

DATA ON CUSTOMERS AND CONTROLLING PERSONS

UniCredit Banka Slovenija d.d. (hereinafter: the Bank) is obligated in accordance with:

- Tax Procedure Act (ZdaP-2),
 - Prevention of Money Laundering and Terrorist Financing Act (hereinafter: ZPPDFT-1),
 - agreements on respecting tax regulations on an international level,
 - the performance of FATCA (Foreign Account Tax Compliance Act), and
 - the uniform reporting standard CRS (Common Reporting Standard),
- to obtain information on the account holder and the actual owners of the account holder.

The information is collected and processed exclusively for the purpose of establishing and maintaining the business relationship with the customer.

If the customer is an American tax resident ('US person'), a W9 form or waiver in accordance with the United States tax legislation must be submitted.

The Bank is not allowed to fill out the form on behalf of the customer. In the event of additional questions regarding the completion of the form, determination of the tax residency of the subject, or classification of the subject in a specific section, please consult a tax or legal advisor. If there are missing sections in the form relating to the subject, the Bank must not conclude a business relationship.

I. BUSINESS ENTITY IDENTIFICATION

NAME (firm and short firm): _____	
Did you change the name/firm or short firm in the past year?	NO YES
If "YES", please write all the previous names/firms or short firms which you have used in the last year: _____	

COUNTRY OF REGISTRATION/ESTABLISHMENT OF THE ENTITY (fill in only if data is different to the country of registered office):	

REGISTERED OFFICE OF THE COMPANY:	
Street, house number: _____	Postcode: _____
City/town: _____	Country: _____
ADDRESS FOR MAIL:	
Street, house number: _____	Postcode: _____
City/town: _____	Country: _____
ADDRESS WHERE THE CUSTOMER CARRIES OUT THE MAJORITY OF THEIR BUSINESS (if different from the business address of the company):	
Street, house number: _____	Postcode: _____
City/town: _____	Country: _____
Standard classification of activities (SKD or NACE code): _____ :	
• Description of primary/major activity: _____	
• Description of secondary/parallel activity/activities: _____	
Registration number: _____	Tax number: _____

II. TAX RESIDENCY**TAX RESIDENCY 1**

Country of tax residence: _____

Tax ID number/TIN:

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Tax ID number/TIN is not available for the following reason:

The country does not issue tax numbers for its residents

A tax number cannot be obtained; you are required to indicate the reason:

_____**TAX RESIDENCY 2**

Country of tax residence: _____

Tax ID number/TIN:

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Tax ID number/TIN is not available for the following reason:

The country does not issue tax numbers for its residents

A tax number cannot be obtained; you are required to indicate the reason:

_____**VAT ID NUMBER** (to be filled out only by non-residents)

We hereby declare (please circle accordingly and fill out) that:

our VAT ID number is: _____

we are a taxable person performing an economic activity independently (for taxable persons from third countries¹ who do not have a VAT ID number).¹ A third country is any other territory other than the territory of Slovenia and the territory of other member states or the European Union.

III. INFORMATION ON LEGAL REPRESENTATIVES OF THE BUSINESS ENTITY

If the business entity is represented by several legal representatives or authorised persons, then the set of required information needs to be filled out for each and every one of them regardless of on the level of their authorisation. Legal representatives or authorised persons need to submit a valid personal ID to the Bank at identification.

LEGAL REPRESENTATIVE		
Independent representation	Joint representation ²	(MARK ACCORDINGLY)
Will you represent the company in your dealings with the bank ³ ?	YES	NO
Name and surname: _____		
Permanent residence address:		
Street, house number: _____		Postcode: _____
City/town: _____		Country: _____
Temporary residence address:		
Street, house number: _____		Postcode: _____
City/town: _____		Country: _____
Date of birth: _____	Place of birth: _____	Country of birth: _____
Nationality: _____		
Tax ID number: _____	Personal Registration Number (EMŠO): _____	
Type and number of the official identity document: _____		
Title of the issuer of the official identity document: _____		Date of expiry of the official identity document: _____

LEGAL REPRESENTATIVE		
Independent representation	Joint representation ²	(MARK ACCORDINGLY)
Will you represent the company in your dealings with the bank ³ ?	YES	NO
Name and surname: _____		
Permanent residence address:		
Street, house number: _____		Postcode: _____
City/town: _____		Country: _____
Temporary residence address:		
Street, house number: _____		Postcode: _____
City/town: _____		Country: _____
Date of birth: _____	Place of birth: _____	Country of birth: _____
Nationality: _____		
Tax ID number: _____	Personal Registration Number (EMŠO): _____	
Type and number of the official identity document: _____		
Title of the issuer of the official identity document: _____		Date of expiry of the official identity document: _____

² The level of authorization must be the same as in AJPES or another valid registration document.

³ Representation of company in dealings with a bank means representation in the conclusion of a business relationship, signing the contracts, granting authorization to dispose with funds on the current account, etc. In this case, personal identification of the legal representative is required..

LEGAL REPRESENTATIVE

Independent representation

Joint representation¹**(MARK ACCORDINGLY)**Will you represent the company in your dealings with the bank²?

YES

NO

Name and surname: _____**Permanent residence address:**

Street, house number: _____ Postcode: _____

City/town: _____ Country: _____

Temporary residence address:

Street, house number: _____ Postcode: _____

City/town: _____ Country: _____

Date of birth: _____ Place of birth: _____ Country of birth: _____

Nationality: _____

Tax ID number: _____ Personal Registration Number (EMŠO): _____

Type and number of the official identity document: _____

Title of the issuer of the official identity document: _____ Date of expiry of the official identity document: _____

LEGAL REPRESENTATIVE

Independent representation

Joint representation¹**(MARK ACCORDINGLY)**Will you represent the company in your dealings with the bank²?

YES

NO

Name and surname: _____**Permanent residence address:**

Street, house number: _____ Postcode: _____

City/town: _____ Country: _____

Temporary residence address:

Street, house number: _____ Postcode: _____

City/town: _____ Country: _____

Date of birth: _____ Place of birth: _____ Country of birth: _____

Nationality: _____

Tax ID number: _____ Personal Registration Number (EMŠO): _____

Type and number of the official identity document: _____

Title of the issuer of the official identity document: _____ Date of expiry of the official identity document: _____

¹ The level of authorisation must be the same as in AJPES or another valid registration document.² Representation of company in dealings with a bank means representation in the conclusion of a business relationship, signing the contracts, granting authorisation to dispose with funds in the current account, etc. In this case, personal identification of the legal representative is required.

IV. OWNERSHIP STRUCTURE OF BUSINESS ENTITY
DATA ON INTERMEDIATE/INDIRECT OWNERS OF BUSINESS ENTITY

An intermediate/indirect owner is a legal entity in the ownership structure between the business entity (client) conducting a business relationship with the Bank and the actual owner (natural person) who is the owner or controls more than 25% of the business entity.

The organisation chart of the business entity with a full, correct, and documented set of data needs to be submitted in all cases (annex: an example of the organisation chart).

If there are more intermediate legal entities in the ownership structure of the business entity, then all the data below needs to be filled out for each legal entity.

NAME (firm and short firm): _____																					
Did you change the name/firm or short firm in the past year?	NO YES																				
If "Yes", please write all the previous names/firms or short firms which you have used in the last year: _____																					

REGISTERED OFFICE:																					
Street, house number: _____	Postcode: _____																				
City/town: _____	Country: _____																				
Registration number: _____	Tax ID number/TIN: <table border="1" style="display: inline-table; border-collapse: collapse; text-align: center;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> </table>																				
Volume of business share, shares, voting or other rights or rights in the client's equity: _____%																					

NAME (firm and short firm): _____																					
Did you change the name/firm or short firm in the past year?	NO YES																				
If "Yes", please write all the previous names/firms or short firms which you have used in the last year: _____																					

REGISTERED OFFICE:																					
Street, house number: _____	Postcode: _____																				
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Volume of business share, shares, voting or other rights or rights in the client's equity: _____%																					

DATA ON INTERMEDIATE/INDIRECT OWNERS OF BUSINESS ENTITY**NAME (firm and short firm):** _____

Did you change the name/firm or short firm in the past year? NO YES

If "Yes", please write all the previous names/firms or short firms which you have used in the last year: _____

_____**REGISTERED OFFICE:**

Street, house number: _____ Postcode: _____

City/town: _____ Country: _____

Registration number: _____ **Tax ID number/TIN:**

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Volume of business share, shares, voting or other rights or rights in the client's equity: _____ %**NAME (firm and short firm):** _____

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Street, house number: _____ Postcode: _____

City/town: _____ Country: _____

Registration number: _____ **Tax ID number/TIN:**

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Volume of business share, shares, voting or other rights or rights in the client's equity: _____ %**NAME (firm and short firm):** _____

Did you change the name/firm or short firm in the past year? NO YES

If "Yes", please write all the previous names/firms or short firms which you have used in the last year: _____

_____**REGISTERED OFFICE:**

Street, house number: _____ Postcode: _____

City/town: _____ Country: _____

Registration number: _____ **Tax ID number/TIN:**

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Volume of business share, shares, voting or other rights or rights in the client's equity: _____ %

INFORMATION ON THE ACTUAL OWNERS (NATURAL PERSONS) OR CONTROLLING PERSONS:**Actual owner definition – natural person**

To determine the actual owner means to determine the ownership structure of the business entity in the entire ownership chain, up to the final owners – natural persons, who are either direct or indirect (via other legal entities) owners with a greater than 25% stake (or owners of 25% and one share), voting or other rights, on the basis of which their participation in managing the economic entity has been given.

It is assumed that the actual owner of the business entity is also a natural person who does not have more than 25% of indirect or direct benefits in the business entity, providing they have a dominant position (over 50% of ownership or voting rights) in the intermediate/indirect owner of the business entity (the definition of the intermediate/indirect owner is provided above).

In accordance with the Bank's internal acts, when a business entity is classified as a risk client, it is necessary to identify natural persons who are direct or indirect owners $\geq 10\%$ stake, voting or other rights on the basis of which their participation in managing the economic entity has been given.

In the event that no natural person can be identified by using the rules above then the actual owners of the business entity shall be the members of the management.

INFORMATION ON THE ACTUAL OWNERS (NATURAL PERSONS) OR CONTROLLING PERSONS
1. Name and surname: _____

Volume of business shares, voting right, or other rights in the client's equity: _____ %

Ownership through bearer shares: NO YES

Permanent residence address:

Street, house number: _____ Postcode: _____

City/town: _____ Country: _____

Temporary residence address (street and house number, postcode, city/town, country): _____

Date of birth: _____ Place of birth: _____ Country of birth: _____

Nationality (indicate all nationalities): _____

Country of tax residence: _____

 Tax ID number/TIN:

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Tax ID number/TIN is not available for the following reason:

The country does not issue tax numbers for its residents

A tax number cannot be obtained; you are required to indicate the reason:

Country of tax residence: _____

 Tax ID number/TIN:

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Tax ID number/TIN is not available for the following reason:

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Country of tax residence: _____

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Tax ID number/TIN is not available for the following reason:

The country does not issue tax numbers for its residents

A tax number cannot be obtained; you are required to indicate the reason:

INFORMATION ON THE ACTUAL OWNERS (NATURAL PERSONS) OR CONTROLLING PERSONS
2. Name and surname: _____

Volume of business shares, voting right, or other rights in the client's equity: _____ %

Ownership through bearer shares: NO YES

Permanent residence address:

Street, house number: _____ Postcode: _____

City/town: _____ Country: _____

Temporary residence address (street and house number, postcode, city/town, country): _____

Date of birth: _____ Place of birth: _____ Country of birth: _____

Nationality (indicate all nationalities): _____

Country of tax residence: _____

 Tax ID number/TIN:

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Country of tax residence: _____

 Tax ID number/TIN:

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Tax ID number/TIN is not available for the following reason:

The country does not issue tax numbers for its residents

A tax number cannot be obtained; you are required to indicate the reason:

INFORMATION ON THE ACTUAL OWNERS (NATURAL PERSONS) OR CONTROLLING PERSONS
3. Name and surname: _____

Volume of business shares, voting right, or other rights in the client's equity: _____ %

Ownership through bearer shares: NO YES

Permanent residence address:

Street, house number: _____ Postcode: _____

City/town: _____ Country: _____

Temporary residence address (street and house number, postcode, city/town, country): _____

Date of birth: _____ Place of birth: _____ Country of birth: _____

Nationality (indicate all nationalities): _____

Country of tax residence: _____

 Tax ID number/TIN:

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 Tax ID number/TIN:

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Country of tax residence: _____

 Tax ID number/TIN:

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Tax ID number/TIN is not available for the following reason:

The country does not issue tax numbers for its residents

A tax number cannot be obtained; you are required to indicate the reason:

INFORMATION ON THE ACTUAL OWNERS (NATURAL PERSONS) OR CONTROLLING PERSONS**4. Name and surname:** _____

Volume of business shares, voting right, or other rights in the client's equity: _____ %

Ownership through bearer shares: NO YES

Permanent residence address:

Street, house number: _____ Postcode: _____

City/town: _____ Country: _____

Temporary residence address (street and house number, postcode, city/town, country): _____

Date of birth: _____ Place of birth: _____ Country of birth: _____

Nationality (indicate all nationalities): _____

Country of tax residence: _____Tax ID number/TIN:

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Tax ID number/TIN is not available for the following reason:

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Country of tax residence: _____Tax ID number/TIN:

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Tax ID number/TIN is not available for the following reason:

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A tax number cannot be obtained; you are required to indicate the reason:

Country of tax residence: _____Tax ID number/TIN:

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Tax ID number/TIN is not available for the following reason:

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A tax number cannot be obtained; you are required to indicate the reason:

Country of tax residence: _____Tax ID number/TIN:

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Tax ID number/TIN is not available for the following reason:

The country does not issue tax numbers for its residents

A tax number cannot be obtained; you are required to indicate the reason:

V. DESCRIPTION OF COMPANY OPERATIONS

Description and type of conclusion of business relationship:

A. Transaction account

Purpose of transactions:

Regular financial operations related to the activity

Mandatory contextual explanation of the purpose of transactions: _____

The account is mainly intended for salaries and contributions

Mandatory contextual explanation of the purpose of transactions: _____

Predominantly transactions in Slovenia

Predominantly foreign transactions

Estimated volume of monthly transactions on the account (amount): _____ EUR

Mandatory contextual explanation of the volume of transactions on the transaction account: _____

Estimated monthly number of transactions (total inflows and outflows): _____ EUR

If you also expect inflows and outflows which are **not an integral part of your usual** purpose and scope of operations but are known to you during your filling out of this form (extraordinary/occasional transactions), please list them.Contextual clarification: _____
_____How much of the estimated monthly transaction volume on the transaction account do you assume will represent foreign transactions with entities **abroad** (total inflows and outflows)? Please also list from/to which countries you expect the inflows and outflows.

Estimated monthly foreign transaction volume with entities abroad (amount): _____ EUR

Contextual explanation of operations with entities abroad: _____

Do you conduct business with tax haven countries? NO YES

Contextual explanation of operations with tax havens: _____
_____Estimated monthly volume of **cash deposits** (amount): _____ EURContextual explanation of cash deposits (purpose/reason, origin of assets): _____

B. Savings and investments

Deposit

Funds

Mandatory contextual explanation of the purpose: _____
_____**C. Financing**

Loans

Guarantees

Leasing

Mandatory contextual explanation of the purpose: _____
_____**D. Other:** _____Mandatory contextual explanation of the purpose: _____
_____**TRANSACTIONS WITH OTHER BANKS:**

Name of the bank with which the company is already conducting business: _____

% of transactions with the above mentioned bank: _____ %

BUSINESS PARTNERS – BUYERS FROM/SUPPLIERS OF THE COMPANY:**• Who are your key business partners – suppliers?**

Business entities that present a significant part of your business (more than 5%).

NAME (firm and short firm): _____

Country of registration: _____ Annual turnover (EUR): _____ EUR

Share of annual turnover through our bank: _____ %

Description of business relationship: _____

NAME (firm and short firm): _____

Country of registration: _____ Annual turnover (EUR): _____ EUR

Share of annual turnover through our bank: _____ %

Description of business relationship: _____

NAME (firm and short firm): _____

Country of registration: _____ Annual turnover (EUR): _____ EUR

Share of annual turnover through our bank: _____ %

Description of business relationship: _____

• Who are your key business partners – buyers?

Business entities that present a significant part of your business (more than 5%).

NAME (firm and short firm): _____

Country of registration: _____ Annual turnover (EUR): _____ EUR

Share of annual turnover through our bank: _____ %

Description of business relationship: _____

NAME (firm and short firm): _____

Country of registration: _____ Annual turnover (EUR): _____ EUR

Share of annual turnover through our bank: _____ %

Description of business relationship: _____

NAME (firm and short firm): _____

Country of registration: _____ Annual turnover (EUR): _____ EUR

Share of annual turnover through our bank: _____ %

Description of business relationship: _____

VII. STATEMENT AND SIGNATURES

I, the undersigned, give explicit consent 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 with the competent authority(ies) of the other country (countries) where I have residence for tax purposes in accordance with the international agreement on the exchange of information on financial accounts;
- I am familiar with the General information on the processing of personal data prepared by UniCredit Banka Slovenija d.d. published at <https://www.unicreditbank.si/gdpr>
- I hereby declare that all the information listed in this form is true, correct, and complete and that prior to the conclusion of the business relationship, I shall submit to the Bank a written authorisation of third parties for the submission of their personal information to the Bank, which shall include the confirmation of familiarisation with all the processing purposes for which the Bank requires the information;
- I undertake that I shall immediately inform UniCredit Banka Slovenija, d.d. of any change in circumstances causing a change in tax residence status and submit a new completed form within 90 days.

We confirm by signature that the account holder, the indicated beneficial owners, and controlling persons mentioned 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 signing powers.

Place and date: _____

Place and date: _____

Name and surname of the legal representative:

Name and surname of the legal representative:

Signature of the legal representative and company stamp:

Signature of the legal representative and company stamp:

Note: In the event that the form is signed by a person authorised by a legal representative, an official certified authorisation should be attached.

TO BE COMPLETED BY THE BANK:

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

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