

**Data on Client's Beneficial Owners**

Pursuant to the Anti-Money Laundering and Counter-Terrorism Financing Act (Narodne Novine, Official Gazette of the Republic of Croatia Nos.108/2017 and 39/2019) HBOR is obliged to establish and verify the identity of the client's beneficial owner.

**Data on business entity:**

|  |
| --- |
| Name of business entity and legal form: |
|  |

**If the business entity is registered as a joint stock company, the shares of which are listed on the stock exchange, please state the name of the stock exchange and short code of the share. In such case, you are not obliged to continue filling in this questionnaire.**

|  |  |
| --- | --- |
| Business entity has more than 1 owner[[1]](#footnote-1) |  |
| YES [ ]  | NO [ ]  |
| Business entity is listed on a regulated stock exchange[[2]](#footnote-2): |   |
| YES [ ]  | NO [ ]  |
| Name of the stock exchange [[3]](#footnote-3)  | ISIN code of share: |
|   |   |

**Client’s beneficial owner is defined as follows:**

Any natural person (persons) that is ultimately the owner or controls the client or in whose name the transaction is made is deemed to be the beneficial owner of a legal entity and includes at least:

1. natural person (persons) that owns or controls a legal entity through direct ownership over a sufficient percentage of shares, including shares in bearer form, or voting rights or business shares in this legal entity. The indicator of direct ownership that a natural person has in a legal entity is the ownership of more than 25% of business shares, voting or other rights based on which it exercises its right of management of the legal entity or the ownership of 25% plus one share,
2. natural person (persons) who exercises control over a legal entity through indirect ownership over a sufficient percentage of shares, including shares in bearer form, or voting rights or business shares in this legal entity. The indicator of indirect ownership is the ownership or control by the same natural person (persons) over one or several legal entities that individually or together have over 25% business shares or 25% plus one share in the client,
3. natural person (persons) with control position in the property management of a legal entity through other means. Control position in the property management of a legal entity through other means can also relate to the criteria of control used in the preparation of consolidated financial statements, e.g. shareholders’ agreement, by exercising a dominant influence and authorisation for the appointment of senior management,
4. subsidiary beneficial ownership: exists in case when there are no natural persons that would correspond to the definition of beneficial owner based on ownership or control position, and in such cases, general managers /members of the management board are deemed to be beneficial owners,
5. any natural person authorised to represent or any natural person that has a control position in the property management are deemed to be beneficial owners of domestic and legal associations and their unions, trusts, foundations, institutions, arts organisations, chambers, trade unions, association of employers, political parties, cooperatives, credit unions or religious communities.

**Owner 1**

|  |  |
| --- | --- |
| Name and family name: | Date of birth: |
|   |   |
| Country of residence: |
|   |
| Citizenship(s): | Person is: |
|   | IPLEASE SELECT |
| Percentage of ownership: |
| Please select |   |

**Owner 2**

|  |  |
| --- | --- |
| Name and family name: | Date of birth: |
|   |   |
| Country of residence: |
|   |
| Citizenship(s): | Person is: |
|   | PLEASE SELECT |
| Type of ownership: | Percentage of ownership: |
| PLEASE SELECT |   |

**Owner 3**

|  |  |
| --- | --- |
| Name and family name: | Date of birth: |
|   |   |
| Country of residence: |
|   |
| Citizenship(s): | Person is: |
|   | IPLEASE SELECT |
| Type of ownership: | Percentage of ownership: |
| PLEASE SELECT |   |

**Owner 4**

|  |  |
| --- | --- |
| Name and family name: | Date of birth: |
|   |   |
| Country of residence: |
|   |
| Citizenship(s): | Person is: |
|   | PLEASE SELECT |
| Type of ownership: | Percentage of ownership: |
| PLEASE SELECT |   |

By signing this Questionnaire, I confirm that all the data contained herein are true and I authorise HBOR to verify all the data given. I will personally inform you within 15 working days should any change occur relating to the data given above.

|  |  |
| --- | --- |
| **Place and date** | **Name and family name of person authorised to represent and signature** |
|   |   |

**Attachments:** Table 1 and Table 2

1. If HBOR's client has more than one owner, it is not necessary to fill in tables 1 and 2. [↑](#footnote-ref-1)
2. Regulated stock exchanges are those that meet international standards (disclosure requirements are applied – the ownership structure of business entities is defined and verified by the stock exchange). Stock exchanges headquartered in EU member states and the European Economic Area, the USA, Canada and Japan also meet this standard. [↑](#footnote-ref-2)
3. It is not necessary to establish the beneficial ownership of HBOR's client listed on the regulated market. Also, it is not necessary to establish beneficial ownership of all HBOR's clients holding 25 % of business interest or 25% plus one share in the party that are listed on the regulated stock exchange. [↑](#footnote-ref-3)