

## COOPERATION PARTNER IDENTIFICATION AND QUESTIONNAIRE 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 monitoring transactions of the subjects of the law (including credit institutions of the Republic of Latvia) in order to prevent possible risks related to money laundering and terrorism and proliferation financing, please submit the necessary information by filling out this form for \_\_\_\_\_  
(name of the "Latvijas dzelzceļš" Group company):

1. Name of the legal entity (including member of a partnership):

\_\_\_\_\_

2. Registration number/ equivalent:

\_\_\_\_\_

3. Country of registration:

\_\_\_\_\_

4. Persons entitled to representation:

Name, surname, personal number of the person entitled to representation; if the person does not have a personal number, there has to be an analogue, for example, date of birth, month, year, citizenship (nationality)<sup>1</sup>.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. Board:

Name, surname, personal number of the chairperson of the board/member of the board; if the person does not have a personal number, there has to be an analogue, for example, date of birth, month, year, citizenship (nationality)<sup>1</sup>.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

6. Council (if there is one):

Name, surname, personal number of the chairperson of the council/member of the council; if the person does not have a personal number, there has to be an analogue, for example, date of birth, month, year, citizenship (nationality)<sup>1</sup>.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

7. Beneficial owner/s<sup>2</sup>:

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 entity, or on whose behalf, for the benefit, in the interest of which the business relationship is established or the transaction is carried out, and is at least:

a) A natural person who owns, in the form of direct or indirect shareholding, more than 25% of the capital shares of voting stock of the customer's company

b) A natural person who directly or indirectly exercises control of the company's operations

Name, surname, personal number (if the person does not have a personal number, there has to be an analogue, for example, date of birth, month, year), citizenship (nationality)<sup>1</sup>, the beneficial owner directly or indirectly owns more than 25% of the legal entity's capital shares/voting stock.

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

A beneficial owner cannot be identified because the cooperation partner is:

- ☐ A derived public entity
  - ☐ An institution of direct or indirect administration
  - ☐ 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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8. What is the company's line of business? Please provide a description of the company (website address, location of branches and production facilities, if any):

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9. Has there been any change in shareholders or participants in your company within the last three years?

- ☐ Yes (please specify): \_\_\_\_\_
- ☐ No

10. By signing this identification and survey form, the Cooperation Partner hereby confirms that, in the event of any changes to the information provided in the form, the Partner shall immediately notify the Company by submitting the updated information to the Company by sending the latest information to the registered office or email \_\_\_\_\_ of \_\_\_\_\_ (name of the "Latvijas dzelzceļš" Group company).

Legal Representative (indicate the person's status – Member of the Board, Procurement Holder, Authorised Representative, Other):

Name, Surname: \_\_\_\_\_

Signature: \_\_\_\_\_

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

<sup>1</sup> Personal data mentioned in this paragraph are processed by the "Latvijas dzelzceļš" Group pursuant to Regulation (EU) 2016/679 of the European Parliament and of the Council (27 April 2016) On the Protection of Natural Persons with Regard to the Processing of Personal Data and the Free Movement of Such Data (hereinafter referred to as GDPR):

1/ Based on requirements of Article 6, Paragraph 1 b) of GDPR, for commencing contractual relations and ensuring performance of the contract at the request of the data subject (party to the contract),

2/ Based on requirements of Article 6, Paragraph 1 c) of GDPR, for compliance with a legal obligation to which the controller (LDZ) is subject, namely, to examine its cooperation partners in accordance with 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/ Based on requirements of Article 6, Paragraph 1 e) of GDPR, for the performance of a task carried out in the public interest, namely, for the prevention of terrorism and reducing the risk of fraud.

<sup>2</sup> Within the meaning of Section 1, Paragraph 5) of the Law on the Prevention of Money Laundering and Terrorism and Proliferation Financing.

<sup>3</sup> Or an electronic signature.