Raiffeisen Leasing

KYC Upitnik / KYC Questionarie

Odeljak I Opšti podaci o klijentu Part I General information about the customer	
Puno poslovno ime pravnog lica Full name of legal entity	
Matični broj Identification number	
Sedište i adresa (ulica i broj, grad, država) Registered seat and address (street and number, city, country)	
Ovlašćeno lice za zastupanje **(ime i prezime, datum i mesto rođenja, broj, datum i mesto izdavanja identifikacionog dokumenta, prebivalište, JMBG)** Authorized person (first and last name, date and place of birth, identification document - number, date and place of issuance, address, personal identity number)	
Punomoćnik (ime i prezime, datum i mesto rođenja, broj, datum i mesto izdavanja identifikacionog dokumenta, prebivalište, JMBG) Other authorized representatives (first and last name, date and place of birth, identification document - number, date and place of issuance, address, personal identity number)	
Kontakt osoba* Contact person	
I-mejl adresa* E-mail address	
Stvarni vlasnik (ime i prezime, datum i mesto rođenja, prebivalište ili boravište) Beneficial Owner (first and last name, date and place of birth, permanent or temporary residence of customer beneficial owner)	

Ukoliko je pravno lice listirano na berzi upišite ime priznate berze i idenfikacioni broj (ISIN)* If legal entity is listed on a stock exchanges, please state the name of this stock exchange and provide the stock exchange identification ISIN	
Da li je Vaše poslovanje operativno[1]?* Is your company acting operative[1]?	☐ **Da** / Yes ☐ **Ne** / No
U slučaju neoperativnog poslovanja, molim Vas da se izjasnite da li poslujete:* If your company is not acting operative, please state are you doing business:	☐ **za sopstvene potrebe** / For own account ☐ **za potrebe trećeg lica** / On behalf of a third party
Ako delujete za račun trećeg lica, molim Vas da nam dostavite listu svih poverioca:* If you are acting on behalf of a third party, please provide a list of all trustees:	

[1] Pod operativnim poslovanjem se podrazumeva kupovina, prodaja, proizvodnja, logistika i druge usluge (finansijske usluge) u vezi sa svim vrstama robe
Operative busines is purchase, sale, production, logistic, other services (financial services) regarding all kind of goods

Odeljak II Izjava o finansijskim sankcijama*
Part II Statement about financial sanctions*

Da li imate predstavništva, ogranke, podružnice ili poslovne partnere/dobavljače koji: **a) su direktno ili indirektno pod uticajem primenjivih sankcija[2] ili** **b) su u vlasništvu ili su povezani sa sankcionisanim licima ili** **c) se nalaze u sankcionisanoj zemlji?** Does the entity have representatives, branches, subsidiaries or business partners/suppliers which: (a) are directly or indirectly affected by applicable sanctions[2] or (b) are owned by or associated with sanctioned entities or persons or (c) are located in a sanctioned country[2]?	☐ **Ne** / No ☐ **Da** / Yes
Da li dostavljate robu u zemlje koje su pod uticajem sankcija[2]? Does the entity deliver goods to countries affected by sanctions[2]?	☐ **Ne** / No ☐ **Da** / Yes

* Offshore zemlje: * American Samoa, Andorra, Anguilla, Aruba, Bahamas, Belize, Bermudas, Bonaire, St. Eustatius and Saba,Fiji, British Virgin Islands, Dominica, Cayman Islands, Cook Islands, Curacao, Cyprus, Gibraltar, Guam, Guernsey, Isle of Man, Jersey, Labuan, Liechtenstein, Macau, Monaco, Montserrat, Oman, Palau, Panama, Panama Channel zone (Panama), Russia, Saint Martin, Samoa, Seychelles, Sint Maarten, Trinidad + Tobago, Turks and Caicos, U.S. Virgin Islands, Vanuatu

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[2] Propisi o sankcijama: EU: https://sanctionsmap.eu/#/main; US/OFAC https://www.treasury.gov/resource-center/sanctions/sdn-list/pages/fuzzy_logic.aspx
Sanctions regulations: EU: https://sanctionsmap.eu/#/main; US/OFAC: https://www.treasury.gov/resource-center/sanctions/sdn-list/pages/fuzzy_logic.aspx
Značajne zemlje pod uticajem sankcija: Rusija, Krim, Sirija, Iran, Severna Koreja, Belorusija, Kuba, Venecuela, Libija, Sudan
Significant countries affected by sanctions: Russia, Crimea, Syria, Iran, North Korea, Belarus, Cuba, Venezuela, Libya, Sudan

Odeljak III Vlasnička struktura:
Part III Ownership structure:

Da li je u odnosu na poslednje dostavljenu dokumentaciju Raiffeisen Lizingu d.o.o. Beograd, došlo do izmena u vlasničkoj/upravljačkoj strukturi/stvarnom vlasniku kako sledi?

In relation to the last submitted documentation to Raiffeisen Leasing d.o.o. Beograd, have there been any changes in the ownership/management structure/beneficial owner as follows?

Vlasnička struktura = sva pravna lica u vlasničkoj strukturi klijenta do stvarnog vlasnika fizičkog lica:

Ownership structure = all legal entities in the ownership structure of the customer up to the ultimate beneficial owner

☐ **Ne** / No

☐ **Da (ukoliko je odgovor "Da" popuniti odeljak III-a Nova vlasnička struktura)**
/Yes (if the answer is "Yes" please fill in the part III-a New ownership structure)

Odeljak II Izjava o finansijskim sankcijama*
Part II Statement about financial sanctions*

Nova vlasnička struktura = sva pravna lica u vlasničkoj strukturi klijenta do stvarnog vlasnika fizičkog lica:

New ownership structure = all legal entities in the ownership structure of the customer up to the ultimate beneficial owner

☐ **u skladu sa izjavom o vlasničkoj strukturi**
/ in accordance with the statement on the ownership structure;

☐ **u skladu sa organigramom (iz koga se vidi vlasnička struktura, uključujući zemlju registracije, procenat svakog pravnog lica u nizu do stvarnog vlasnika fizičkog lica, potpisan od strane ovlašćenog potpisnika)**
/ in accordance with the organizational chart (which shows the ownership structure, including the country of registration, the percentage of each legal entity in the sequence to the beneficial owner, signed by the authorized signatory);

☐ **popunjena u okviru tabele koja sledi**
/ filled in within the following table

Naziv pravnog lica Name of legal entity	**Pravna forma** Legal form	**Adresa i zemlja registracije** Address and country of registration	**Adresa i zemlja administrativnog sedišta** Address and country of administrative office	**Procenat** Percentage

Obavezujem se da ću odmah a najkasnije u roku od 3 dana, obavestiti Društvo u slučaju bilo kakve promene koja je u vezi sa poslovnom saradnjom ili bilo kakve promene koja se odnosi na stvarne vlasnike pravnog lica.

Sa našim potpisom potvrđujemo sledeće:

Uzimajući u obzir definicije sadržane u Aneksu I, potvrđujemo da su svi podaci navedeni u upitniku tačni i potpuni.
Izričito dajemo saglasnot da Raiffeisen Llizingu d.o.o. (RLRS), može proslediti ovaj KYC upitnik, sve informacije sadržane u njemu i sva dokumenta koja su dostavljena kao verifikacija ili koje je RLRS na drugi način pribavila u vezi sa svojim KYC procedurama, sledećim primaocima:

članovi RBI grupe iz Austrije[3] ili u okviru EU[4]
članovi RBI grupe u trećim zemljama izvan EU[5]
drugi članovi Austrijske Raiffeisen Bankarske Grupacije[6]

Na osnovu ove saglasnosti, svako prosleđivanje podataka nije ograničeno na informacije koje se tiču nas kao klijenta RLRS pojedinačno. Informacija koja se prosleđuje sadrži i lične podatke fizičkih lica o

[3] posebno Raiffeisen Factor Bank AG, Kathrein Privatbank Aktiengesellschaft, Raiffeisen-Leasing Gesellschaft m.b.H., Raiffeisen Bausparkasse Gesellschaft m.b.H., Raiffeisen Centrobank AG, Raiffeisen Kapitalanlage-Gesellschaft m.b.H., Raiffeisen Immobilien Kapitalanlage-Gesellschaft m.b.H., Valida Holding AG, Raiffeisen Wohnbaubank AG
[4] posebno Raiffeisenbank a.s. (Tschechien), Tatra Banka a.s. (Slowakei), Raiffeisen Bank Zrt. (Ungarn), Raiffeisenbank Austria d.d. (Kroatien), Raiffeisenbank (Bulgaria) EAD (Bulgarien), Raiffeisen Bank S.A. (Rumänien), Raiffeisen Malta Bank plc (Malta)
[5] posebno ZAO Raiffeisenbank (Russland), Priorbank OAO (Weißrussland), AT Raiffeisen Bank Aval (Ukraine), Raiffeisen banka a.d. (Serbien), Raiffeisen Bank d.d. Bosna i Hercegovina (Bosnien-Herzegowina), Raiffeisen Bank Kosovo J.S.C. (Kosovo), Raiffeisen Bank Sh.a. (Albanien)
[6] sve Austrian Raiffeisenlandesbanken and Raiffeisenbanken

kojima je RLRS dobio informacije u okviru svojih KYC obaveza u skladu sa Zakonom o sprečavanju pranja novca i finansirarnja terorizma putem ovog KYC upitnika i drugih dokumenata ili na drugi način u vezi sa svojim KYC procedurama. Opšte informacije o zaštiti podataka o ličnosti, dostupne su na našoj web stranici: https://www.raiffeisen-leasing.rs/opste-informacije-o-zastiti-podataka/

Aneks I - Definicija stvarnog vlasnika prema Zakonu o sprečavanju pranja novca i finansiranja terorizma je sledeća:

Stvarni vlasnik stranke je fizičko lice koje posredno ili neposredno ima u svojini ili kontroliše stranku; stranka iz ove tačke uključuje i fizičko lice;

Stvarni vlasnik privrednog društva, odnosno drugog pravnog lica jeste:

(1) fizičko lice, koje je posredno ili neposredno imalac 25% ili više poslovnog udela, akcija, prava glasa ili drugih prava, na osnovu kojih učestvuje u upravljanju pravnim licem, odnosno učestvuje u kapitalu pravnog lica sa 25% ili više udela, odnosno fizičko lice koje posredno ili neposredno ima preovlađujući uticaj na vođenje poslova i donošenje odluka;

(2) fizičko lice, koje privrednom društvu posredno obezbedi ili obezbeđuje sredstva i po tom osnovu ima pravo da bitno utiče na donošenje odluka organa upravljanja privrednim društvom prilikom odlučivanja o finansiranju i poslovanju;

Stvarni vlasnik trasta je osnivač, poverenik, zaštitnik, korisnik ako je određen, kao i lice koje ima dominantan položaj u upravljanju trastom; odredba ove tačke se analogno primenjuje na stvarnog vlasnika drugog lica stranog prava;

Ako Drustvo, nakon preduzimanja svih radnji propisanih članom 25 Zakona o sprečavanju pranja novca i finasiranja terorizma nije u mogućnosti da utvrdi stvarnog vlasnika, dužno je da utvrdi identitet jednog ili više fizičkih lica koja obavljaju funkciju najvišeg rukovodstva klijenta.

Raiffeisen Lizing d.o.o. Beograd obrađuje vaše podatke u skladu sa Evropskom opštom uredbom o zaštiti podataka 2016/649 (GDPR). Informacije o vašim pravima prema GDPR-u i kako nas možete kontaktirati možete pronaći na našoj web stranici: https://www.raiffeisen-leasing.rs/opste-informacije-o-zastiti-podataka/

I undertake to notify the Company immediately and no later than within 3 days, of any changes of the data that are relevant for the business cooperation or of any other change of the effective owners of the legal person.

With our signature we confirm the following:

Taking into consideration the definitions contained in the Annex I, we confirm that all statements made above are accurate and complete.

We explicitly give our consent that Raiffeisen Leasing d.o.o. Beograd („RLRS") may forward this KYC form, all information contained therein, and all documents that were submited as verification or that were otherwise obtained by RLRS in connection with its KYC procedures, to the following recipients (the „Recipients"):

members of RBI group in Austria[7] or within the EU[8]
members of RBI group in third countries outside the EU[9]
other members of the Austrian Raiffeisen Banking Group[10]

Based on this consent, any forwarding of data is not limited to information concerning us as customer of RLRS individually. The information being forwarded also contains personal data of natural persons in respect of which RLRS has obtained information as part of its KYC obligations pursuant to the the Law on the Prevention of Money Laundering and the Financing of Terrorism via this KYC form and other documents or otherwise in connection with its KYC procedures. You can find General information on data protection at https://www.raiffeisen-leasing.rs/opste-informacije-o-zastiti-podataka/

Annex I – Definition of beneficial owner according to the Law on the Prevention of Money Laundering and the Financing of Terrorism:

Beneficial owner of a customer means the natural person who owns or controls the customer, indirectly or directly; the customer referred to in this item also includes a natural person;*

Beneficial owner of a company or other legal person means the following:*

(1) a natural person who owns, indirectly or directly, 25% or more of the business interest, shares, voting rights or other rights, based on which they participate in controlling the legal person, or who participates in the capital of the legal person with 25% or more of the interest, or a natural person who indirectly or directly has a dominant influence on business management and decision-making;*

(2) a natural person who has provided or provides funds to a company in an indirect manner, which gives him the right to influence substantially the decisions made by the managing bodies of the company concerning its financing and business operations;*

Beneficial owner of a trust means its settlor, trustee, protector, beneficiary if designated, and the person who has a dominant position in controlling the trust; the provision of this item also applies on the beneficial owner of other persons under foreign law;

If even after undertaking all the actions prescribed in Article 25 Law on the Prevention of Money Laundering and the Financing of Terrorism, Companyk is still unable to identify the beneficial owner, it shall identify one or more natural persons who hold top management positions at the customer.

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[7] especially Raiffeisen Factor Bank AG, Kathrein Privatbank Aktiengesellschaft, Raiffeisen-Leasing Gesellschaft m.b.H., Raiffeisen Bausparkasse Gesellschaft m.b.H., Raiffeisen Centrobank AG, Raiffeisen Kapitalanlage-Gesellschaft m.b.H., Raiffeisen Immobilien Kapitalanlage-Gesellschaft m.b.H., Valida Holding AG, Raiffeisen Wohnbaubank AG

[8] especially Raiffeisenbank a.s. (Tschechien), Tatra Banka a.s. (Slowakei), Raiffeisen Bank Zrt. (Ungarn), Raiffeisenbank Austria d.d. (Kroatien), Raiffeisenbank (Bulgaria) EAD (Bulgarien), Raiffeisen Bank S.A. (Rumänien), Raiffeisen Malta Bank plc (Malta)

[9] especially ZAO Raiffeisenbank (Russland), Priorbank OAO (Weißrussland), AT Raiffeisen Bank Aval (Ukraine), Raiffeisen banka a.d. (Serbien), Raiffeisen Bank d.d. Bosna i Hercegovina (Bosnien-Herzegowina), Raiffeisen Bank Kosovo J.S.C. (Kosovo), Raiffeisen Bank Sh.a. (Albanien)

[10] All Austrian Raiffeisenlandesbanken and Raiffeisenbanken

Raiffeisen Leasing d.o.o. Beograd processes your data in compliance with the European General Data Protection Regulation 2016/649 (GDPR). Information about your rights according to GDPR and how you can contact us can be found on our website: https://www.raiffeisen-leasing.rs/opste-informacije-o-zastiti-podataka/

Datum / date	**Potpis ovlašćenog lica / zastupnika** Signature of authorized person

Napomena:

klijent popunjava polja obeležena zvezdicom (*)

Remark:

the client completes the fields marked with an asterisk (*)