

This questionnaire is to be completed and submitted to Luminor Bank AS, represented within the Republic of Latvia by Luminor Bank AS Latvian Branch, registration number 40203154352, address Skanstes iela 12, LV-1013, Riga, Latvia (hereinafter also referred to as the Bank) in order to comply with applicable legal acts concerning the services provided to clients by the Bank and the services offered by the Bank to existing or potential clients. The aforementioned legal acts are, for example, the Law on the Prevention of Money Laundering and Terrorism and Proliferation Financing (hereinafter - AML/CTF Law) and related legal acts, as well as the Agreement between the Government of the Republic of Latvia and the Government of the United States of America to Improve International Tax Compliance and to Implement FATCA and related legal acts.

PLEASE, COMPLETE IN CAPITAL LETTERS

Date

Location of completing questionnaire

PERSONAL INFORMATION

Name, surname			Personal ID number (in the case of non-residents, date of birth)
Country of birth			
Certificate on giving up the U.S. citizenship (if the country of birth is the USA)	Yes	No	
Tax identification number			Country of tax residency
Citizenship			Address of place of residence (permanent residence)
Contact address (if different from permanent place of residence)			Phone No.
E-mail			

ACCOUNT OPENING PURPOSE IN LATVIA

ARE YOU POLITICALLY EXPOSED PERSON*?

No **Yes** **Yes, a family member or close associate to a politically exposed person***

Position, institution. Answer only if previous answer was **Yes**.

Full name, position, institution, country (of position) and connection to the politically exposed person* (e.g. spouse, parent, close associate). Answer only if previous answer was **Yes, a family member or close associate to a politically exposed person***.

*According to definition stipulated in AML/CTF Law:

- a) **politically exposed person** - a person who in the Republic of Latvia, other Member State or third country holds or has held a significant public office over the 12 months, including a higher official of the public authority, a head of the State administrative unit (local government), the Prime Minister, the Minister (the Deputy Minister or the Deputy of the Deputy Minister if there is such an office in the relevant country), the State Secretary or another official of high level in the government or State administrative unit (local government), a Member of Parliament or a member of similar legislation entity, a member of the management entity (board) of the political party, a Judge of the Constitutional Court, a Judge of the Supreme Court or of the court of other level (a member of the court authority), a council or board member of the Court of Auditors, a council or board member of the Central Bank, an ambassador, a chargé d'affaires, a high-ranking officer of the armed forces, a council or board member of a State capital company, a head (a director, a deputy director) and a board member of an international organisation, or a person who holds equal position in such organisation;
- b) **family member of a politically exposed person** - a spouse or a person equivalent to a spouse (a person shall be considered a person equivalent to a spouse only if he or she is given such a status in accordance with the legislation of the relevant country), a child or a child of a spouse or a person equivalent to a spouse of a politically exposed person, his or her spouse or a person equivalent to a spouse, a parent, grandparent, or grandchildren; a brother or a sister to the persons specified in "a" above;
- c) **person closely related to a politically exposed person** - a natural person regarding whom it is known that he or she has business or other close relations with any of the persons referred to in "a" above or he or she is a stockholder or shareholder in the same commercial company with any of the persons referred to in "a" above, and also a natural person who is the only owner of a legal arrangement regarding whom it is known that it has been actually established in the favour of the person referred to in "a" above.

IS THE ACCOUNT OPENING PURPOSE RELATED TO EXECUTION OF TRANSACTIONS ON BEHALF OF ANY THIRD PARTIES?

No **Yes**

SERVICES AND PRODUCTS YOU ARE PLANNING TO USE IN THE BANK

Bank accounts	Internet banking	Deposits
Loans	Leasing	Currency exchange
Payment/credit cards	Securities	
Other services or products (please indicate)		

SOURCE OF INCOME AND OCCUPATION

Salary	Company's name	Country of incorporation
Pension/ Allowance		
Self-employed	Kind of occupation / source of income	
	NACE 1	NACE 2
Income from dividends	Company's name	Country of incorporation
	NACE 1	NACE 2
Income from real estate management	Real estate address	
Other	Kind of occupation / source of income	

BANK TRANSACTIONS

Average monthly income and transactions in Luminor accounts

Sum EUR	Number of transactions per month
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Monthly planned cash deposits

Sum EUR	Source of funds
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Monthly planned cash withdrawals

Sum EUR	Purpose of cash withdrawal
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Which foreign countries do you plan to receive or make payments from/to, if any?

ACCOUNTS IN OTHER BANKS

Please indicate other banks in which you hold accounts (bank's name and country)

CERTIFICATION OF THE BANK'S CUSTOMER (POTENTIAL CUSTOMER)

The Bank's customer (potential customer) (hereinafter also referred to as the Customer) is aware that:

- pursuant to regulatory enactments of the Republic of Latvia the Bank is obligated to guarantee confidentiality of certain Customer's information on the Customer, the Customer's accounts with the Bank and transactions conducted by the Customer. The Bank shall keep confidentiality with regard to the above information according to the provisions of the respective regulatory enactments and the Bank's General Business Terms and Conditions;
- The Customer is obligated to immediately in writing advise the Bank on any material changes in the Customer's information.

The Customer certifies to the Bank that:

- the Customer's information is true, accurate, and complete;
- The Customer is entitled to disclose to the Bank the Customer's information for the Bank to apply and otherwise process the Customer's information according to the provisions of regulatory enactments and the Bank's General Business Terms and Conditions.

The Customer acknowledges that the Bank and the processors involved in providing the requested service(s) perform personal data processing. When signing this document, the Customer acknowledges being informed about the general terms and conditions of personal data processing provided in Luminor's Privacy Policy (<https://www.luminor.lv/en/privacy-policy>) and Luminor's Data Retention Policy (<https://www.luminor.lv/en/data-retention-policy>) which upon request is available also at any Bank's place of service and of the purposes and legal basis of the processing as well as any processors, recipients of personal data and the exercise of data subject rights as well as relevant terms and definitions. Luminor's Data Retention Policy will specify the period for which the Customer's personal data will be stored.

The controller of personal data processed under this document is Bank.

Upon request, Luminor's Data Protection Officer dataprotectionLV@luminorgroup.com will provide additional information about the processing of personal data under this service and assist you with the exercise of your rights.

The customer

Name, surname	Signature
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Signature of the Bank's employee in whose presence the document was signed

Name, surname	Signature
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