

QUESTIONNAIRE FOR CLIENTS – NATURAL PERSONS

I. GENERAL INFORMATION

Name and surname: _____

IDNo:

Tax payer IDNo:

ID card/passport (non-residents):

Issuer: _____ Nationality: _____

Date of birth: _____ Place of birth: _____

ADDRESS OF PLACE OF RESIDENCE

Street and house No: _____

Postal code: Town: _____ Country: _____

CORRESPONDENCE ADDRESS

Same as the address indicated above.

Street and house No: _____

Postal code: Town: _____ Country: _____

House phone No. /

Mobile phone No. /

E-mail address: _____@_____

Bank: _____

Account No.*

* If a non-resident, please indicate the number of the non-resident account

II. FURTHER INFORMATION

1. Personal status: A. Employed B. Entrepreneur C. Unemployed
D. Retiree E. Student F. Other: _____

2. Type of employer: A. Private sector B. Civil service C. State/regional authority bodies

3. Occupation: _____

4. Present job: _____

5. Purpose of entering into the business relationship: A. Trading in financial instruments as per order
B. Management of financial instruments portfolio
C. Subscription of securities in public offering
D. Other: _____

6.* Planned annual investments (average): A. up to HRK 200,000 B. up to HRK 500,000
C. up to HRK 1,000,000 D. exceeding HRK 1,000,000

* Investment relates to the seed money and to any new deposit in the form of a financial instrument or cash

7.** Investment funds derive from: A. regular salary B. other: _____

** answer to this question is supplied at the request of the employee of the investment company

8. Are you entering into the business relationship on someone else's behalf? A. YES B. NO

If you are entering into the business relationship on someone else's behalf, we kindly ask you to provide all the information on the person in whose name the business relationship is established (data under I. General information and II. Further information)

9. Are you a politically exposed person? A. YES B. NO

A foreign politically exposed person is:

- A. any natural person with a permanent or habitual residence in a foreign country, who is or has been for the past year (or longer) entrusted with a prominent public function (heads of state or government, ministers and their deputies i.e. assistants), members of legislative bodies, judges pertaining to such courts against the judgement of which legal remedies cannot be used, save on an exceptional basis, judges of financial courts and members of councils of central banks, ambassadors attachés and high-ranked military officers, members of management and supervisory boards of legal entities in the ownership/majority ownership of the state,
- B. an immediate family member of the individual under A. meaning spouse or common law spouse, parents, siblings, children and their spouse or common-law spouse,
- C. close associate of the individual under A. deriving joint profit from assets or established business relationship or in other type of close business contact.

If you are a foreign politically exposed person, please answer the following questions:

a. Which type of politically exposed person are you (A, B or C)?

b. Data on the type of the public function under A and the time of holding the position?

c. Data on family relations if you are one of the mentioned members of the family of the person under A?

d. Data on the form and the way of business cooperation if C category applies to you?

Foreign politically exposed persons are obliged to provide an answer to question 7*.

The questionnaire for clients – natural persons is based on the Anti-Money Laundering and Counter-Terrorism Financing Act (OG 87/2008), Article 16, and it is used for carrying out of client due diligence.

By signing this Questionnaire I confirm that the data stated herein are true and I authorize the company/bank to verify the data contained herein. Should any changes with regard to the above provided information and details occur, I will personally inform you of such change.

By signing this Questionnaire I explicitly consent to any actions the company/bank may undertake in relation to processing and exchange of my personal information provided herein, including as well the IDNo, relating to the right of the company/bank to gather, store, record, organise, obtain insight into and exchange personal information with a view to pursuing regular activities of the company/bank.

Date and place: _____ Signature of the client: _____

Note: If the business relationship was not established by personally entering into contact with an authorised person of the company/bank or a third authorised person, you are kindly asked to attest your signature on this form with a notary public or another competent body.

ATTACHEMENT:

- Copy of the ID card/passport
- Copy of the bank account card
- Power of attorney – attested

Filled in by the employee of the investment company/bank

Signature of the employee of the investment company/bank: _____

Comment: _____

Approval of the competent person for entering into the business relationship: _____