Annex No. 3.2.

**Sanction Check Form**

(*legal entity*)

You are kindly requested to fill in the following survey pursuant to the advocates’ obligation to adhere to the “*know your client*” principle prescribed by regulatory acts of the Republic of Latvia. The purpose of this survey is to ensure that the required (statutory) scope of information is available to the advocate for establishing and continuing successful cooperation with you.

We thank you for the time and efforts spent on filling in the survey!

|  |
| --- |
| 1. **INFORMATION ABOUT THE CLIENT**
 |
| **1.1.** | **Client:** |
|  | Name: |  |
| Legal form: [ ]  SIA [ ]  AS [ ]  association [ ]  institution [ ]  other *(please specify)*  |
| Registration No.: |  |
| VAT No.:  |  |
| Registered address: |  |
| Business address *(if different from registered address)*: |  |
| **1.2.** | **Information about authorized person of the client:**  |
|  | Name, surname: |  |
| Grounds of authorization:[ ]  Member of the Board [ ]  Procura holder [ ]  head of establishment [ ]  other (*please specify)*  |
| Personal number (for residents)/Date of birth (for nonresidents):  |  |
| Information about personal identification document (series number of document, date of issuing, issuing country, issuing authority *(for nonresidents of Latvia):*  |
| 1. **INFORMATION ABOUT ULTIMATE BENEFICIARY[[1]](#footnote-1) OF THE CLIENT** *(please fill in separately for each ultimate beneficiary)*
 |
|  | Name, surname |  |
| Personal number (for residents)/Date of birth (for nonresidents): |  |
| Citizenship: |  |
| Country of usual residence: |  |
| Information about personal identification document (series number of document, date of issuing, issuing country, issuing authority*):*  |
| The ultimate beneficiary:[ ]  Controls % of shares/stock [ ]  directly [ ]  indirectly (please specify the form of indirect control) [ ]  Exercises control in other form (please specify)  |
| **Where indirect control is exercised by the ultimate beneficiary, please specify the persons acting as intermediaries in exercising control (or present the ownership structure):** |
| **1st level of control** |
| Registration number: |  |
| Name: |  |
| Country: |  |
| **Control is exercised via the client (Paragraph 1.1 of the Form).** |
|  |
| **2nd level of control** |
| Registration number: |  |
| Name: |  |
| Country: |  |
| **Control is exercised via the 1st level of control specified above.** |
|  | Publicly accessible website (if any) for verification of data: |

The client certifies upon signing this survey that neither the client nor ultimate beneficiary of the client is a subject of sanctions imposed by the United Nations Organization, the European Union, any other international organization to which Latvia is a State Party, the Republic of Latvia, or a Member State of the European Union and the North Atlantic Treaty Organization.

The client hereby certifies it is duly authorized to execute this document.

The client hereby confirms that all information stated in this survey is complete and reliable. The client hereby undertakes to promptly notify the advocate of any changes in the data provided in this Form within 5 (five) days from such change.

|  |  |
| --- | --- |
| Client:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_[name, surname] | Date: |

1. Private individual who is the owner of or controls the client, or for the benefit and in the interests of which business relations shall be established or occasional transaction shall be performed, and who is at least:

a) in relation to legal entities – a private individual who holds, through direct or indirect equity, more than 25 percent of equity shares or voting stock of the legal entity, and who controls the same, directly or indirectly,

b) in relation to legal formations – a private individual who owns, or in the interests of which the legal formation is established or operated, or who controls the same, directly or indirectly, and who is, inter alia, the founder, proxy or administrator (manager) of such formation). [↑](#footnote-ref-1)