership** _____

**C)** natural person who has a **controlling function** in managing the legal person's property **via other means**

- ☐ control criteria used in preparation of consolidated financial reports
- ☐ exercising of prevailing influence
- ☐ power for appointing high-level (senior) management (DIRECTOR/MANAGEMENT BOARD MEMBER/CEO)

**D)** ☐ **SUBSIDIARY OWNER** - natural person who is a director/member of a management board or other managing body.
If you chose *D) SUBSIDIARY OWNER* and declared that you are a politically exposed person, when filling out the "PEP Questionnaire" you can skip the questions related to sources of funds and source of assets.

**E)** natural person **authorised representative, having a controlling function in managing the property of associations and their unions, foundations, formations, institutions, art organisations, chambers, labour unions, employers' associations, political parties, cooperatives, credit unions or religious communitiesa or community of co-owners / building**

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[2] If you do not have OIB (VAT number of the person in Croatia), please enter Unique ID in your country and identification document information.
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## Definition of beneficial owner according to the Anti-Money Laundering and Terrorist Financing Law

In line with the provisions of the Anti-Money Laundering and Terrorist Financing Law, the Bank is obliged to establish and verify the identity of the client's beneficial owner.

Legal entity's beneficial owner shall be any natural person (persons) that ultimately owns or controls the customer or on whose behalf a transaction is conducted, and shall include at least:

A) **natural person (persons) who owns or controls a legal person through direct ownership via a sufficient percentage of stocks, including the bearer shares, or voting right shares or equity stakes in that legal person; Please specify also those natural persons who have a smaller percentage of ownership so that the entire customer's ownership structure can be determined even in cases where the ownership is divided in stakes of 25% or less than that.**

The indication of direct ownership held by a natural person in the legal person shall be the ownership of over 25% of equity stakes, voting or other rights on the basis of which he/she shall exercise the right of managing the legal person, or the ownership of 25% plus one share;

B) **natural person (persons) who controls a legal person through indirect ownership by way of sufficient percentage of stocks, including bearer shares or voting right shares or equity stakes in that legal person.** The indication of indirect ownership shall be the ownership or control of the same natural person (persons) over one or more legal persons which hold, individually or jointly, over 25% equity stakes or 25% plus one share;

C) **natural person (persons) who has a controlling function in managing the legal person's property using other means.** Controlling position in managing the legal person's property through other means may also refer to the control criteria used when preparing consolidated financial reports, for example, via the shareholders' agreement, exercising of the prevailing influence and powers for appointing high-level management.

D) **Subsidiary beneficial ownership:** in the case when there are no natural persons who would qualify as beneficial owners as regards the ownership or controlling function, and in such cases directors/management board members shall be deemed beneficial owners.

E) **Beneficial owners of domestic and foreign associations and their unions, foundations, formations, institutions, art organisations, chambers, labour unions, employers' associations, political parties, cooperatives, credit unions or religious communities shall be any natural person authorised for representation or natural person holding a controlling position in managing the property.**

F) **Beneficial owners of trusts and entities equal thereto,** incorporated under foreign law, shall be natural persons who eventually control that legal person: **settlors, trustees, protectors, beneficiaries or a group of trust beneficiaries, members of the council/board and other natural persons exercising the control.**

### PERSONAL DATA PROTECTION

Personal data protection: Privredna banka Zagreb d.d., Radnička cesta 50, Zagreb, TIN (OIB) 02535697732, entered in the register of the Commercial Court in Zagreb under the company registration number (MBS) 080002817 (hereinafter: the Bank), as a data controller, operates in accordance with the principles of the 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). Contact details of the data protection officer: sluzbenik.za.zastitu.osobnih.podataka@pbz.hr When clients' personal data are collected, whether from the client at the time of collection or from another source the Bank shall provide information in accordance with Articles 13 and 14 of the General Data Protection Regulation, such as, for instance, information about the Bank as the controller, the purposes and the legal basis of personal data processing, the categories of personal data which are collected, the storage period, the recipients of data, the source of data, as well as the rights related to personal data protection (for instance, the right of access to personal data, the right to erasure, the right to object, etc.). We shall process and use your personal data as well as personal data of other natural persons (e.g. authorised representatives, authorised signatories, contact persons, etc.) provided for the purpose of execution and performance in a lawful, fair and transparent manner, while protecting personal data from unauthorised or unlawful processing and implementing the highest-level technical, security and organisational protection measures. Detailed information on the protection of your privacy is available in the document "Information on the processing of personal data of natural persons in transactions with legal entities" at www.pbz.hr and at the premises of the Bank.

By signing this Document, I confirm to have been informed/advised that the data provided in this document are necessary for the Bank, acting as the data controller, in order to honour its legal obligations, pursuant to Article 6, paragraph 1, item c) of the General Data Protection Regulation.

*Hereby I confirm that all data given in this document are accurate and true and the Bank has the right to check them. I will personally inform the Bank about any changes regarding data given above.*

The bank will terminate the business relationship with the client if it determines that the information provided in this questionnaire is not true and/or correct.

If this document is signed electronically, it was created and signed in electronic form, and in that case the User accepts the use and circulation of this Questionnaire for his needs, as well as for the needs of this contractual relationship in electronic form. The questionnaire is considered signed when the User's authorized person signs it with a qualified electronic signature (confirmed by a qualified electronic signature certificate) with an embedded qualified electronic time stamp, all in accordance with the applicable regulations on electronic signatures. This Questionnaire is available to the User in electronic form in accordance with previously accepted rules of conduct in accordance with the Bank's internal acts on the use of the PBZ secure communication system. Each individual copy of this electronic document is considered an original and has the same legal force and produces the same legal effects as a document on paper signed with a handwritten signature and can be used in all actions for which the use of documents in their original form is required and cannot be deny legal effect and admissibility merely because it is in electronic form. The user will not dispute the legal validity of the qualified electronic signature on this Questionnaire only because it was created, used, traded and signed in electronic form.

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| First and last name of authorised representative (identification against presentation of identity card/passport) | Signature of business entity's authorised person | Place, Date / L.P |
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| | | |
| | | |
| | | |
| | | |
| | | |

Bank employee _____ Signature: _____

Place, date and time _____