

KYC - Legal entities

1/4

Corporate details

1. Name _____
- 1.1. Registration number _____
- 1.2. Country of origin _____
- 1.3. Types of company (nominal, bearer etc) _____
- 1.4. Postal address _____
- 1.5. Telephone number _____
- 1.6. Fax number _____
- 1.7. Email address _____
- 1.8. Website address _____
- 1.9. Principal activities _____
- 1.10. Possession of authorisation/operation license _____
- 1.11. Competent or supervisory authority _____
- 1.12. Total percentage of holdings in the share capital of the majority owner _____



State the following information regarding the persons that effectively direct the business of the legal person:

2. Full name _____
- 2.1 Identity / passport number (country of issue) _____
- 2.2 Nationality / Citizenship _____
- 2.3 Position within the legal entity _____
- 2.4 Other professional capacity _____
- 2.5 Postal address _____
- 2.6 Phone number _____
- 2.7 Fax number / Fax. broj _____
- 2.8 Email address / Adresa elektronske pošte _____

Suitability of the legal person

Answer the questions below (in case of affirmative response, provide details):

3. Did you have in the last decade authorization to operate as a credit institution or as an UCITS management company or as an Investment Firm in EU jurisdiction?

Dates (From-until: month/year)	Name of supervisory authority and country of establishment	Type of authorization (e.g. credit institution, Investment Firm etc.)
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____



3.1. Are you compliant with EU AML directives (anti-money laundering)? _____

3.2. What is your current AUM volume ? _____

3.3. Have your financial and accounting books been audited, or there is no audit requirement?

3.4. Has any administrative or other sanction been imposed upon you by a competent or supervisory authority in the EU member country in the last 5 years?

3.5. Has there ever been a conviction against you or are there any charges pending against you in the EU member country:

3.5.1. For offences or violations that involve deceit or fraud or bribery or penalty or forgery or tax evasion?

3.5.2. For offences or violations concerning money laundering activities and terrorism financing?

3.6. Has an application to dissolve, compulsory liquidate, classify as insolvent or confiscate your assets or place in mandatory receivership been filed against you in the last decade?

3.7. Have you faced any of the following situations in the last five years:

3.7.1 Failure to repay a due debt? _____

3.7.2. Protest of bills of exchange or notes issued by you? _____

Is there anything relevant you would like to declare and which could positively or negatively affect the assessment on your repute and credibility? _____



Is there anything relevant you would like to declare and which could positively or negatively affect the assessment on your repute and credibility?

I responsibly declare, having full knowledge of the consequences of the Law, that:
I have applied all required diligence to ensure that all information contained in this Questionnaire is correct, complete and accurate.

Signature and stamp (if used)

Full name

Date and place