****

**BELGAZPROMBANK**

**QUESTIONNAIRE FOR FINANCIAL INSTITUTIONS**

*1. General information about the financial institution:*

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| --- | --- |
| 1.1. Full name (in one of the state languages): |  |
| 1.2. Abbreviated name (in one of the state languages): |  |
| 1.3. Full and abbreviated name (in foreign language according to the constitutive documents): |  |
| 1.4. Legal form: |  |
| 1.5. Registration number, date and place (country and city) of registration, name of registration authority: |  |
| 1.6. Bank Identification Code (other similar unique identification indication): |  |
| 1.7. Taxpayer identification number (other similar unique identification indication) (if any): |  |
| 1.8. Number, date and expiration date of banking license, name of licensing authority: |  |
| 1.9. Location (legal address): |  |
| 1.10. [Physical location](http://lingvo.yandex.ru/physical%20location/с%20английского/LingvoEconomics/) (if different from the legal address): |  |
| 1.11. Phone number/fax number: |  |
| 1.12. E-mail: |  |
| 1.13. Web-site (if any): |  |
| 1.14. Telex: |  |
| 1.15. SWIFT: |  |
| 1.16. Reuters: |  |
| 1.17. Bloomberg (if any): |  |
| 1.18 LEI code |  |
| 1.19. Rating assigned by international rating agencies: |  |
| 1.20. Name of external auditor (auditor – individual entrepreneur) carrying out the external audit of financial and economic activity of the financial institution, date of the recent audit report, the possibility of submitting the recent audit report: |  |
| 1.21. Name and location of a supervision authority of the financial institution country of residence, frequency of supervision activities: |  |
| 1.22. The history of financial institution (with indication of reorganization/ acquisition/ merger/ change of name), business reputation, specialization according to banking products, information about the market sector and competition, changes in business profile: |  |
| 1.23. Information about the presence and number of separate affiliates of financial institution: |  |
| 1.24. If the financial institution is a member of a bank group (bank holding) please provide the information about the name of such a bank group (bank holding): |  |
| 1.25. Purpose of establishing and nature of relationship with Belgazprombank: |  |
| 1.26. Business activities of the financial institution: |  |
| 1.27. Assets of the financial institution on the date of this questionnaire (in currency of the country of residence and in USD equivalent): |  |
| 1.28. Number of employees on the date of this questionnaire: |  |
| 1.29. FATCA[[1]](#footnote-1):  GIIN (Global Intermediary Identification Number):  FATCA Status:  If there is no GIIN and/or FATCA status please indicate the reason:  Submit a detailed Self-Certification FATCA Form for Financial Institution provided by Belgazprombank (to be provided on request) or IRS W-8BEN-E / W-9 form |  |

2. Information about authorized officials and managing authorities of financial institution:

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| --- | --- |
| 2.1. Information about an individual serving as a sole executive authority or heading the collective executive body (CEO): | Surname, name, patronymic (if any):  Citizenship:  Date and place of birth:  Residence (registration) address:  Identification document details (name, serial number, date of issuance and the issuing authority, expiration date, identification number (if available)):[[2]](#footnote-2) |
| 2.2. Information about the Chief Accountant: | Surname, name, patronymic (if any):  Citizenship:  Date and place of birth:  Residence (registration) address:  Identification document details (name, serial number, date of issuance and the issuing authority, expiration date, identification number (if available))2: |
| 2.3. Surname, name, patronymic (if any) of other authorized officials who are entitled to act on behalf of the financial institution: | Surname, name, patronymic (if any):  Citizenship:  Date and place of birth:  Residence (registration) address:  Identification document details (name, serial number, date of issuance and the issuing authority, expiration date, identification number (if available))2: |
| 2.4. Information about managing authorities: | |
| Name: |  |
| Location: |  |
| Structure of managing authorities: |  |
| Composition: | |
| Surname, name, patronymic (if any) of individuals, who are the members of managing and executive authorities | Position of individuals who are the members of managing or executive authority |
|  |  |

*3. Information about shareholders and beneficial owners of financial institution:*

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 3.1. Information about the financial institution’s shareholders (participants) holding more than 10% of the voting shares (shares/stakes in share capital) of your financial institution: | | | | | | | | | | | | | | | | | |
| 3.1.1. Information about shareholders (participants) – individuals/ individual entrepreneurs: | | | | | | | | | | | | | | | | | |
| Surname, Name, patronymic (if any) | Citizenship | | | Date and place of birth | | Residence (registration) address | | | Identification document details (name, serial number, date of issuance and the issuing authority, expiration date, identification number (if available)) | | | | | Taxpayer identification number (for individual entrepreneurs) | | Share in capital, % | |
|  |  | | |  | |  | | |  | | | | |  | |  | |
| 3.1.2. Information about shareholders (participants) – legal entities/financial institutions: | | | | | | | | | | | | | | | | | |
| Full name | | | Registration number, date of registration, name of registration authority | | | | Location (legal address) | | | | Taxpayer identification number (for residents of the Republic of Belarus) and (or) other identification number (for non-residents of the Republic of Belarus) | | | | | | Share in capital, % |
|  | | |  | | | |  | | | |  | | | | | |  |
| 3.1.3. Information about the financial institution’s shareholders (participants) each of which holds less than 10% of shares (stakes) in your financial institution’s share capital provided that the joint (common) ownership of such shareholders in the financial institution’s share capital constitute more than 10% of shares (stakes). Please indicate the number of participants and their total share (in percentage) in the financial institution’s share capital: | | | | | | | | | | | | | | | | | |
| Number of participants (approximate number is acceptable) | | | | | | | | | | Total share of participants in share capital, % (rounded to the nearest tenth) | | | | | | | |
|  | | | | | | | | | |  | | | | | | | |
| 3.2. Information about beneficial owners[[3]](#footnote-3) (if impossible to determine a beneficial owner – the information about the CEO of financial institution (an individual serving as a sole executive authority or heading the collective executive body): | | | | | | | | | | | | | | | | | |
| Surname, Name, patronymic (if any) | | | Citizenship, date and place of birth | | | | Residence (registration) address | | | | | Identification document details (name, serial number, date of issuance and the issuing authority, expiration date, identification number (if available)) | | | Share in capital, % (possessing the shares in capital) | | |
|  | | |  | | | |  | | | | |  | | |  | | |
| 3.3. Information whether the financial institution’s shareholders and beneficial owners are shareholders (participants) of any other legal entities/financial institutions | | | | | | | | | | | | | | | | | |
| Full name (surname, name, patronymic (if any) or the legal name of shareholder, beneficial owner of the financial institution) | | Status (shareholder, owner, beneficial owner) in any other legal entity/financial institution | | | Name of legal entity/financial institution | | | Location (legal address) | | Taxpayer identification number (for residents of the Republic of Belarus) and (or) other identification number (for non-residents of the Republic of Belarus) | | | Surname, name, patronymic (if any) of CEO, Chief Accountant and (or) other authorized officials who are entitled to act on behalf of the legal entity/financial institution | | | | |
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4. Measures on anti-money laundering, counter terrorist financing and prevention of proliferation of weapons of mass destruction financing (AML/CTF):

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| --- | --- | --- |
| 4.1.[[4]](#footnote-4) Information about measures taken to prevent money laundering, terrorist financing and financing of spread of weapons of mass destruction.  *If the answer is «no» to any question, additional information can be inserted in the field «Space for additional information»:* | | |
| 4.1.1. **Basic measures on AML/CTF (general policies, practices and procedures):** | Yes | No |
| 4.1.1.1. Is AML/CTF program adopted by the Management Board or any other authority of the financial institution? |  |  |
| 4.1.1.2. Does the financial institution have AML/CTF program corresponding to the legislation and legal acts which includes the appointment of an authorized official (officer) responsible for coordinating and controlling AML/CTF regulations? |  |  |
| 4.1.1.3. Has the financial institution established policies regulating the order of prevention, detection and reporting of information about suspicious transactions? |  |  |
| 4.1.1.4. Does the financial institution have an internal audit department or other independent third party that assesses AML/CTF measures on a regular basis in addition to inspections conducted by the state regulatory authorities? |  |  |
| 4.1.1.5. Does the financial institution have policies prohibiting accounts/relations with «shell-banks»? (*«Shell-bank» is a bank which has not physical presence in the place of registration and is not a member of a banking group*) |  |  |
| 4.1.1.6. Does the financial institution have policies to ensure that the financial institution does not carry out transactions with «Shell-banks» or on behalf of «Shell-banks» through its accounts or products? |  |  |
| 4.1.1.7. Does the financial institution have policies covering relations with politically exposed persons (PEPs), their families or close associates? |  |  |
| 4.1.1.8. Does the financial institution have record retention procedures in place that comply with the current legislation? |  |  |
| 4.1.1.9. Are the financial institution’s AML/CTF policies and practices applied to all branches and subsidiaries both in the country of residence and outside? |  |  |
| 4.1.2. ***Risk assessment*:** | Yes | No |
| 4.1.2.1. Does the financial institution have risk assessment of its customers and their transactions? |  |  |
| 4.1.2.2. Does the financial institution determine the respective level of enhanced due diligence for customers and their transactions that are supposed to be associated with a heightened risk of illicit activities within or through the financial institution? |  |  |
| **4.1.3. *«Know your customer». Due Diligence and Enhanced Due Diligence*:** | Yes | No |
| 4.1.3.1. Has the financial institution implemented identification procedures for those customers on whose behalf the financial institution maintains accounts and carries out transactions? |  |  |
| 4.1.3.2. Is the financial institution required to collect information about the activities of its customers? |  |  |
| 4.1.3.3. Does the financial institution assess the AML/CTF policies and practices of its customers? |  |  |
| 4.1.3.4. Does the financial institution have a process to review and, where appropriate, update customer information relating to high risk customer information? |  |  |
| 4.1.3.5. Does the financial institution have procedures in place to record documentary data for each new customer taking into account the appropriate identification documents and «Know your customer» principle? |  |  |
| 4.1.3.6. Does the financial institution have procedures in place relating to assessment of customer-associated risks in order to understand the normal and expected transactions of its customers? |  |  |
| ***4.1.4.*** ***Reportable transactions, prevention and reveal of transactions related to money laundering:*** | Yes | No |
| 4.1.4.1. Does the financial institution have policies and practices to identify and report transactions which are required to be reported to government authorities? |  |  |
| 4.1.4.2. If pursuant to the applicable laws cash transactions reporting is required, does the financial institution have procedures in place for revealing (determining) transactions structured to avoid such requirements? |  |  |
| 4.1.4.3. Does the financial institution monitor its customers and their transactions against lists of individuals, legal entities and countries issued by state/competent authorities? |  |  |
| 4.1.4.4. Does the financial institution have policies in place to ensure that it operates only with financial institutions having licenses to operate in the country of their registration? |  |  |
| ***4.1.5. Transaction monitoring:*** | Yes | No |
| 4.1.5.1. Does the financial institution have the program of monitoring of unusual or potentially suspicious activity that covers funds transfers and monetary instruments such as travelers checks, money orders and etc.? |  |  |
| ***4.1.6. AML/CTF Training*** | Yes | No |
| 4.1.6.1. Does the financial institution provide AML/CTF training to its employees that includes: identification and reporting of transactions that must be reported to government authorities; examples of different forms of money laundering involving the financial institution’s products and services; AML/CTF internal policies? |  |  |
| 4.1.6.2. Does the financial institution retain records of its training sessions including attendance records and appropriate training materials used? |  |  |
| 4.1.6.3. Does the financial institution communicate new laws and changes to existing AML/CTF policies and procedures to relevant employees? |  |  |
| 4.1.6.4. Does the financial institution employ third parties to carry out some of its own functions? |  |  |
| 4.1.6.5. If the answer to the question 4.1.6.4 «yes», does the financial institution provide AML/CTF training to relevant third parties that includes identification and reporting of transactions that must be reported to government authorities, examples of different forms of money laundering involving the financial institutions’ products and services; AML/CTF internal policies? |  |  |
| 4.1.6.6. Space for additional information (point out to which paragraph the information is related): | | |
|  | Yes | No |
| 4.2. Does the financial institution open accounts which are used by other financial institutions that have not physical presence in the place of registration and are not a member of a banking group (bank holding company)? |  |  |
| 4.3. Information concerning whether the financial institution has been subject to enforcement measures for violation of legislation related to money laundering, terrorism financing and financing of spread of weapons of mass destruction during the last 3 years (name any violations): |  | |

5. Information about subsidiaries (including abroad):

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| --- | --- | --- |
| Full name | Location (legal address) | Taxpayer identification number (for residents of the Republic of Belarus) and (or) other identification number (for non-residents of the Republic of Belarus) |
|  |  |  |

We hereby confirm that the financial institution is not a «shell bank», has not established and does not have intention to establish in the future any structures that are essentially «shell banks», refrains from the cooperation with banks and other entities with unreliable reputation and intends to do so in the future. The financial institution is not controlled by persons or entities suspected of terrorist activity or related to terrorist organizations.

Date:

**The questionnaire was filled in by:**

Surname, name:

Job title:

Phone number:

E-mail:

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

As an authorized person of the financial institution I hereby confirm that the information provided above is true and correct at the date hereof:

Surname, name:

Job title:

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Seal here

1. FATCA (Foreign Account Tax Compliance Act) is the US law on tax control of accounts in foreign financial institutions. FATCA identification of a financial institution is carried out at the moment Belgazprombank establishes legal relationship with a financial institution for the first time; FATCA identification may be repeated upon the decision of Belgazprombank, by filling out and signing the Self-Certification FATCA Form for Financial Institution as per the form of Belgazprombank or by submitting the IRS W-8BEN-E/W9 form. [↑](#footnote-ref-1)
2. It is acceptable to provide a duly certified copy of an identity document containing the volume of data no less than requested instead of filling in the point. [↑](#footnote-ref-2)
3. The beneficial owner is an individual who owns the property of the client or holds at least 10 percent of the shares (share interest in the authorized capital, unit in property) of the client, or ultimately has the right or opportunity directly or indirectly (through third parties) to give instructions binding to the client, influence its decisions or otherwise control its actions. [↑](#footnote-ref-3)
4. In paragraph 4.1. of this questionnaire the following definitions can be used interchangeably: policies, program, regulations, rules, practice, procedure, measure. [↑](#footnote-ref-4)