Appendix No 3

INFORMATION ON FINANCIAL INSTITUTION LEGAL ENTITY REPRESENTATIVE

Part I

|  |  |  |  |
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| Full name and short name of the financial institution (in Latin) | | |  |
| Form of incorporation | | |  |
| Taxpayer identification number or Code of foreign organization (INN) (for residents) | | INN number |  |
| INN certificate number |  |
| For non-residents: Taxpayer Identification Number (INN) if registered after 24 December, 2010, or Foreign Organization Code (KIO) if registered before 24 December, 2010 | | |  |
| Primary State Registration Number (OGRN) | Registration number | |  |
| Date of registration | |  |
| Record date in the registry | |  |
| Registration authority, place of registration | |  |
| For non-residents: the accreditation certificate of the branch or representative office, issued by the federal executive body authorized by the Government of the Russian Federation. If unavailable, the registration number of the legal entity at the place of its establishment and registration | | |  |
| Place of state registration | | |  |
| Address of the legal entity | | |  |
| Contact information (phone number, e-mails, postal address, website) | | |  |
| Domain name, index of the website page on the Internet, using which services are provided | | |  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_   Services through the Internet are NOT provided. |
| Code according to the Russian classification of administrative and territorial division (if available) | | |  |
| Legal entity's code (according to General Classifier of Enterprises and Organizations) | | |  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_   The activity subject to licensing is NOT carried out |
| Information about the legal entity body (structure and personal composition, excluding information about the personal composition of shareholders (participants) of the legal entity owning less than one percent of the shares (interests) of the legal entity) | | | Sole Executive Body (Full name)  (CEO/President and others)  Other (please provide details) |
| Legal entity's code (according to General Classifier of Enterprises and Organizations) | | |  |
| Information on authorized and paid-up statutory (share) capital | | |  |
| Main activities (including imported goods, accomplished work, services) | | |  |
| Information on shareholders, share in the capital % (for the individual – full name), for the legal entity – name of the organisation, INN | | |  |
| Beneficial owner (an individual who directly or indirectly owns (has a predominant stake of over 25% in the capital) a Client or has a possibility of controlling the actions of a Client) | | |  |
| Presence or absence of a permanent management body, other body or person authorized to act on behalf of the organization without power of attorney, at the above stated address of the legal entity (at the location) | | |  |
| Is your organization a Russian exporter? | | |  |
| Is your organization a subsidiary company of Russian exporter? | | |  |
| Are you planning to make transfers or other bank operations in favor of others on the terms of agency contract, commission agreement, agency agreement, etc. | | |  Yes (please fill in beneficiary form)   No |
| Purposes of establishing relationship with the Bank [[1]](#footnote-1)\* | | |  |
| Which services of the Bank are you going to use [[2]](#footnote-2)\* | | |  Non-cash payment in rubles   Non-cash payment in foreign exchange   Cash lodgments/withdrawal   Buying and selling of currencies   Brokerage operations in the securities market   Depository operations   Transactions with Joint-Stock company “Togliattikhimbank” bills   Deposit placement   Loans   Trust management of funds   Other (please specify)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Purposes of financial and economic activities [[3]](#footnote-3)\* | | | Expected volume of transactions in the account, per month:   up to 50 over 50 |
| Expected turnover of funds, per month:   up to 500 thousand RUB   from 500 thousand RUB to 1 million RUB.   from 1 million RUB to 5 million RUB.   over 5 million RUB. |
| Expected value of cash withdrawal, per month:  0 RUB.   up to 500 thousand RUB   from 500 thousand RUB to 1 million RUB.   from 1 million RUB to 5 million RUB.   over 5 million RUB. |
| Expected amount of transactions related to foreign trade activity, per month:  0 RUB   up to 1 million RUB   from 1 million RUB to 5 million RUB   over 5 million RUB |
| Sources of origin funds and (or) other property | | |  |
| Date: | | |  |

Signature \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/

*seal*

Part II (to be completed by the bank officer):

|  |  |
| --- | --- |
| Information (documents) on financial reputation: | Copy of annual financial statements (balance sheet, statement of financial results)  Copy of the annual (or quarterly) tax return  Copy of the auditor's report on the annual report for the previous year, which confirms the reliability of the financial (accounting) statements and compliance of the accounting procedure with the legislation of the Russian Federation  Certificate of fulfillment of the taxpayer's (levy payer, tax agent) obligation to pay taxes, levies, penalties, fines, issued by the tax authority  Information on absence of insolvency (bankruptcy) proceedings in respect of the client, judicial decisions on declaring the client insolvent (bankrupt), liquidation procedures as of the date of submission of documents to the credit organization that have entered into force  Data on the client's rating posted in the Internet on the websites of Russian credit rating agencies and international rating agencies ("Standard & Poor's", "Fitch-Ratings", "Moody's Investors Service" and others)   Non-resident's documents   Financial reputation \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Information on business reputation |  |

The data has been entered into an electronic database:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/

(position) (signature) Full name

|  |  |
| --- | --- |
| Date of account opening |  |
| Surname, first name, patronymic, position of the person responsible for the decision to accept the client for service |  |

Account is opened by:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/

(position) (signature) Full name

The results of verification of the presence (absence) in relation to the client of information about his involvement in extremist activities or terrorism, his connection with terrorist organizations and terrorists or proliferation of weapons of mass destruction:

|  |  |
| --- | --- |
| Verification date |  |
| Verification result |  |
| Number and date of the list of organizations and individuals in respect of which there is information about their involvement in extremist activities or terrorism, numbers (if any and dates) of lists of organizations and individuals associated with terrorist organizations and terrorists or proliferation of weapons of mass destruction, compiled by the UN Security Council or bodies specially created by decisions of the UN Security Council, containing information about the client, or number and date of the decision of the interagency coordination body carrying out the client's activities performing functions to counter terrorism financing, on freezing (blocking) of funds or other property of the client. |  |

|  |  |
| --- | --- |
| Risk level |  |
| Justification of risk level assessment |  |
| Retention period of the questionnaire |  |

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/

(position) (signature) Full name

Date of updating the questionnaire «\_\_\_\_»\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_20\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/

(position) (signature) Full name

Date of relationship termination with the client «\_\_\_\_»\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_20\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/

(position) (signature) Full name

1. \* Information is established once at the time of admission to service and is updated when there are doubts about its accuracy [↑](#footnote-ref-1)
2. [↑](#footnote-ref-2)
3. [↑](#footnote-ref-3)