

CLIENT QUESTIONNAIRE¹⁾ – LEGAL PERSON

CLIENT

Business Name:

Registered office/
place of business:

Address of actual place
of business: (if different from the address of the place of business)

Country of registration: CRN:

IBAN: VAT ID/Tax ID:

Scope of business + NACE code: number of employees:

Telephone: email:

Website:

REPRESENTATIVE (the person who will sign this Questionnaire, i.e. the person whose actions are considered to be those of the entrepreneur under the laws of the Slovak Republic²⁾ or an authorised representative)

1. Degree, name and surname: Position:

Permanent residence: Gender (M/F):

Birth No.: Country of Birth:
(date of birth if no birth number has been assigned).

Identity document:
(type, number, country of issue)

2. Degree, name and surname: Position:

Permanent residence: Gender (M/F):

Birth No.: Country of Birth:
(date of birth if no birth number has been assigned).

Identity document:
(type, number, country of issue)

A. EXECUTIVE BODY – of legal person

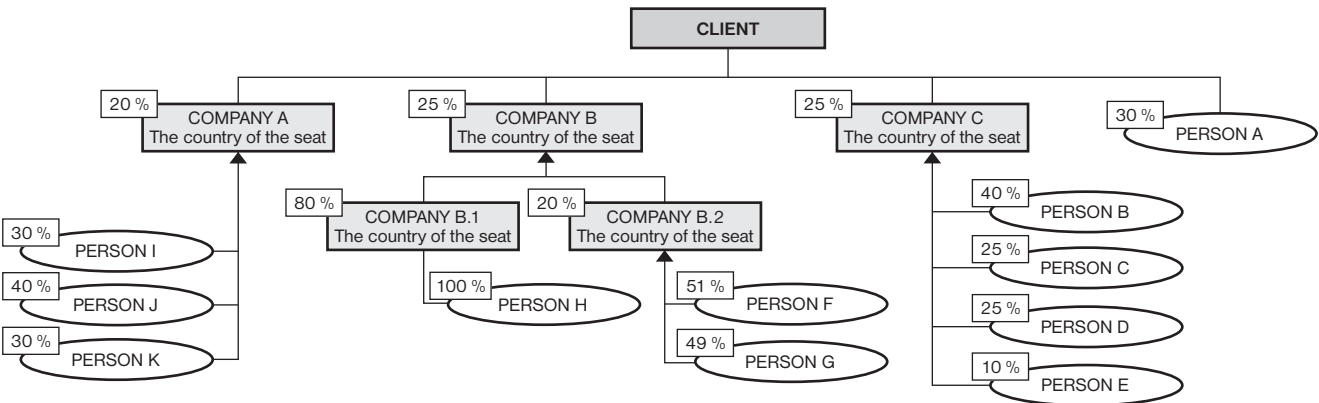
Provide information on all members of the executive body of the company, if not already provided in points 1 and 2 above. Always inform Tatra-Leasing, s.r.o., CRN: 31326552 (hereinafter the “**Tatra-Leasing**”) of any changes in the company's executive representatives.

degree, name and surname	birth No./ date of birth	permanent residence	gender M/F	country	identity document			title
					type	number	country	

B. OWNERSHIP STRUCTURE

Under the provisions of Section 10, par. 1 (b) 4) and Section 10a par. 1 and 35) of Act No. 297/2008 Coll. on protection against money laundering and protection against terrorist financing, as amended, we ask you to kindly provide an overview of the ownership structure down **to the level of natural persons** in accordance with the example below. The overview of the ownership structure may be submitted as an attachment to this Questionnaire signed by a representative.

Example of an organisational chart of the ownership structure



Client's ownership structure (only provide if you are a legal entity and if the ownership structure cannot be clearly determined from the extract from the Commercial Register)

Provide information on all entities in the ownership structure. If they have already been listed above, provide only the first name, surname and birth number or date of birth. Always inform Tatra-Leasing of any changes in the ownership structure.

name and surname	birth No./date of birth	permanent residence	gender M/F	country	note

C. ULTIMATE BENEFICIAL OWNER (UBO)³⁾

Mark (circle) the ultimate beneficial owner: ☐ owner of partner ☐ person acting on behalf of the partner²⁾ ☐ other natural person

Provide the complete identification details of all UBOs. If the UBO is identical to the person whose actions are those of an entrepreneur²⁾ or an entity in the ownership structure listed above, only the information marked in bold needs to be filled in. Always inform Tatra-Leasing of any changes in the UBO. In the case of acting under a power of attorney, state the relationship to the person who granted the power of attorney (family relationship, business partner, service provided to the principal in return, other – specify). Please also submit the relevant documents as an attachment to this Questionnaire.

1. Degree, name and surname:	Gender (M/F):
Permanent residence:	
Birth No.:	Country of Birth:
(date of birth if no birth number has been assigned)	
Nationality:	Country of tax residence:
Date of establishment of relationship with client:	Share in %:
2. Degree, name and surname:	
Permanent residence:	
Birth No.:	Country of Birth:
(date of birth if no birth number has been assigned)	
Nationality:	Country of tax residence:
Date of establishment of relationship with client:	Share in %:
3. Degree, name and surname:	
Permanent residence:	
Birth No.:	Country of Birth:
(date of birth if no birth number has been assigned)	
Nationality:	Country of tax residence:
Date of establishment of relationship with client:	Share in %:
4. Degree, name and surname:	
Permanent residence:	
Birth No.:	Country of Birth:
(date of birth if no birth number has been assigned)	
Nationality:	Country of tax residence:
Date of establishment of relationship with client:	Share in %:

¹⁾ Data must be provided in line with Act No. 297/2008 on protection against money laundering and protection against terrorist financing

Section 10, par. 5 of Act No. 297/2008 Coll.

(5) Client must provide the obliged person (Tatra-Leasing) with such information and documents as are necessary to exercise diligence in relation to the client, or the identification and verification of the identification under par. 3.

Section 15 of Act No. 297/2008 Coll. – Refusal to enter into a business relationship, termination of a business relationship or refusal to execute a transaction

The obliged person (Tatra-Leasing) must refuse conclusion of the business relationship, terminate the business relationship or refuse execution of a particular business transaction.

a) the obliged person is unable to perform customer due diligence in the extent laid down in Article 10(1)(a) to (e); or

b) the client refuses to prove on whose behalf he/she acts.

²⁾ Section 13 of Act No. 513/1991 the Commercial Code – Conduct of Entrepreneur

(1) If an entrepreneur is a natural person, he/she acts in person or through a representative. A legal person acts through its executive body or through a representative.

(2) The provisions of this Act on individual business companies and cooperatives determine the executive body whose actions constitute the actions of the entrepreneur.

³⁾ Section 6a of Act No. 297/2008 Coll. – Ultimate beneficial owner

(1) The ultimate beneficial owner means any natural person who effectively controls or manages a legal person, a natural person-entrepreneur or a property association, and any natural person for whose benefit those entities carry on their business or trade; ultimate beneficial owners include, in particular

a) if concerning a legal entity that is not a property association or an issuer of securities admitted to trading on a regulated market subject to disclosure requirements under a special regulation,³⁷⁾ equivalent legislation of a Member State of the European Union or another state that is a party to the Agreement on the European Economic Area (hereinafter the "Member State") or equivalent international standards, a natural person who

1. has a direct or indirect shareholding or their sum of at least 25% in the voting rights in the legal person or in its registered capital, including bearer shares, or

2. has the right to appoint, otherwise designate or remove an executive body, management body, supervisory body or governing body in the legal person or any of its members, or

3. controls a legal person in a different way as set out in points 1 and 2 above, or

4. is entitled to an economic benefit of at least 25% from the legal person's business or other its activities,

b) if concerning a natural person who is an entrepreneur, a natural person who has the right to an economic benefit of at least 25% of the natural person's business or other activity,

c) if concerning a property association, a natural person who

1. is the founder or promoter of the property association; if the founder or promoter is a legal person as well as the natural person referred to in par. (a), or

2. has the right to appoint, otherwise appoint or remove a executive body, management body, supervisory body or controlling body of the property association or a member thereof, or is a member of a body which has the right to appoint, otherwise appoint or remove those bodies or a member thereof,

3. is an executive body, a management body, a supervisory body, a control body or a member of those bodies,

4. is a beneficiary of at least 25% of the funds provided by the property association, where future beneficiaries of those funds have been identified; where no future beneficiaries of the assets of the property association have been identified, the ultimate beneficial owners are deemed to be the circle of persons who derive significant benefit from the establishment or operation of the property association.

(2) If no natural person fulfils the criteria referred to in par. 1(a), the ultimate beneficial owners of that person are deemed to be members of its top management; the executive body or members of the executive body shall be deemed to be a member of the top management.

(3) A natural person who does not meet the criteria under par. 1(a), (b) or (c) of points 2 and 4, but who, together with another person acting in concert or in a common course of conduct with him/her, meets at least some of those criteria, is also deemed to be an ultimate beneficial owner.

⁴⁾ Section 10, par. 1(B) of Act No. 297/2008 Coll. – **Basic diligence**

(1) Basic diligence of the obliged person with regard to the Client includes

b) identification of the ultimate beneficial owner and taking appropriate measures to verify information relating to the identification of the ultimate beneficial owner, including measures to ascertain the ownership structure and management structure of the client which is a legal person or a property association; the obliged person shall not rely solely on data obtained from the register of legal persons, businesses and public authorities (hereinafter the "Register of Legal Persons") for identification of the ultimate beneficial owner where, on the basis of a risk assessment under Section 20a, there is a risk of money laundering or terrorist financing,

⁵⁾ Section 10a par. 1 and 3 of Act No. 297/2008 Coll. – **Retention of data on the ultimate beneficial owner**

(1) A legal entity that is not a public administration entity and a special-purpose association of assets without legal personality shall be obliged to identify its beneficial owner and keep and continuously update, in paper or electronic form, identification data on the ultimate beneficial owner to the extent specified in Section 7, par.(3), data establishing the status of the beneficial owner pursuant to Section 6a, par.(1) and the data proving the status of the ultimate beneficial owner, unless such data is included in the verification document in the register of public sector partners.

(3) If the Register of Legal Persons does not contain data on the ultimate beneficial owner pursuant to par. 1, at the request of the obliged person, the financial reporting unit, the National Bank of Slovakia, a court, a law enforcement authority or a state administration authority in the field of taxes, fees and customs, a legal person which is not a public administration entity and a special purpose property association without legal personality are obliged to report the required data under par. 1 within a specified time limit. In case of doubts about the truthfulness or completeness of the data entered in the Register of Legal Persons or the data provided in accordance with the procedure under the first sentence, at the request of the obliged person, the financial reporting unit, the National Bank of Slovakia, a court, a law enforcement authority or a state administration authority in the field of taxes, fees and customs, a legal person which is not a public administration entity and a special purpose property association without legal personality are obliged to remove the doubts within the time limit specified in the request. If a legal person which is not a public administration entity and a special purpose property association without legal personality do not remove doubts about the truthfulness or completeness of the data entered in the Register of Legal Persons, or the data provided pursuant to the first sentence, the obliged person, the financial reporting unit, the National Bank of Slovakia, a court, a law enforcement authority or a state administration authority in the field of taxes, fees and customs shall notify the identified irregularities to the public authority which maintains the register from which the data are provided to the Register of Legal Persons.

D. INFORMATION ON PROCESSING PERSONAL DATA

The controller is **Tatra-Leasing, s.r.o.**, with its registered office at Hodžovo nám. 3, 811 06 Bratislava, CRN: 31326552. The contact details of the Data Protection Officer: info@tatraleasing.sk or in writing to the address of Tatra-Leasing.

Tatra-Leasing processes personal data for the following purposes:

1) Provision of financial services and related services, identification of data subjects.

In this case, your personal data is processed to the extent necessary to fulfil Tatra-Leasing's legal obligations, with the legal basis for processing being primarily the following legal regulations: Act on the Prevention of Money Laundering and Terrorist Financing, Income Tax Act, Act on Consumer Credit and Other Consumer Loans, Act on Financial Intermediation, Insurance Act, Accounting Act. Tatra-Leasing may process your personal data in cases where the scope of personal data specified in the above-mentioned legal regulations is insufficient to achieve the defined purpose of processing, also on the basis of the legal grounds specified in Article 6(1)(a), (b), (f) of GDPR or Article 9(2)(a), (f) of GDPR.

2) Tatra-Leasing is **obliged to act with professional care** in the course of its activities and, in this context, has a legitimate interest in preventing criminal activities or other unlawful conduct that may cause damage or jeopardise its reputation or cause any other harm, or before any action that may adversely affect the company's activities or endanger its employees or other persons concerned, and for this purpose it is entitled to keep a list of persons posing a potential risk, whereby such processing may result in the termination of the business relationship or the refusal to perform a transaction.

3) For the purpose of contacting you with offers of services – **marketing**; providing information about products, innovations and services, providing benefits, Tatra-Leasing processes your personal data on the legal basis of your prior voluntary consent. The company may communicate with you for the above purpose via an automatic telephone calling system, telephone, email, SMS or other means of remote communication. In order to tailor its product and service offerings directly to you, the company evaluates the information it processes about you so that it can provide you with targeted offers and thus limit the sending of irrelevant marketing offers.

In the case of personal data processing on a legal basis established by law, such as for the purpose of providing financial services and related services (identification of data subjects), the provision of the relevant data by you is a legal requirement and without such provision, the services cannot be provided. Failure to provide the relevant data will therefore result in the transaction not being carried out. In the case of personal data processing based on the client's consent, the provision of data by the client is voluntary.

Tatra-Leasing does not provide your personal data to other entities except in cases where you have given your consent to such provision, written instruction or where there is another legal basis for the provision of your personal data to another entity, for example in the case of the fulfilment of a legal obligation of Tatra-Leasing as a controller.

We would also like to inform you that the company and persons from the Raiffeisen Group have a legitimate interest in sharing personal data, which may also involve cross-border data transfers, for the following purposes: (i) prevention of money laundering and terrorist financing, (ii) fulfilment of obligations related to the performance of the company's activities at the Raiffeisen Group level, (iii) in connection with the assessment of the creditworthiness and trustworthiness of clients.

In certain cases, Tatra-Leasing may **also process your personal data through processors**. Processor is an entity entrusted by the company with the processing of personal data in accordance with Article 28 of the GDPR. Your data in a form that allows your identification will be stored by the company for no longer than is necessary to achieve the purpose for which the personal data is processed.

In connection with the processing of personal data, you have the right to lodge a complaint with the Office for Personal Data Protection of the Slovak Republic, Hraničná 12, 820 07 Bratislava, Slovak Republic. You have the right to rectification of incorrect personal data concerning you or to supplement incomplete personal data. If your personal data is processed on the basis of consent under Article 6(1) of the GDPR or under Article 9(2) of the GDPR, you have the right to withdraw this consent at any time. However, withdrawal of consent does not affect lawfulness of processing the personal data resulting from consent before withdrawal. As a data subject, you have the right to object to the processing of your personal data if the processing is based on the legitimate interests of the company, including objections to profiling based on legitimate interests. You can also request a copy of your personal data that we process. Under certain circumstances, you can request the restriction of processing, the transfer of your personal data, and you also have the right to have your personal data erased.

For more information on the processing of personal data, please refer to the document entitled 'Personal Data Protection Information Memorandum' posted on the notice board at our branch and on our website www.tatraleasing.sk in the Legal Information section.

E. INFORMATION ON THE PROVISION OF PERSONAL DATA OF THIRD PARTIES

In cases where **you provide Tatra-Leasing with personal data of third parties (e.g. guarantor, pledgor, subtenant, etc.)**, you undertake to inform these persons that you have provided their data to the controller, which is Tatra-Leasing, s.r.o., as well as to inform them of other facts in accordance with Article 14 of Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, which is also available on the website www.tatraleasing.sk

F. INFORMATION ON THE PROCESSING, PROVISION AND DISCLOSURE OF DATA IN REGISTERS

Non Banking Credit Bureau, interest association of legal persons, CRN: 42 053 404, with its registered office at Mlynské Nivy 14, 821 09 Bratislava (hereinafter the '**NBCB**') is the operator of the **Non-Banking Register of Client Information** (hereinafter the '**NRKI**'), in which data of natural and legal persons who have applied for the conclusion of a contractual relationship, as well as those who have concluded a contractual relationship with non-bank credit institutions and other entities listed on the NBCB website www.nbc.sk (hereinafter the '**Third Parties**'), to the extent of the data specified in the application and/or in the contract.

Common Register of Banking Information (hereinafter the '**SRBI**') is a register created in accordance with the provisions of Section 92a(1) of Act No. 483/2001 Coll. on Banks (hereinafter the '**Banking Act**') as a common banking register. SRBI is operated by Slovak Banking Credit Bureau, s.r.o., CRN: 35 869 810, with its registered office at Mlynské Nivy 14, 821 09 Bratislava (hereinafter the '**SBCB**'), established as a joint venture for auxiliary banking services in accordance with the provisions of Section 92a(2) of the Banking Act.

The data processed in the NRKI are provided:

- To third parties, whose list is published and regularly updated on the NBCB website www.nbc.sk a
- Through the SBCB to banks and branches of foreign banks listed on the SBCB website www.sbc.sk (hereinafter collectively the "SRBI Users").

The purpose of data processing in the NRKI and the purpose of providing data to SRBI Users is to enable Third Parties and authorised SRBI Users to exchange information on the creditworthiness, trustworthiness and payment discipline of their clients, to protect the legitimate economic interests of creditors and to prevent credit fraud.

The period of data processing and storage in the NRKI and the period of data processing and storage when provided to authorised SRBI Users by the NBCB through the SBCB is 5 years from the registration of the request and, in the case of the conclusion of a contract, for the duration of the contract and 5 years from the expiry of the obligations arising from the contract.

Data processed in the NRKI are not disclosed or provided to third countries.

The data are further provided and processed by CRIF – Slovak Credit Bureau, s.r.o., with its registered office at Mlynské nivy 14, 821 09 Bratislava, Slovak Republic, and CRIF S.p.A., with its registered office at Via M.Fantin 1-3, 40131 Bologna, the Italian Republic, as intermediaries for the above-mentioned purposes.

Further information regarding the NRKI and the services it provides, including the provision of data to SRBI Users by NBCB through SBCB, can be obtained from the NRKI Client Centre, located at: Mlynské Nivy 14, 821 09 Bratislava, tel.: +421 2 59207518, e-mail: nbc@nbc.sk

Further information regarding the provision of client data to third parties by SBCB through NBCB can be obtained from the SRBI Client Centre, located at: Mlynské Nivy 14, 821 09 Bratislava, tel.: +421 2 59207515, e-mail: sbc@sb.sk

The client acknowledges that for the purpose of mutual information exchange between credit institutions and in the interest of protecting economic interests and preventing credit fraud, **Tatra-Leasing provides data on a legal person for each individual transaction to the extent specified in the application for the conclusion of a contractual relationship or in the communication on the provision of financing, and in the event of the conclusion of a contract based on the aforementioned application, this is data to the extent specified in the contract and on the fulfilment of obligations arising from these relationships, security, creditworthiness, payment discipline, repayment ability and credibility to the NBCB interest group** as the NRKI operator, which provides and makes available the above data (i) to third parties published on www.nbc.sk and (ii) SBCB, which provides and makes available the above data to authorised SRBI users published on www.sbc.sk

CONTACT DETAILS

Please provide additional contact details as necessary.

1. Postal address:

Mobile phone number for SMS notifications:

2. Degree, name and surname: Position:

Telephone: email:

3. Degree, name and surname: Position:

Telephone: email:

In on

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signature of the Client
(representative listed on page 1 of this Questionnaire)