

## QUESTIONNAIRE FOR LEGAL ENTITIES

<input type="checkbox"/> Initial Information Entry	<input type="checkbox"/> Change of Information	<input type="checkbox"/> Information Update
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### Section 1 – BASIC INFORMATION ABOUT THE COMPANY

1. Full registered legal name

2. Date and Place of Incorporation

3. Registration body

4. Legal form

5. Tax Identification Number (TIN)

6. Country of Tax Residence

7. Registration Number

8. Registered Address

9. Address of HQ or Head Office

10. LEI code (if applicable)

11. License number, date of issue of the license, licensing body and country (if applicable)

12. Center of vital interests (country)

## Section 2 – COMPANY’S CONTACT INFORMATION

1. Telephone Number

2. Additional telephone number

3. General e-mail address

4. Fax number (if applicable)

5. Website (if applicable)

### Section 3 – BUSINESS RELATED INFORMATION

1. Activity description (please include information about the products and services company provide)

2. Amount of Authorized Capital (\$)

3. Are your shares listed?

- Yes
- No
- Not applicable

If yes, please note on which stock exchange

4. Number of Employees

5. Number of Branches (if applicable)

6. Does the company have subsidiaries and dependent organizations?  
If yes, please indicate the names and locations of these organizations

7. Name of local regulatory body regulating your activity (if applicable)

8. Local/International Ratings (if applicable)

9. In your business, do you deal with any individual or entity from the following countries:

- Republic of Burundi
- Turkmenistan
- Islamic Republic of Iran
- State of Libya
- Union of the Comoros
- Democratic Republic of the Congo
- Democratic People's Republic of Korea (North Korea)

- Republic of Cuba
- Republic of Haiti
- Republic of Equatorial Guinea
- Republic of South Sudan
- Republic of the Union of Myanmar
- Republic of Yemen
- Republic of Nicaragua
- Republic of Chad
- Syrian Arab Republic
- Federal Republic of Somalia
- Bolivarian Republic of Venezuela

Yes

No

## Section 4 – OWNERSHIP STRUCTURE

1. Number of shareholders in the company

Please complete information below about shareholders who directly/indirectly own 20 or more percent of the voting shares or directly/indirectly own 20 or more percent in the legal entity's statutory capital.

1. First, last name / Legal name

Nationality / country of incorporation

Passport / ID Number

Ownership percentage (%)

Nature of ownership (direct, indirect)

Center of vital interests (country)

2. First, last name / Legal name

Nationality / country of incorporation

Passport/ID Number

Ownership percentage (%)

Nature of ownership (direct, indirect)

Center of vital interests (country)

3. First, last name / Legal name

Nationality / country of incorporation

Passport / ID Number

Ownership percentage (%)

Nature of ownership (direct, indirect)

Center of vital interests (country)

4. First, last name / Legal name

Nationality / country of incorporation

Passport/ID Number

Ownership percentage (%)

Nature of ownership (direct, indirect)

Center of vital interests (country)

5. First, last name / Legal name

Nationality / country of incorporation

Passport/ID Number



Ownership percentage (%)

Nature of ownership (direct, indirect)

Center of vital interests (country)

## Section 5 – Politically exposed person (PEP)

1. Do you have any PEP<sup>1</sup> in your ownership or management structure?

- Yes
- No

If yes, please provide a full list, specifying the information about each PEP.

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<sup>1</sup> Politically exposed person (PEP) is a person who has performed or performs significant functions in a state, political or public, as well as international organization (including a member of his family or a person closely related to him), in particular:

- heads of state, heads of government, ministers and deputy ministers,
- members of parliament
- judges and members of the Supreme Court, the Constitutional Court or other high courts, whose decisions are not subject to appeal, except in cases of appeal due to special circumstances,
- the chairman of the central bank, his deputies and members of the board,
- ambassadors, chargé d'affaires and senior officers of the armed forces prominent figures of the political party,
- political party officials,
- members of the administrative, management or control bodies of the state-owned organization
- heads of local government bodies,
- heads of an international organization, deputy heads, members of the council or members of bodies performing other similar managerial or supervisory functions.



1. First, last name

Nationality

Passport/ID Number

Ownership percentage (%)

Nature of ownership (direct, indirect)

2. First, last name

Nationality

Passport/ID Number

Ownership percentage (%)

Nature of ownership (direct, indirect)

3. First, last name

Nationality

Passport/ID Number

Ownership percentage (%)

Nature of ownership (direct, indirect)

## Section 6 – MANAGEMENT STRUCTURE

Management comprises principal officers (directors, president, etc.) or management company<sup>2</sup> of the legal entity.

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<sup>2</sup> In case of management companies please fill in information regarding both the management company and authorized person(s).



## Principal Officers / management company

1. First, last name / Legal name

Position in the company

Nationality / Country of incorporation

Passport (ID Number) / Date and Place of Incorporation

2. First, last name / Legal name

Position in the company

Nationality / Country of incorporation

Passport (ID Number) / Date and Place of Incorporation

3. First, last name / Legal name

Position in the company

Nationality / Country of incorporation

Passport (ID Number) / Date and Place of Incorporation

## Section 7 – INFORMATION ON FATCA STATUS AND GIIN (if applicable)

FATCA status	GIIN

## Section 8 – INFORMATION ON AML/CFT POLICIES

1. Are there laws or other legal acts aimed at AML / CFT in the country of company's incorporation?

Yes

No

2. Is money laundering and terrorist financing considered as a crime in accordance with legislation of company's incorporation?
- Yes
  - No
3. Have the company developed internal legal acts for AML/CFT prevention (rules, regulations, guidelines, etc.)?
- Yes
  - No

If you answered YES, please proceed to questions 4 – 11

4. Does the AML compliance program require approval of the company's board of directors or senior committee?
- Yes
  - No
5. Have the company a legal and regulatory compliance program that includes a designated Compliance officer that is responsible for the day-to-day coordination and oversight of the AML program, approved by the company's senior management?
- Yes
  - No



6. Have the company developed written policies documenting its for processes for preventing, detecting and reporting suspicious transactions, approved by senior management? If yes, please attach copies of these policies.
- Yes
  - No
7. Have the company a policy prohibiting accounts/relationships with shell banks<sup>3</sup>?
- Yes
  - No
8. Does the company carry AML / CFT risk assessment based on a risk-based approach (customer risk, product, service risk, geographical risk)?
- Yes
  - No
9. Are the company's policies regarding relations with politically exposed persons consistent with industry best practices?
- Yes
  - No
10. Does the company have appropriate records retention procedures in accordance with applicable law?
- Yes
  - No

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<sup>3</sup> A shell bank is defined as a bank incorporated in a jurisdiction in which it has no physical presence and which is unaffiliated with a regulated financial group.

11. Does the company require that its AML policies and practices apply to all company's branches and subsidiaries, both within and outside its home country?
- Yes
  - No
  - Not applicable
12. Does the company's documented policies and procedures prohibit the opening and keeping of anonymous and fictitious accounts?
- Yes
  - No
  - Not applicable

## Section 9 – KYC & CUSTOMER/CLIENT DUE DILIGENCE

1. Does the company have procedures ensuring that it will only do business with financial institutions that possess licenses to operate in their countries of origin?
- Yes
  - No
2. Does the company conduct non-face-to-face business relationship and transactions?
- Yes
  - No



3. Does the company have policies covering relationships with Politically Exposed Persons (PEPs), their family and close associates?
  - Yes
  - No
  
4. Does the company carry out an analysis of the business relationship, checking the adequacy of the volume, nature, and level of risk of the transactions made under that relationship?
  - Yes
  - No
  
5. Does the company have procedures requiring due diligence on each new customer/client?
  - Yes
  - No
  
6. Does the company have procedures that require the collection and verification of identifying information of each new customer/client (both individuals and businesses)?
  - Yes
  - No
  
7. Does the company have procedures that require a regular review and update of the due diligence information of each customer/client that was conducted at the outset of the customer/client relationship?
  - Yes

No

8. Do the company's regulations/directives require the recognition of the true identity of customers/clients and the origin of their funds?

Yes

No

9. Do the company's AML/CFT policies and procedures cover the identification and verification of all UBOs at the time of counterparty relations establishment?

Yes

No

Not applicable

10. Does the counterparty provide services to offshore registered customers/clients?

Yes

No

Not applicable

## Section 10 – OTHER INFORMATION

1. Does the company screen its customers/clients, including beneficial ownership information collected by the FI, during onboarding and regularly thereafter against Sanctions Lists?

Yes

No

If yes, please complete the table below

Sanctions Lists	Screening type	If automated, please indicate the screening program

2. Does the company have policies or practices for the identification and reporting of transactions that are required to be reported to the authorities?

Yes  
 No
3. Does the company have procedures for identifying transactions structured to avoid large cash reporting requirements?

Yes  
 No
4. Does the company have a designated officer that is responsible for coordinating and overseeing the AML framework?

Yes  
 No

If yes, please complete information concerning designated officer

First, last name

Position

Telephone number/email

E-mail address

5. Does the responsible officer have international qualification?

- Yes
- No

If yes, please indicate:

6. Does the company have a designated officer that is responsible for preventing, detecting and reporting fraud?

- Yes
- No

7. Are the company's documented policies and procedures consistent with applicable ABC regulations and requirements to prevent, detect and report bribery and corruption?
- Yes
- No

## Section 11 – AUTHORISED PERSONNEL FOR MANAGING CUSTODY ACCOUNT

1. Name

Position

Ground for exercising the authority (charter, power of attorney, etc.)

E-mail address

Telephone number

2. Name

Position



Ground for exercising the authority (charter, power of attorney, etc.)

E-mail address

Telephone number

3. Name

Position

Ground for exercising the authority (charter, power of attorney, etc.)

E-mail address

Telephone number

4. Name

Position

Ground for exercising the authority (charter, power of attorney, etc.)

E-mail address

Telephone number

## Section 12 – ACKNOWLEDGEMENTS AND DECLARATIONS

I hereby declare that the particulars given hereinabove are true, correct and complete to the best of my knowledge and belief, the documents submitted along with this application are genuine and I am not making this application for the purpose of contravention of any Acts, Rules, Regulations or statute or legislation or any Notifications, Directions issued by any governmental or statutory authority from time to time.

I hereby undertake to promptly inform "Dimension" CJSC of any changes to the information provided hereinabove and agree/accept "Dimension" CJSC that is not liable or responsible for any losses, costs, damages arising out of any actions undertaken or activities performed on the basis of the information provided by me as also due to my not intimating / delay in intimating such changes.

I hereby confirm that funds to be used for the replenishment of custody account and performing custody transactions have a legal origin.

I understand that it may be necessary for "Dimension" CJSC to request further documentation and information in order to complete the onboarding process of the company.

1. Name of the legal entity

2. Authorized signatory's full name



DIMENSION  
INVESTMENTS

3. Position

4. Signature and date