

## DATA ON CUSTOMERS AND CONTROLLING PERSONS

Based on the Tax Procedure Act (ZdavP-2) and the agreements on compliance with tax regulations at the international level and the implementation of FATCA (Foreign Account Tax Compliance Act) and the Common Reporting Standard (CRS), the Bank is obliged to obtain data on the account holder and the beneficial owners of the account holder.

If you are a US taxpayer ("US Person") in accordance with the rules on US tax laws, please note that you must also submit a W9 form or proof of exemption (waiver), if you have it.

UniCredit Banka Slovenija d.d. shall not complete the form on your behalf. If you have any questions, for example how to fill out this form, how to determine the tax residence of the entity or classify the entity in an individual section, please consult your tax or legal advisor. If you fail to fill out all the parts of the form that apply to your organisation, please note that UniCredit Bank Slovenija d.d. may not enter into a business relationship.

### 1. ACCOUNT HOLDER IDENTIFICATION

A. **NAME/FIRM or SHORT FIRM:** \_\_\_\_\_

**Did you change the name/firm or short firm in the past year?** (only for non-residents)

No       Yes

In case »Yes« please write all the previous names/firms or short firms, which you have used in the last year: \_\_\_\_\_

B. **COUNTRY OF REGISTRATION/ESTABLISHMENT OF THE ENTITY** (fill in only in case when data is different than country of registered office: \_\_\_\_\_

#### C. REGISTERED OFFICE

a. Street, house number: \_\_\_\_\_

b. City/town: \_\_\_\_\_

c. Postcode: \_\_\_\_\_

d. Country: \_\_\_\_\_

#### D. MAILING ADDRESS (if this differs from the registered office)

a. Street, house number: \_\_\_\_\_

b. City/town: \_\_\_\_\_

c. Postcode: \_\_\_\_\_

d. Country: \_\_\_\_\_

#### E. TAX RESIDENCE

<b>TAX RESIDENCE 1</b>	<b>TAX RESIDENCE 2</b>																				
Country of tax residence: _____	Country of tax residence: _____																				
The tax ID No. / TIN:	The tax ID No. / TIN:																				
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<p><b>TAX RESIDENCE 3</b></p> <p>Country of tax residence: _____</p> <p>The tax ID No. / TIN:</p> <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr> <td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td> </tr> </table> <p><input type="checkbox"/> The tax ID No. / TIN is not available for the following reason:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> The country does not issue tax numbers for residents</li> <li><input type="checkbox"/> The tax number cannot be obtained; You are required to indicate the reason: _____</li> </ul>											<p><b>TAX RESIDENCE 4</b></p> <p>Country of tax residence: _____</p> <p>The tax ID No. / TIN:</p> <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr> <td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td> </tr> </table> <p><input type="checkbox"/> The tax ID No. / TIN is not available for the following reason:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> The country does not issue tax numbers for residents</li> <li><input type="checkbox"/> The tax number cannot be obtained; You are required to indicate the reason: _____</li> </ul>										

**F. VAT IDENTIFICATION NUMBER** (only for non-residents)

We hereby declare (please mark and fill in):

- a) that our VAT Identification Number is: \_\_\_\_\_
- b) that we are a taxable person, which independently performs economic activity (for taxable persons from the third countries<sup>1</sup>, which do not have VAT identification number).

**2. INFORMATION ON THE ACTUAL OWNERS AND CONTROLLING PERSONS**

<p>Is there an individual who directly or indirectly owns or controls more than a 25 percent share or voting rights of the account holder?</p> <p><input type="checkbox"/> No, there are no individuals as defined above.</p> <p><input type="checkbox"/> Yes, indicate the individuals in the table below:</p>
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<sup>1</sup> A third country is any territory other than the territory of the Republic of Slovenia and the territory of other member states of the European Union.

<b>1. Name and Surname:</b> _____																					
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If any of the indicated persons is a US taxpayer ("US Person"), in accordance with the rules of the US tax laws, you must submit a W9 form for each indicated person.

### 3. FATCA CUSTOMER CLASSIFICATION

**Fill out if** you are a financial institution or registered with a passive activity or have any US indication (e.g. if a connected client has USA citizenship, a USA address, if the country of birth is the USA, or if you are otherwise connected with the USA).

If you are a financial institution, please confirm the appropriate category:

- Participating foreign financial institutions or FATCA reporting financial institution
- Sponsored foreign financial institution

If you have indicated one of the above categories, state your GIIN number or the GIIN number of the sponsorship financial institution:

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If you (still) do not have a GIIN number, indicate the reason: \_\_\_\_\_

<p>A) If you fall into the <b>financial institution category</b>, tick the appropriate box:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Non-reporting fatca partner financial institution</li> <li><input type="checkbox"/> Registered deemed-compliant FFI</li> <li><input type="checkbox"/> Certified deemed-compliant FFI</li> <li><input type="checkbox"/> Owner-documented FFI</li> <li><input type="checkbox"/> Exempt beneficial owner</li> <li><input type="checkbox"/> Non participated FFI or limited FFI</li> <li><input type="checkbox"/> Other: _____</li> </ul>	<p>B) If you fall into the <b>category of non-financial - foreign entity</b> tick the appropriate box:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Active Nffe or excepted Nffe</li> <li><input type="checkbox"/> Passive Nffe (mandatory fill in the Table under point 2)</li> <li><input type="checkbox"/> Direct reporting Nffe (indicate GIIN number)</li> <li><input type="checkbox"/> Sponsored direct reporting Nffe (indicate GIIN number)</li> <li><input type="checkbox"/> Non-profit organization</li> <li><input type="checkbox"/> Other: _____</li> </ul>
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### 4. COMMON STANDARD REPORTING – CRS CUSTOMER CLASSIFICATION

#### 4.1 Financial institution

- Financial institutions
- Non-reporting financial institution
- Financial institution – an investment entity from CRS non-participating country managed by another financial institution (mandatory fill in the Table, under point 2)

#### 4.2 An entity that is not a financial institution (NFS)

- Active NFS – a public limited company whose shares are regularly traded on a regulated securities market or is a related entity of such a public limited company.
- Active NFS – a state entity or the central bank
- Active NFS – an international organisation
- Active NFS – other (e.g. limited liability company and other public limited companies with active business, start-up, a non-profit company)<sup>2</sup>
- Passive NFS (mandatory fill in the Table under point 2)<sup>3</sup>.

<sup>2</sup> An entity that is not a financial institution, of which less than 50% of the gross income in the preceding calendar year or any other relevant reporting period is passive income, and less than 50% of the funds that the NFS had in the previous calendar year, or any other relevant reporting period, are assets that generate passive income or can creating passive income; a non-profit company.

<sup>3</sup> Passive NFS means an NFS that is not active or an investment entity, other than the financial institution of the participating jurisdiction, that is managed by another financial institution.

## 5. STATEMENT AND SIGNATURE

I, the undersigned:

- 1) and legal representative of customer, for all data on customer obtained during the establishment of business relationship and further cooperation, by this document hereby give explicit consent to the Bank to:
  - in order to optimize business processes, to ensure flawless functioning within the UniCredit Group and to provide high quality services, in particular, but not limited to, for purposes of managing risks, send to other companies within the Group (superior, sister companies or subordinated companies, existing and future companies), which includes also sending data outside of the Republic of Slovenia, in case when the other company's registered office is outside of the Republic of Slovenia, whereby the company to which data is sent shall acquire the right to process them, also in a sense of non-market analyses in the framework of large databases;
  - for the purposes of direct marketing, which includes also target and segmented marketing, send them to other companies within the UniCredit Group, whereby the company to which data is sent shall acquire the right to process them, also in a sense of non-market analysis in the framework of large databases;all in line with the Banking Act, the Companies Act and other regulation regarding the protection of confidential data and trade secret.

If you do not want that the Bank use data for the purposes of direct marketing, please mark:

- I do not agree
- 2) I am aware that the information indicated in this form and other information about the account holder and any account (s) that is subject to reporting may be submitted to the tax authority of the country where the account (s) is opened / managed, and exchanged, for tax purposes, with the competent authorities of the other country (countries) of residence, in accordance with the international agreement on the exchange of information on financial accounts.
  - 3) Declare that all the information on the form is true, correct and complete.
  - 4) Undertake that I shall immediately inform UniCredit Banka Slovenija, d.d. of any change in circumstances causing a change in the tax residence status and submit a new completed form within 90 days.

It is mandatory to mark:

- We confirm that the account holder, the indicated beneficial owners and controlling persons in this form are not tax residents of any other country than those indicated in this form. We also confirm that the person who signed this form has all the relevant powers for signing.

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Place and date

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Stamp, name, surname and signature of legal representative

Note: If the form is signed under a power of representation, you are required to attach the authorisation.

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Name, surname and signature of Bank's employee, who verified the obtained data