

Questionnaire for legal entities and application to open the client account

FINCI

Dear Client,

Pursuant to the legal acts of the Republic of Lithuania regulating the prevention of money laundering and counter terrorist financing and other applicable legal acts, FINCI, UAB (hereinafter – FINCI, we, our) must collect information about its clients. Therefore, we kindly ask you to complete this questionnaire and provide relevant supporting documents with it. Please note that you can find more information about personal data processing in Privacy Policy, which is published on our website finci.com

1. Company information

Company name:

Registration number:

Legal form:

Company registration address:

Street, house number, place, city, country, post code.

Company's actual place of business (if different from registered):

Street, house number, place, city, country, post code.

Tax residence country:

Tax identification number (TIN):

Please provide an explanation if TIN is absent.

Number of employees:

- 0 - 9 10 - 49 50 – 100 100+

Signature: _____

Reasons for account opening:

Please choose the activities:

- Salary payments
- Payments for goods and services
- Investments
- Payments to suppliers
- Business maintenance fees
- Other (free text)



Planned account use:

Please choose the activities:

- Bank transfers
- Online purchases
- Collection of funds
- Card payments
- Internal (P2P) payments
- Other (free text)



2. Company representation

Information about the representative:

First and Last name:

Date of birth:

Personal code (if applicable):

Citizenship:

Address of residence:

Is the representative a PEP? ²

- Yes No

Is the representative a U.S. person? ⁵

- Yes No

Signature: _____

Basis for company representation:

Please choose the activities:

- On the basis of company statutes
- On the basis of Power of Attorney (PoA)
- On the basis of procura

PoA or procura were selected, please attach supporting evidence. The document must be legalized or certified by an Apostille for all countries except for the Republic of Lithuania. If the document was issued in the Republic of Lithuania, it must be signed with qualified electronic signature.

Collective representation. Is the representative allowed to represent the company on the standalone basis?

- Yes
- No

↳ *If the answer is "no" – please provide information on the second representative*

First and Last name:

Date of birth:

Personal code (if applicable):

Citizenship:

Address of residence:

Is the representative a PEP? ²

- Yes
- No

Is the representative a U.S. person? ⁵

- Yes
- No

Preferred language of communication:

- Lithuanian
- English
- Latvian
- Russian

Communication phone number:

(with country code).

Communication e-mail:

Signature: _____

3. Beneficial ownership

Are there any natural persons or legal entities who directly own or control 25% or more of company shares or voting rights, including bearer shares, of a legal entity (Client)?

Option 1

There are no such persons or legal entities who own more than 25% of company shares or voting rights, including bearer shares. In such case, please list 4 main shareholders who own the majority.

Option 2

The company or its parent company is listed on the stock exchange market of the Member States of the European Economic Area.

Option 3

The Client is a state or municipal institution, or body of the European Economic Area Member State, a public institution controlled and owned by a state or municipality.

Option 4

Beneficial owner(s)⁶ (BO) are person(s) / entity(ies) listed below:

	<i>Name / Surname</i>	<i>Personal code / Date of birth</i>	<i>Citizenship</i>	<i>Tax payer country and tax identification number</i>	<i>Residence address Street, house number, place, city, country, post code.</i>	<i>Owned shares / voting rights (%)</i>	<i>Is person a PEP?²</i>	<i>Is a U.S. person?⁵</i>
1.							<input type="checkbox"/> (Yes)	<input type="checkbox"/> (Yes)
2.							<input type="checkbox"/> (Yes)	<input type="checkbox"/> (Yes)
3.							<input type="checkbox"/> (Yes)	<input type="checkbox"/> (Yes)
4.							<input type="checkbox"/> (Yes)	<input type="checkbox"/> (Yes)

Signature: _____

4. Senior Manager:

The senior manager should be understood as the head (e.r. CEO, managing director, head of administration) of the Company.

Name / Middle name / Surname:

Personal code:

Date of birth:

Citizenship:

Is the senior manager a PEP? ²

Yes

No

Is the senior manager a U.S. person? ⁵

Yes

No

5. Counterparties

Counterparties for incoming payments:

	<i>Name</i>	<i>Jurisdiction</i>	<i>Purpose of payments</i>	<i>Currency</i>
1.				
2.				
3.				

Signature: _____

Counterparties for outgoing payments:

	<i>Name</i>	<i>Jurisdiction</i>	<i>Purpose of payments</i>	<i>Currency</i>
1.				
2.				
3.				

Expected transactional activity:

Expected number of incoming transfers per month: 

Average range of incoming transfer value in EUR: 

Expected number of outgoing transfers per month: 

Average range of outgoing transfer value in EUR: 

Source of company's funds:



6. Business activity of the company

Field of business activity:

Please use [NACE⁷ code selector](#).



Signature: _____

Annual turnover of the company:

- Up to 99 999 EUR
- 100 000 – 499 999 EUR
- 500 000 – 999 999 EUR
- Over 1 000 000 EUR

Company's website:

(if not available please clarify how company markets its products or services).



Please describe the company's business activity and clarify how company's products and services are promoted.



How did you find out about FINCI:

- Website
- Finci manager
- Recommendation
- Advertising

7. Subscription plan & supporting documentation

Standard	Enterprise	Premium
250 000 EUR monthly incoming turnover	500 000 EUR monthly incoming turnover	Individual custom limit <input style="width: 100px;" type="text"/>  EUR
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
↓	↓	↓
<i>Standard</i>	<i>Enterprise</i>	<i>Premium</i>
<input type="checkbox"/> Certificate of Incorporation	<input type="checkbox"/> Certificate of Incorporation	<input type="checkbox"/> Certificate of Incorporation
<input type="checkbox"/> Extract from the register of legal entities (not older than 3 months)	<input type="checkbox"/> Extract from the register of legal entities (not older than 3 months)	<input type="checkbox"/> Extract from the register of legal entities (not older than 3 months)
<input type="checkbox"/> Articles of Association	<input type="checkbox"/> Articles of Association	<input type="checkbox"/> Articles of Association
<input type="checkbox"/> License (if applicable; for licensed businesses only)	<input type="checkbox"/> License (if applicable; for licensed businesses only)	<input type="checkbox"/> License (if applicable; for licensed businesses only)
	<input type="checkbox"/> Supporting documentation of source of BO's wealth supporting the requested trade limit (Documentary evidence of	<input type="checkbox"/> Supporting documentation of source of BO's wealth supporting the requested trade limit (Documentary

Signature: _____

<input type="checkbox"/> Power of Attorney (in cases if the representative is not a head of the company) <input type="checkbox"/> Proof of company's actual business address. Utility bill (gas, water, electricity, phone or internet bill - landline), confirming company's factual address (not registered) of business, not older than 3 months. <input type="checkbox"/> Documentary support for Source of Company Funds. <input type="checkbox"/> Documents confirming main business partners. Invoices, reports, contracts etc. showing relationship with the named entities and business activity.	<p>BO's wealth - investment statement, loan agreement, property sale agreement, sale agreement of another company, etc. Document should support the wealth of BO who owns share majority).</p> <input type="checkbox"/> Power of Attorney (in cases if the representative is not a head of the company) <input type="checkbox"/> Proof of company's actual business address. Utility bill (gas, water, electricity, phone or internet bill - landline), confirming company's factual address (not registered) of business, not older than 3 months. <input type="checkbox"/> Financial statements – please submit the copy of the latest audited annual report. <input type="checkbox"/> Documentary support for Source of Company Funds. Bank statements showing the funds being generated from the business activity, loan agreements, sale agreements, service provision agreements, contracts, investment etc. <input type="checkbox"/> Documents confirming main business partners. Invoices, reports, contracts etc. showing relationship with the named entities and business activity.	<p>evidence of BO's wealth - investment statement, loan agreement, property sale agreement, sale agreement of another company, etc. Document should support the wealth of BO who owns share majority).</p> <input type="checkbox"/> Power of Attorney (in cases if the representative is not a head of the company) <input type="checkbox"/> Proof of company's actual business address. Utility bill (gas, water, electricity, phone or internet bill - landline), confirming company's factual address (not registered) of business, not older than 3 months. <input type="checkbox"/> Financial statements – please submit the copy of the latest audited annual report. <input type="checkbox"/> Documentary support for Source of Company Funds. Bank statements showing the funds being generated from the business activity, loan agreements, sale agreements, service provision agreements, contracts, investment etc. <input type="checkbox"/> Documents confirming main business partners. Invoices, reports, contracts etc. showing relationship with the named entities and business activity.
---	--	--

8. Declaration

By signing and providing this questionnaire I hereby certify that:

- I am fully authorized to sign it on behalf of the client – legal entity;
- the information provided in this questionnaire, including in relevant supporting documents provided with it, is true, complete and correct and I do undertake to promptly notify FINCI in writing of any changes in the information provided;
- personal data of persons provided in this questionnaire, including in relevant supporting documents provided with it, is obtained lawfully and the client is entitled to disclose such personal data to FINCI for the purposes of the requested services of FINCI;
- I have read, understood and agree to Privacy Policy of FINCI published on the website <https://finci.com>;
- I request FINCI to open the Client account and to provide the maintenance of the account. I am aware and understand that this request or its submission does not bind FINCI to accept the request, establish business relationship with the client, open the Client account or provide other services. FINCI will make its decision on opening the Client account after assessing all submitted documents and data;
- I have read, understood and undertake to comply with Fees and General Terms and Conditions for the provision of Services of FINCI (hereinafter – the Terms), which determines the rights and obligations of the FINCI and the client. The current versions of the Fees and Terms are available on FINCI website <https://finci.com>.

Date

Name, surname of the client's representative, client's seal (if mandatory):

DD. MM. YYYY

¹ Head of the company – a natural person that is an entitled to act on behalf of the company in accordance with applicable laws and documents of incorporation of company

² Politically Exposed Person (PEP) – a natural person who is or has been entrusted with prominent public functions, as defined below, within past 12 months in any state and/or international institution. Also PEP's immediate family members or close associates, as defined in footnotes No. 2-3.

Prominent public functions shall be considered the following:

a) Head of the State, Head of the Government, a minister, a vice minister or a deputy minister, State Secretary, the Chancellor or of the Parliament, Government or Ministry;

b) Member of the Parliament;

c) Member on the Supreme Court, the Constitutional Court or any other judicial authority, whose decisions are not subject to further appeal;

d) Mayor of the municipality, director of the municipal administration;

e) Member of the management body of the national supreme audit and control institution, the chairperson, deputy chairperson or a member of the board of the central bank;

f) Ambassador, chargé d'affaire, Chief of Defense of the Republic of Lithuania, commanders of the armed forces and units, Chief of the Defense Staff or high-ranking officer in the armed forces of foreign country

Signature: _____

- g) Member of the management or supervisory body of a state enterprise, public company, private company all or part of shares of which awarding more than 1/2 of all votes in the general meeting of shareholders of these companies are held by the State by right of ownership
- h) Member of the management or supervisory body of a municipal enterprise, public company, private company all or part of shares of which awarding more than 1/2 of all votes in the general meeting of shareholders of these companies are held by the State by right of ownership and which are considered to be large enterprises within the meaning of the Law of the Republic of Lithuania on Financial Reporting by Undertakings
- i) Head, deputy head, member of the administrative, management or supervisory body of international intergovernmental organization;
- j) Leader, deputy leader, member of the administrative, management body of the political party.
- ³ Immediate family members - the spouse, the person with whom the partnership is registered (hereinafter the partner), parents, brothers, sisters, grandparents and grandchildren, children and their spouses or partners.
- ⁴ Close associates:
- 1) a natural person who is known to have joint beneficial ownership of legal entities or legal arrangements, or any other close business relations with a person who is or has been entrusted with prominent public functions;
- 2) a natural person who has sole beneficial ownership of a legal entity or legal arrangement which is known to have been set up for the benefit de facto of the person who is or has been entrusted with prominent public functions.
- ⁵ US person – citizen of the United States of America, or alien admitted for permanent residence in the United States, or any entity organized under the laws of the United States.
- ⁶ Beneficial owner (BO) – a natural person or a legal entity who owns 25% or more of legal entity's (client's) shares, voting rights, including bearer shares, or controls the legal entity (client) via other means (beneficiary of business activity).
- ⁷ NACE - https://ec.europa.eu/competition/mergers/cases/index/nace_all.html