Cooperation Partner’s identification form for legal entities

In accordance with the objectives of the Law on the Prevention of Money Laundering and Terrorism and Proliferation Financing and the requirements for the monitoring of transactions of the subjects of the law (including credit institutions of the Republic of Latvia), \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (name of *Latvijas Dzelzceļš Group* company) is asking you to submit the necessary information by filling in the following form in order to prevent possible risks related to money laundering and terrorism and proliferation financing:

1. Name of the legal person (including members of a partnership):

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1. Registration number/ analogue:

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1. Country of registration:

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1. Board:

Name, surname, personal number of the chairperson/member of the board, if the person does not have a personal number, use an analogue, e.g., date of birth, citizenship (nationality)1.

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1. Council (if the legal person has one):

Name, surname, personal number of the chairperson/member of the council, if the person does not have a personal number, use an analogue, e.g., date of birth, citizenship (nationality)1.

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1. Beneficial owner/s2:

Within the meaning of the Law on the Prevention of Money Laundering and Terrorism and Proliferation Financing, a *beneficial owner* is a *natural person* who is the owner of the legal person or who controls the customer, or on whose behalf, for whose benefit or in whose interests business relationship is being established or an individual transaction is being executed, and it is at least:

1. A natural person who owns, in the form of direct or indirect shareholding, more than 25% of the capital shares or voting stock of the customer’s company
2. A natural person who directly or indirectly controls the company’s operations

Name, surname, personal number (if the person does not have a personal number, use an analogue, e.g., date of birth), citizenship (nationality)1, the beneficial owner owns, in the form of direct or indirect shareholding, more than 25% of the legal person’s capital shares/voting stock.

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I/we hereby confirm that all the means of determination have been exhausted and it is not possible to determine any natural person – beneficial owner – within the meaning of Section 1, Clause 5 of the Law on the Prevention of Money Laundering and Terrorism and Proliferation Financing, as well as the doubts that the legal person has a beneficial owner have been excluded.

It is not possible to determine a beneficial owner because the cooperation partner is:

 A derived public person

 A direct administration or indirect administration institution

 A capital company controlled by the State or a local government

 A merchant whose stocks are admitted to trading on a regulated market

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1. By signing this identification form, the Cooperation partner confirms that all information provided in the identification form is true and complete.
2. By signing this identification form, the Cooperation partner confirms that, should the information provided in the form change, the partner shall inform the Company by sending the updated information to the registered office or email \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (name of *Latvijas Dzelzceļš Group* company).

*Legal representative* (indicate the status of the person – board member, proctor, authorized person, other): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name, surname: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature3: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1Latvijas Dzelzceļš Group shall process personal data referred to in this paragraph in accordance with 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 (hereinafter referred to as GDPR):

1/ Article 6(1) (b) of GDPR – to enter into a contractual relationship and to ensure performance of the contract at the request of the data subject (contracting party), and

2/ Article 6(1) (c) of GDPR, in order to fulfil the legal obligation of the controller (LDZ) to inspect its cooperation partners in accordance with the requirements of the Law on International Sanctions and National Sanctions of the Republic of Latvia and the Law on the Prevention of Money Laundering and Terrorism and Proliferation Financing

3/ Article 6(1) (e) of GDPR, in order to carry out tasks performed in the public interest to prevent terrorism and reduce the risk of fraud

2 Within the meaning of Section 1, Clause 5 of the Law on the Prevention of Money Laundering and Terrorism and Proliferation Financing.

3 Or an electronic signature.