## Form 2.7

## Key information about a legal entity Customer (non-resident of the RF)

(When filling out the form, please leave no empty fields; if no details are available, insert ‘no’;

italics are used for the comments on filling completing the lines of the form)

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Customer | *Full name of the Customer in Russian* | | | | | | | | | | | |
| *Short name* | | | | | | | | | | | |
| *Name in a foreign language* | | | | | | | | | | | |
| *Former names and dates of change* | | | | | | | | | | | |
| Legal form |  | | | | | | | | | | | |
| ERP system\*  \*The type of software product used for automation of financial and management accounting | **1.☐ 1S Enterprise of at least v. 8.3 and its configurations:**  ☐ Enterprise Accounting, v. 3.0,  ☐ Comprehensive Automation, v. 2 or higher,  ☐ 1S: Enterprise Management ERP 2,  ☐ Holding Company Management 3.0,  ☐ Enterprise Accounting, v. 2.0,  ☐ Manufacturing Enterprise Management, v. 1.3.  ☐ 1S: Corporate Finance Management,  ☐ 1S: Dairy Factory,  ☐ 1S: Bakery & Confectionary,  ☐ 1S: Agricultural Enterprise Accounting,  ☐ 1S: Poultry Plant,  ☐ 1S: Grain Elevator and Fodder Plant,  ☐ 1S: Restaurants,  ☐ 1S: Construction Company Accounting,  ☐ 1S: Construction Contractor 4.0 Finance Management,  ☐ 1S: Property Lease and Management,  ☐ 1S: Housing Utility Calculations and Accounting,  ☐ 1S: ZKKh, TSZh and ZhSK Management Company Accounting.  **2.☐ 1S Enterprise of v. below 8**  **☐ SAP**  **☐ Parus – Enterprise**  **☐ Galaktika ERP**  **☐ Other** | | | | | | | | | | | |
| **1. Key details** | | | | | | | | | | | | |
| Information about state registration | The number of a record on accreditation of a foreign legal entity branch or representative office with the state register of accredited branches and representative offices of foreign legal entities, as well as the legal entity registration number at the place of establishment and registration …………………………………………………………………………………………….  Registration date…………………………………  Name of the registration authority………………………………………………………  Place of registration (location)……………………………………………………… | | | | | | | | | | | |
| Taxpayer identification number (INN) or foreign company code (KIO) assigned before 24/12/2010 or INN assigned after 24/12/2010 |  | | | | | | | | | | | |
| Location address | According to constituent documents (Country, city, street, house, building, office) | | | |  | | | | | | | |
| Actual address | | | |  | | | | | | | |
| *Specify the country (for the USA, also specify the state, for Canada – the province), city, street, house number* | | | | | | | | | | | |
| Mailing address |  | | | | | | | | | | | |
| Website |  | | | | | | | | | | | |
| E-mail |  | | | | | | | | | | | |
| Phone |  | | | | | | | | | | | |
| Fax |  | | | | | | | | | | | |
| **2. Area of activity** | | | | | | | | | | | | |
| Principal activities (including goods produced, services provided) according to constituent documents | Primary industry……………………………………………………………………  Line of activity……………………………………………………………………  Primary type according to OKVED (All-Russian Classifier of Types of Economic Activities) (code) …………………………………………………………………….  OKVED code description………………………………………………………………………..  Code according to All-Russian Classification on Units of Administrative and Territorial Distribution (OKATO) …………………………………………….  Code of the legal entity according to All-Russian Classification of Enterprises and Organizations (OKPO)………………………………………….. | | | | | | | | | | |
| Market share | *Specify the market share and the source of information*  *In case of several markets, specify the primary ones, but not more than 5* | | | | | | | | | | |
| Main competitors | *Provide information about main competitors: competitor’s name (no more than 5), the market and market share (if such information is available)* | | | | | | | | | | |
| Main suppliers | *Specify 5 main suppliers: name, whether the supplier is a member of the same Group as the Customer, main settlement conditions, type of products/service purchased, share in the total procurement volume trends* | | | | | | | | | | |
| Main purchasers/customers | *Specify 5 primary purchasers/customers: name, whether the purchaser/customer is a member of the same Group as the Customer, main settlement conditions, type of products/service supplied, share in the total procurement volume trends* | | | | | | | | | | |
| Information about licenses for carrying out activities subject to licensing | No activity subject to licensing is carried out  Yes (if yes, specify)  Type of license………………………………………………………………………  Number……………………………………………………………………  List of activities subject to licensing:…………………………..  Date of issue ……………………………………………………………..  Name of the authority that issued the license …………………………  Validity term……………………………………………………………….. | | | | | | | | | | |
| Purpose of establishing relations with the Bank | cash management services    lending    placement of free funds    Other (specify)………………………………………………………………… | | | | | | | | | | |
| Intended nature of relations with the Bank | short-term (up to 1 year)    long-term (over 1 year)  d | | | | | | | | | | |
| Information on the legal entity’s business reputation | ☐ Free-form reference letter(s) from other Customers of Sberbank are available  ☐ Free-form reference letter(s) from other credit institutions are available  ☐ No references are available | | | | | | | | | | |
| **3. Accounts opened** | | | | | | | | | | | | |
| with Sberbank of Russia | *List Sberbank of Russia branches where accounts are opened* | | | | | | | | | | |
| with other banks | *List names of banks where accounts are opened* | | | | | | | | | | |
| with banks registered in the states with a high compliance risk[[1]](#footnote-1) | No    Yes *(If yes, please specify below: 1) country name; 2) bank name)* | | | | | | | | | | |
| **4. Existing debt owed to the budget (the field is to be completed in case of an RF resident only)** | *Specify: presence/absence of a tax or levy debt. In case of an outstanding obligation to pay taxes, levies, fines or tax penalties in excess of 5% of net assets value as of the date of submitting the application, please specify the list of taxes/levies/other obligatory payments with the amounts of outstanding obligations* | | | | | | | | | | |
| **Are any of the stated facts true as of the date of submitting documents to the Bank?** | ☐ There are failures to perform monetary obligations due to the lack of funds in bank accounts ☐ There are insolvency (bankruptcy) proceedings pending ☐ Decisions of judicial authorities are in effect on recognizing the Customer as insolvent (bankrupt) ☐ A liquidation procedure is pending  ☐ Failure to fulfill the obligation to pay taxes, levies, penalties, or fines  ☐ None of the above | | | | | | | | | | |
| **5. Information about the value of charter capital** | *Specify the value of the registered and paid-in charter (contributed) capital or the value of the charter fund or assets in thousands of rubles* | | | | | | | | | | |
| **6. Shareholders/Participants of the Customer with the shareholding exceeding 5%** | | | | | | | | | | | | |
| *Specify the legal form and full name of legal entities/full names of individuals holding 5% or more of shares/interest (including the information about shareholders on whose behalf other persons act as nominees: as of the annual meeting of shareholders or a later date for PJSC, as of submission of the Application for any other organizations)/country of their registration (incorporation)* | | | | *Specify (for Russian Federation residents):*  *- for a legal entity, INN;*  *- for an individual: fill in Annex 1.1 to the “Key information about a legal entity* *Customer”*  *Specify (for Russian Federation non-residents):*  *- for a legal entity, registration date, registration number, registration authority; location address;*  *- for an individual: fill in Annex 1.1 to the “Key information about a legal entity* *Customer”* | | | | | | | *Specify a share in the charter capital in % (ordinary/preferred shares)* | |
| **7. Shareholders/Participants of shareholders or participants of the Customer holding more than 20% of the charter capital** | | | | | | | | | | | | |
| *Specify the legal form and full name of legal entities/full names of individuals holding 5% or more of shares of/interest in the capital of shareholders/participants specified in the previous section and holding 20% and more of shares of/interest in the Customer’s capital (including the information about shareholders on whose behalf other persons act as nominees: as of the annual meeting of shareholders or a later date for PJSC, as of submission of the Application for any other organizations)/country of their registration (incorporation)* | | | | *Specify:*  *- for a legal entity, INN;*  *- for an individual, date of birth (dd.mm.yyyy)* | | | | | | | *Specify a share in the charter capital in % (ordinary/preferred shares)* | |
| **8. Whether the Customer is part of a Group/Holding Company** (including a not formalized one) | | | | *If yes, specify the name of the Group/Holding Company and the website, give a brief description of the company’s role in the holding structure* | | | | | | | | |
| **9. Whether it is owned or controlled by the government or a state authority** | | | | Yes      No | | | | | | | | |
| Name of the state | | | |  | | | | | | | | |
| Full name of the state authority | | | |  | | | | | | | | |
| Ownership share | | | |  | | | | | | | | |
| **10. Ultimate beneficiary of the Customer’s business[[2]](#footnote-2)** | | | | | | | | | | | | |
| *Specify the legal form and full name of a legal entity/full name of an individual being an actual beneficiary receiving the main income from business (it is possible to specify the state, individuals, large joint-stock company with numerous shareholders – diluted capital, which is the parent company of the Group/Holding; several ultimate beneficiaries may be specified).*  *In case of non-provision of information about the ultimate beneficiary, state the reason.* | | *Specify (for Russian Federation residents):*  *- for a legal entity, INN;*  *- for an individual: fill in Annex 1.1 to the “Key information about a legal entity* *Customer”*  *Specify (for Russian Federation non-residents):*  *- for a legal entity, registration date, registration number, registration authority; location address;*  *- for an individual: fill in Annex 1.1 to the “Key information about a legal entity* *Customer”* | | | | *Specify the share of the beneficiary with the indication of an indirect or direct ownership in the CC/business (5% and more) of the Customer* and enclose a chart showing the relations between the Customer and persons who directly and/or indirectly (through third parties) have a significant influence on the decisions made by the Customer’s management bodies (Annex 1 to the “Key information about a legal entity Customer”) | | | | | | |
| *Areas of the beneficiary’s activities* | | *Specify companies owned by the beneficiary (except for the Customer’s business), and, for each of them, the main industry and line of activity.* | | | | | | | | | | |
| **11. The Customer’s management bodies** | | | | | | | | | | | | |
| **11.1. A person being the sole executive body** | | | | | | | | | | | | |
| **Information about the sole executive body being an individual** | | | | | | | | | | | | |
| Full Name | |  | | | | | | | | | | |
| Nationality | |  | | | | | | | | | | |
| Date of birth (dd.mm.yyyy) | |  | | | | | | | | | | |
| Place of birth | |  | | | | | | | | | | |
| Position and date of taking office | |  | | | | | | | | | | |
| Name of the document confirming the person’s (including the legal entity’s sole executive body) authorities to represent the Customer | | Document number ……………………………………………………………………………  Document issue date…………………………………………………………………..…  Document validity term…………………………………………………………………… | | | | | | | | | | |
| Residential (registered) address or address of the place of stay | | Place of residence (registration): ………………………………………………………………  Place of stay: ……………………………………………………………………………… | | | | | | | | | | |
| Details of the personal identification document | | Name: ………………………………………………………………  Series: …………………… No. ………………………………………………..  Date of issue: …………………………………………………………………  Name of the issuing authority: ……………………...............  Subdivision code (if any):………………………………………… | | | | | | | | | | |
| Taxpayer identification number (INN) (if any) | |  | | | | | | | | | | |
| Information on the insurance number of the individual personal account of the insured person (SNILS) within the Mandatory Pension Insurance system (if any). | |  | | | | | | | | | | |
| Contact information: | | Phone/fax number: ……………………………………………………………  E-mail address ………………………………………..………………  Mailing address (if any)…………………………………………………… | | | | | | | | | | |
| Migration card data  *(the field is to be only completed in case of a foreign citizen or a stateless person)* | | Card No.: ………………………………………………………………………  Period of stay started on: …………………………………………….  Period of stay ended on: ……………………………………….. | | | | | | | | | | |
| Details of a document certifying a foreign citizen’s (or a stateless person’s) right to stay in the Russian Federation (visa, permit for temporary residence, and other)  *(the field is to be only completed in case of a foreign citizen or a stateless person)* | | |  | | --- | | Name:………………………………………………………………….  Series: ………………… Document No. ………………………………………..  Start date of the right to stay:……………………………..  End date of the right to stay:………………………… | | | | | | | | | | | |
| Please specify if the sole executive body of the legal entity is: | | ☐ a foreign public official ☐ a spouse or a close relative of a public official ☐ an official of a public international organization ☐ a person filling (holding) a public office in the Russian Federation ☐ a person filling (holding) an office of a member of the Board of Directors of the Bank of Russia ☐ a person filling (holding) a federal public service office to be appointed or dismissed by the President of the Russian Federation or the Government of the Russian Federation ☐ a person filling (holding) an office in the Bank of Russia ☐ a person filling (holding) an office in a government-owned corporation or any other entity established by the Russian Federation under its federal laws  ☐ The sole executive body does not fall into any of the above categories of persons | | | | | | | | | | |
| **11.2. Information about the sole executive body being a management company** | | | | | | | | | | | | |
| Legal form and full name | | Legal form:………………………………………………………………………………………………  Name in the Russian language:……………………………………………….………………  Name in foreign languages (if any)……………………………………….. | | | | | | | | | | |
| Information on state registration: | | OGRN …………………………………………………………………………………………….  the number of entry on the accreditation of a foreign legal entity branch or representative office with the state register of accredited branches and representative offices of foreign legal entities, as well as the legal entity registration number at the place of establishment and registration - for a non-resident:…………………………………………………  place of state registration (location)……………………………………..  date of state registration …………………………………………………………….. | | | | | | | | | | |
| Address of a legal entity | | Country:………………………………………………………………………………………….  City:……………………………………………………………………………………………..  Street, house, building, office: …………………………………………………………………… | | | | | | | | | | |
| Licenses (permits) to carry out the activities (transactions) | | No activity subject to licensing is carried out  Yes (if yes, please specify): | | | | | | | | | | |
| License type and number: | | | | |  | | | | | |
| List of the types of  licensed activities: | | | | |  | | | | | |
| Date of licensing: | | | | |  | | | | | |
| Valid until: | | | | |  | | | | | |
| Issued by: | | | | |  | | | | | |
| For a resident of the Russian Federation, INN, for a non-resident of the Russian Federation, INNor KIO | |  | | | | | | | | | | |
| OKATO (if any) | |  | | | | | | | | | | |
| OKPO (if any) | |  | | | | | | | | | | |
| Contact information of the management company: | | Phone number:………………………………………………………………………………….  Fax number:……………………………………………………………………………………..  E-mail address:………………………………………………………………………  Mailing address (if any):………………………………………………………………… | | | | | | | | | | |
| Country of registration (incorporation) | |  | | | | | | | | | | |
| Information on management bodies of the management company (structure and personnel, full name and position) | | General meeting of members/shareholders: | | | | | |  | | | | |
| Board of Directors (Supervisory Board): | | | | | |  | | | | |
| Executive Board (directorate): | | | | | |  | | | | |
| Other parties entitled to act on behalf of your organization without a power of attorney: | | | | | |  | | | | |
| Full name of the head of the management company | |  | | | | | | | | | | |
| Position | |  | | | | | | | | | | |
| Date and place of birth (dd.mm.yyyy), ID document details, details of the migration card, the document certifying a foreign citizen’s or a stateless person’s right to stay (reside) within the Russian Federation, address of the place of residence (registration)/place of stay, taxpayer identification number (if any). | |  | | | | | | | | | | |
| **11.3. Information on the Customer’s management bodies:** | | | | | | | | | | | | |
| Structure (Board of Directors/Executive Board/Supervisory Board or other) | |  | | | | | | | | | | |
| **11.4. Members of the Customer’s management bodies:** | | | | | | | | | | | | |
| *Specify full names of members of collegial management bodies* | | *Specify the date of birth (dd.mm.yyyy)* | *Specify the position and place of employment (full name of the organization)* | | | | | | | | | |
| **11.5. Information on the presence or absence of the legal entity, its permanent management body, other body or person authorized to act on behalf of the legal entity without a power of attorney at its location** | | | | | | | | | present    absent | | | |
| **11.6. Information about persons entitled to manage funds from the settlement account and loan funds**  *List the persons specified in a card with specimen signatures and seal impression, and the persons (other than the sole executive body) who have the right to manage loan funds* | | | | | | | | | | | | |
| *Full name, date and place of birth (dd.mm.yyyy), ID document details, details of the migration card, the document certifying a foreign citizen’s or a stateless person’s right to stay (reside) within the Russian Federation, address of the place of residence (registration)/place of stay, taxpayer identification number (if any).* | | *Position and date of taking office* | *Grounds for managing the funds (details of a power of attorney, Order, etc.)* | | | | | | | | | |
| **11.7. Interests of the Customer in cooperation are represented by a person that is not a declared authorized representative, i.e. his/her powers are not documented** | | | No  Yes | | | | | | | | | |
| *Full name of the individual* | | |  | | | | | | | | | |
| *Name and country of registration (incorporation) of the company on whose behalf the person specified in cl. 11.7 performs operational management of the Customer* | | |  | | | | | | | | | |
| **11.8. The Customer is under the control or operational management of a person who is not a direct or indirect owner (no less than 10%) of the Customer (except for the cases of exercising functions of the Customer’s executive body)** | | | No  Yes  I have no information | | | | | | | | | |
| *Name of legal entity* | | |  | | | | | | | | | |
| *Country of incorporation* | | |  | | | | | | | | | |
| **11.9. The presence of any persons registered (having the place of residence or location) in the jurisdictions of high compliance risk**[[3]](#footnote-3)**:** | | | | | | | | | | | | |
| **11.9.1. in the Customer’s management bodies** | | | No    Yes | | | | | | | | | |
| **11.9.2. among the participants/shareholders of the Customer directly holding at least 10% of the Customer’s CC** | | | No    Yes | | | | | | | | | |
| **11.9.3. among the ultimate beneficiaries of the Customer directly or indirectly holding at least 10% of the Customer’s CC/business** | | | No  Yes  I have no information | | | | | | | | | |
| **If a positive answer is given to cl. 11.9.1 and/or cl. 11.9.2 and/or cl. 11.9.3, specify the relevant persons:** | | | | | | | | | | | | |
| *Full name of the individual* | | | *Position* | | | | | | | *Nationality* | | |
| **11.10. The presence of any persons being public officials, including foreigners[[4]](#footnote-4):** | | | | | | | | | | | | |
| **11.10.1. in the Customer’s management bodies** | | | No  Yes  I have no information | | | | | | | | | |
| **11.10.2. among the participants/shareholders directly holding at least 10% of the Customer’s CC** | | | No  Yes  I have no information | | | | | | | | | |
| **11.10.3 among the ultimate beneficiaries of the Customer directly or indirectly holding at least 10% of the Customer’s CC/business** | | | No  Yes  I have no information | | | | | | | | | |
| **If a positive answer is given to cl. 11.10.1 and/or cl. 11.10.2 and/or cl. 11.10.3, specify the relevant persons:** | | | | | | | | | | | | |
| *Full name of the individual* | | | *Position* | | | | | | | *Nationality* | | |
| **11.11. The Customer/its participant/shareholder directly holding at least 10% of the CC/ultimate beneficiary directly or indirectly holding at least 10% of the CC/business, carry out types of activities connected with producing, purchasing or selling weapons, military products, nuclear materials and radioactive substances** | | | No  Yes *(specify the subject of cl. 11.11 and the activity it carries out)*  I have no information (*by the subjects: participant/shareholder, beneficiary*) | | | | | | | | | |
| **12. Information about the beneficiaries** *(a beneficiary is considered a person in whose favor the Customer acts, including under an agency contract, contracts of mandate, commission or trust management, when granting a loan*) | | | | | | | | | | | | |
| No      Yes *(in case of ‘yes’, fill out the relevant annex; if there are several beneficiaries, then the form provided by the Bank is filled out for each of them according to Annex 2 and Annex 3.)* | | | | | | | | | | | | |
| **13. The Customer carries out business in/with countries with a high compliance risk, and with companies registered in the specified countries** | | | No  Yes | | | | | | | | | |
| Country name | | |  | | | | | | | | | |
| Name of a counterparty and a country where it is registered | | |  | | | | | | | | | |
| Type of legal relationship | | |  | | | | | | | | | |
| **14. The Customer carries out business with a counterparty included in the sanctions lists[[5]](#footnote-5)** | | | No  Yes  I have no information | | | | | | | | | |
| Name of the list | | |  | | | | | | | | | |
| Reason for inclusion | | |  | | | | | | | | | |
| Additional information (if any) | | |  | | | | | | | | | |
| **15. The Customer’s environmental aspects** | | | | | | | | | | | | |
| The Customer carries out projects that may entail a massive forced movement or economic transfer of population with a negative effect (disruption of a stable economic situation) | | | No    Yes | | | | | | | | | |
| The Customer is required to file negative environmental impact reports under the RF law, and the Customer was assessed (three or more) fines for breach of the environmental legislation and/or the requirements for composition and contents of use of nature permits (for the latest calendar year) | | | The Customer is required to file the reports and was assessed (three or more) fines for the latest calendar year  The Customer is not required to file the reports and was assessed (three or more) fines for the latest calendar year  The Customer is required to file the reports and was not assessed (three or more) fines for the latest calendar year  The Customer is not required to file the reports and was not assessed (three or more) fines for the latest calendar year | | | | | | | | | |

**Consent to Personal Data Processing**

*(to be filled in obligatorily by all individuals specified in the “Key information about a legal entity Customer”, except for the following:*

*- an individual (participant/shareholder and ultimate beneficiary/beneficial owner) gives such a consent in the form provided in* ***Annex 1.1****;*

*- a beneficiary (individual entrepreneur/individual) gives such a consent in the form provided in* ***Annex 3****).*

I grant Sberbank the right to process (including automated processing) my personal data in accordance with the Federal Law No.152 – ФЗ (152-FZ) dated 27/07/2006, “On Personal Data” (data processing in the above Law shall imply actions (operations) with personal data of individuals, including collection, systematization, accumulation, storage, clarification (updating, amending), use, sharing (including the transfer), anonymization, blocking, and deleting thereof). The personal data given by me are provided for the purposes of obtaining a loan and fulfillment of contract obligations, for the development of new products and services by Sberbank and informing me on these products and services. Sberbank may verify the authenticity of the personal data provided by me, including by using services of other operators, and use the information about any failure to perform and/or improper performance of contractual obligations when considering issues regarding the provision of services and the conclusion of new contracts.

The consent is given at the moment of signing of this document and is valid for five years following the completion of contractual obligations. Upon expiry of said term, the consent is considered extended for every five years thereafter given the absence of information about its revocation. This consent may be revoked by me upon submission to Sberbank of an application in simple written form in accordance with the legislative requirements of the Russian Federation.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Date | Position | Signature | Spelled-out name (Full name) | Agree/Disagree |
|  |  |  |  |  |
|  |  |  |  |  |

**Information on the presence or absence of the legal entity, its permanent management body, other body or person authorized to act on behalf of the legal entity without a power of attorney at its location.**

By this \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*(name of the Customer)*

hereby confirms that at the address

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*(actual location address is to be specified)*

a permanent management body (other bodies or a person that are authorized to act on behalf of the legal entity without a power of attorney) is present.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*(Position and (full) name of the Customer’s authorized person)*

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*(signature)*

Seal

“\_\_\_” \_\_\_\_\_\_\_\_\_ 20\_\_

**Annex 1**

## to form 2.1 Key information about a legal entity Customer (non-resident of the RF)

**A chart showing the relations between the Customer and persons who directly and/or indirectly (through third parties)**

**have a significant influence on the decisions made by the Customer’s management bodies**

*(The organization’s participants chain shall be filled in up to ultimate beneficiaries - individuals for whom identity details shall be filled in (Annex 1.1))*

**EXAMPLE OF FILLING IN**

**a chart showing the relations between the Customer and persons who directly and/or indirectly (through third parties) have a significant influence on the decisions made by the Customer’s management bodies**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  | Romashka PJSC | | | | | | | | | | | | |  |  | |  |
|  |  |  |  |  |  | |  |
|  |  |  |  |  |  | |  |
|  |  |  |  |  |  | |  | | | | | | |  |  |  |  | | | |
| No. 1 LLC  10% |  | No. 2 LLC  10% | |  | No. 3 LLC  12.25% | | |  | |  | | | |  | No. 4 LLC  20.4% | |  | | Sidor Sidorovich Sidorov  38.70%  *Is a beneficial owner in accordance with the Federal Law No. 115-ФЗ (115-FZ)* | |
|  |  |  |  | |
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|  |  |  | |  |  | | | |  | |  | | |  |  | |  | |  | |
|  |  | |  |  | | | |  | | 8.65% | | |  |  | |  | |  | |
|  |  | |  |  | | | |  | |  | | |  |  | |  | |  | |
|  |  | | Romashka Limited  *100% founder*  *No. 1 LLC, No. 2 LLC, No. 3 LLC, No. 4 LLC* | | | | | | | | | | | | |  | |  |  |
|  | |  |  |
|  | |  |  |
|  | |  |  | | | | |  |  | | |  |  | |  |  |
| Ivan Ivanovich Ivanov  30% of managing shares  *Is a beneficial owner in accordance with the Federal Law No. 115-ФЗ (115-FZ)* | | | | | |  |  | | | | |  | Petr Petrovich Petrov  70% of managing shares  *Is a beneficial owner in accordance with the Federal Law No. 115-ФЗ (115-FZ)* | | | | | | | |

**Example of a calculation of the ownership share in Romashka PJSC belonging to each of the individuals**

Romashka Limited is the sole participant of No. 1 LLC, No. 2 LLC, No. 3 LLC, No. 4 LLC.

Given that Ivan Ivanov is a person who owns 30% of managing shares in Romashka Limited entitling him to manage the Company and to vote at the meeting of shareholders, and who has a significant influence on the decisions made by the Company and on the formation of its executive bodies, and Petr Petrov is also a person who owns 70% of managing shares in Romashka Limited, then the shareholding in the capital of Romashka PJSC of each of the individuals is calculated as follows:

Ivan Ivanov’s:

(ownership share in No. 1 LLC (10%) + ownership share in No. 2 LLC (10%) + ownership share in No. 3 LLC (12.25%) + ownership share in No. 4 LLC (20.4%) + ownership share in Romashka Limited (8.65))\*0.3 = 18.39%

Petr Petrov’s:

(ownership share in No. 1 LLC (10%) + ownership share in No. 2 LLC (10%) + ownership share in No. 3 LLC (12.25%) + ownership share in No. 4 LLC (20.4%) + ownership share in Romashka Limited (8.65))\*0.7 = 42.91%

Sidor Sidorov’s:

38.70%

**Annex 1.1**

## to form 2.1 “Key information about a legal entity Customer

## (non-resident of the RF)”

**INFORMATION ABOUT A BENEFICIAL OWNER/ULTIMATE BENEFICIARY - an individual**

**OF THE CUSTOMER\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ INN\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

(When filling out the information, leave no empty fields; if no details are available, insert ‘no’)

|  |  |  |
| --- | --- | --- |
| **Identification data of the beneficial owner/ultimate beneficiary[[6]](#footnote-6)** *(data is to be filled in separately for each person)* | | |
| 1. | Full name incl. patronymic (if any) |  |
| 2. | Date of birth |  |
| 3. | Place of birth |  |
| 4. | Nationality |  |
| 5. | Residential (registered) address or address of actual location |  |
| 6. | Personal ID details: | |
| 6.1 | *document type* |  |
| 6.2 | *series (if applicable) and number* |  |
| 6.3 | *date of issue* |  |
| 6.4 | *name of issuing authority and subdivision code (if applicable)* |  |
| 7. | Migration card details[[7]](#footnote-7): | |
| 7.1 | *card number* |  |
| 7.2 | *starting and ending dates of stay in the RF* |  |
| 8. | Details of a document certifying a foreign citizen’s or a stateless person’s right to stay (reside) within the RF8 | |
| 8.1 | *series (if any) and number of the document* |  |
| 8.2 | *start date of the right to stay (reside) in the RF* |  |
| 8.3 | *end date of the right to stay (reside) in the RF* |  |
| 9. | Taxpayer ID (INN), if applicable |  |
| 10. | Positions held by the ultimate beneficiary being an individual for the previous ten years, including part-time (in chronological order) |  |

|  |  |  |
| --- | --- | --- |
| 11. | Contact information: | |
| 11.1 | *phone number* |  |
| 11.2 | *fax* |  |
| 11.3 | *email* |  |
| 11.4 | *mailing address (if any)* |  |
| 12. | Reason for considering an individual as the beneficial owner of the organization | ☐ the individual has dominant participation (of over 25 percent) in the organization’s capital;  ☐ the individual is a dominant shareholder owning indirectly (through third parties) more than 25% of the organization’s capital;  ☐ the individual owns more than 25% of the organization’s total voting shares;  ☐ the individual has the right (possibility), including that arising from an agreement, to significantly influence, directly or indirectly (through third parties), the decisions made, and to exercise its powers in order to affect the amount of generated income  ☐ the individual is an ultimate beneficiary but is not a beneficial owner in accordance with the Federal Law No.115-ФЗ (115-FZ) because their share of indirect or direct ownership in the CC/business is less than 25% |
| 13. | Is the beneficial owner being an individual (filling out of this item is applicable only to the beneficial owner): | ☐ a foreign public official;  ☐ a public official’s spouse or close relative;  ☐ an official of a public international organization;  ☐ a person filling (holding) a public office in the Russian Federation;  ☐a person filling (holding) an office of the member of the Board of Directors of the Bank of Russia;  ☐ a person filling (holding) a federal public service office to be appointed or dismissed by the President of the Russian Federation or the Government of the Russian Federation;  ☐ a person filling (holding) an office in the Bank of Russia;  ☐ a person filling (holding) an office in a government-owned corporation or any other entity established by the Russian Federation under its federal laws;  *If you checked any of the above boxes, please provide the following details:*  Office held (title, rank, dignity): ………………………  Employer’s name and address: ……………………………….  ☐ The beneficial owner does not fall into any of the above categories of persons |
| 14 | Information on the insurance number of the individual personal account of the insured person within the Mandatory Pension Insurance system (if any). |  |

|  |  |  |
| --- | --- | --- |
|  |  |  |
|  |  |  |

**Consent to personal data processing**

I grant Sberbank the right to process (including automated processing) my personal data in accordance with the Federal Law No.152 – ФЗ (152-FZ) dated 27/07/2006, “On Personal Data” (data processing in the above Law shall imply actions (operations) with personal data of individuals, including collection, systematization, accumulation, storage, clarification (updating, amending), use, sharing (including the transfer), anonymization, blocking, and deleting thereof). The personal data given by me are provided for the purposes of obtaining a loan and fulfillment of contract obligations, for the development of new products and services by Sberbank and informing me on these products and services. Sberbank may verify the authenticity of the personal data provided by me, including by using services of other operators, and use the information about any failure to perform and/or improper performance of contractual obligations when considering issues regarding the provision of services and the conclusion of new contracts.

The consent is given at the moment of signing of this document and is valid for five years following the completion of contractual obligations. Upon expiry of said term, the consent is considered extended for every five years thereafter given the absence of information about its revocation. This consent may be revoked by me upon submission to Sberbank of an application in simple written form in accordance with the legislative requirements of the Russian Federation.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Date | Position | Signature | Spelled-out name (Full name) | Agree/Disagree |
|  |  |  |  |  |
|  |  |  |  |  |

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*(Position and (full) name of the Customer’s authorized person)*

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*(signature)*

Seal “\_\_\_” \_\_\_\_\_\_\_\_\_ 20\_\_

**Annex 2**

## to form 2.1 Key information about a legal entity Customer (non-resident of the RF)

**INFORMATION ON THE BENEFICIARY[[8]](#footnote-8) BEING A LEGAL ENTITY or AN UNINCORPORATED FOREIGN ORGANIZATION**

**OF THE CUSTOMER\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ INN\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

(When filling out the information, leave no empty fields; if no details are available, insert ‘no’)

|  |  |  |
| --- | --- | --- |
| 1. | Registered name, trade name in Russian (full and/or short) |  |
| 2. | Registered name, trade name in foreign languages (full and/or short) (if applicable) |  |
| 3. | Legal Form |  |
| 4. | Information about state registration | |
| 4.1. | *Primary state registration number (OGRN)* |  |
| 4.2 | *The number of the certificate of accreditation of a branch or a representative office of a foreign legal entity issued by a federal executive body authorized by the Government of the Russian Federation for accreditation of branches, representative offices of foreign legal entities. If such a certificate is missing, the registration number of the legal entity at the place of establishment and registration* |  |
| 4.3. | *Place of state registration (location)* |  |
| 4.4. | *Registration number(s) (if any) assigned to an unincorporated foreign organization in the state (territory) of its registration (incorporation)* |  |
| 5. | Address of the legal entity |  |
| 6. | For a resident: Taxpayer identification number (INN) |  |
| 7. | For a non-resident: taxpayer identification number (INN) or foreign company code (KIO) assigned before 24/12/2010 or INN assigned after 24/12/2010 |  |
| 8. | Code according to All-Russian Classification on Units of Administrative and Territorial Distribution (OKATO) (if any) |  |
| 9. | Information proving that the Customer acts for the benefit of another person | |
| 9.1 | *Agency agreement (number, date of the agreement)* |  |
| 9.2 | *Mandate agreement (number, date of the agreement)* |  |
| 9.3 | *Commission agreement (number, date of the agreement)* |  |
| 9.4 | *Trust management agreement (number, date of the agreement)* |  |
| 9.5 | *Other* |  |
| 10. | Information on an unincorporated foreign organization | |
| 10.1 | *Code(s) (if any) of the unincorporated foreign organization in the state (territory) of its registration (incorporation) as a taxpayer (or analogues thereof).* |  |
| 10.2 | *Place of main operations* |  |
| 10.3 | *Composition of assets under management (ownership)* [[9]](#footnote-9) |  |
| 10.4 | *Full name, including patronymic (if any), name and address of residence (location) of the founders and the trust owner (manager)*[[10]](#footnote-10) |  |

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*(Position and (full) name of the Customer’s authorized person)*

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*(signature)*

Seal “\_\_\_\_\_\_\_” \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ 20\_\_

**Annex 3**

## to form 2.1 Key information about a legal entity Customer (non-resident of the RF)

**INFORMATION ABOUT THE BENEFICIARY[[11]](#footnote-11)** **BEING AN INDIVIDUAL/INDIVIDUAL ENTREPRENEUR**

**OF THE CUSTOMER\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ INN\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

(When filling out the information, leave no empty fields; if no details are available, insert ‘no’)

|  |  |  |
| --- | --- | --- |
| 1. | Full name including patronymic (if any) |  |
| 2. | Date of birth |  |
| 3. | Place of birth |  |
| 4. | Nationality |  |
| 5. | Residential (registered) address or address of actual location |  |
| 6. | Personal ID details: | |
| 6.1 | *document type* |  |
| 6.2 | *series (if applicable) and number* |  |
| 6.3 | *date of issue* |  |
| 6.4 | *name of issuing authority and subdivision code (if applicable)* |  |
| 7. | Migration card data[[12]](#footnote-12) | |
| 7.1 | *card number* |  |
| 7.2 | *starting and ending dates of stay in the RF* |  |
| 8. | Details of a document certifying a foreign citizen’s or a stateless person’s right to stay (reside) within the RF13 | |
| 8.1 | *series (if any) and number of the document* |  |
| 8.2 | *start date of the right to stay (reside) in the RF* |  |
| 8.3 | *end date of the right to stay (reside) in the RF* |  |
| 9. | Taxpayer ID (INN), if applicable |  |
| 10. | Contact information |  |
| 10.1 | *phone number* |  |
| 10.2 | *fax* |  |
| 10.3 | *email* |  |
| 10.4 | *mailing address (if any)* |  |
| 11. | Principal state registration number of entry on individual entrepreneur state registration (OGRNIP) |  |
| 12. | Place of state registration |  |
| 13. | Date of state registration |  |
| 14. | Information about a license for carrying out the activities subject to licensing: |  |
| 14.1 | *type* |  |
| 14.2 | *number* |  |
| 14.3 | *license issue date* |  |
| 14.4 | *issued by* |  |
| 14.5 | *validity term* |  |
| 14.6 | *list of activities subject to licensing* |  |
| 15. | Information proving that the Customer acts for the benefit of another person |  |
| 15.1 | *Agency agreement (number, date of the agreement)* |  |
| 15.2 | *Mandate agreement (number, date of the agreement)* |  |
| 15.3 | *Commission agreement (number, date of the agreement)* |  |
| 15.4 | *Trust management agreement (number, date of the agreement)* |  |
| 15.5 | *Other* |  |
| 16 | Information on the insurance number of the individual personal account of the insured person (SNILS) within the Mandatory Pension Insurance system (if any) |  |
| 17 | Code according to All-Russian Classification on Units of Administrative and Territorial Distribution (OKATO) (if any) |  |

**Consent to personal data processing**

I grant Sberbank the right to process (including automated processing) my personal data in accordance with the Federal Law No.152 – ФЗ (152-FZ) dated 27/07/2006, “On Personal Data” (data processing in the above Law shall imply actions (operations) with personal data of individuals, including collection, systematization, accumulation, storage, clarification (updating, amending), use, sharing (including the transfer), anonymization, blocking, and deleting thereof). The personal data given by me are provided for the purposes of obtaining a loan and fulfillment of contract obligations, for the development of new products and services by Sberbank and informing me on these products and services. Sberbank may verify the authenticity of the personal data provided by me, including by using services of other operators, and use the information about any failure to perform and/or improper performance of contractual obligations when considering issues regarding the provision of services and the conclusion of new contracts.

The consent is given at the moment of signing of this document and is valid for five years following the completion of contractual obligations. Upon expiry of said term, the consent is considered extended for every five years thereafter given the absence of information about its revocation. This consent may be revoked by me upon submission to Sberbank of an application in simple written form in accordance with the legislative requirements of the Russian Federation.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Date | Position | Signature | Spelled-out name (Full name) | Agree/Disagree |
|  |  |  |  |  |
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*(Position and (full) name of the Customer’s authorized person)*

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*(signature)*

Seal “\_\_\_\_\_\_\_” \_\_\_\_\_\_\_\_\_ 20\_\_

**Annex 4**

*to form 2.1.* Key information about a legal entity Customer (non-resident of the RF)

ADDITIONAL INFORMATION ON THE CUSTOMER’S ACTIVITIES IN THE AREA OF COMPLIANCE WITH ENVIRONMENTAL REQUIREMENTS AND POLICIES

Note: This Annex is to be sent and filled in by a Customer in the event one of the two answers has been received to question 15 of the Form “The Customer is required to file negative environmental impact reports under the RF law, and the Customer was assessed (three or more) fines for breach of the environmental legislation and/or requirements for composition and contents of use of nature permits (for the latest calendar year)”:

* The Customer is required to file the reports and was assessed (three or more) fines for the latest calendar year.
* The Customer is required to file the reports and was not assessed (three or more) fines for the latest calendar year.

|  |  |  |
| --- | --- | --- |
| 1 | The Customer has established a unit responsible for matters in the areas of the environment and use of nature | No    Yes |
| 2 | The Customer has been accredited under environmental management systems (ISO 14000) | No    Yes |
| Note: Customers that are required to file the reports and were not assessed (three or more) fines for the latest calendar year may skip further questions No. 3–No. 7 if they answer “yes” to either question No. 1 and/or No. 2. | | |
| 3 | The Customer has developed corporate documents setting forth company strategy in the areas of the environment, climate change, sustainable water use, and biodiversity protection | No    Under development    Yes |
| 4 | The Customer is implementing an environmental efficiency improvement program | No    Under development     * Yes |
| 5 | The Customer complies with voluntary obligations on climate change-related financial risk disclosure (including TCFD, UNFCCC, etc.)[[13]](#footnote-13) | No    Yes |
| 6 | The Customer’s facilities that produce NEI[[14]](#footnote-14) have emission control measuring equipment installed | Not applicable    No     * Undergoing upgrades     Yes |
| 7 | The emission control and treatment equipment installed at the Customer’s facilities meets the ITG BAT[[15]](#footnote-15) requirements | Not applicable    No     * Undergoing upgrades     Yes |

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*(Position and (full) name of the Customer’s authorized person)*

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*(signature)*

Seal

“\_\_\_” \_\_\_\_\_\_\_\_\_ 20\_\_

1. Burma, Zimbabwe, Iraq, Iran, Yemen, Côte d'Ivoire, Cuba, Lebanon, Libya, North Korea, Syria, the Republic of Belarus, the Republic of Congo, Somalia, Sudan [↑](#footnote-ref-1)
2. This information contains data about a beneficial owner established in accordance with the requirements of the Federal Law No.115-ФЗ (115-FZ) “On Countering the Legalization (Laundering) of Criminally Obtained Incomes and the Financing of Terrorism” dated 07/08/2001, i.e. an individual that ultimately, directly or indirectly (through third parties) owns (has dominant participation exceeding 25% of the capital) the Customer, or is capable of controlling the Customer’s actions [↑](#footnote-ref-2)
3. Burma, Zimbabwe, Iraq, Iran, Yemen, Côte d'Ivoire, Cuba, Lebanon, Libya, North Korea, Syria, the Republic of Belarus, the Republic of Congo, Somalia, Sudan [↑](#footnote-ref-3)
4. In accordance with the requirements of the Federal Law No.115-ФЗ (115-FZ), dated 07/08/2001, “On Countering the Legalization (Laundering) of Criminally Obtained Incomes and the Financing of Terrorism”. [↑](#footnote-ref-4)
5. Sanctions list includes: OFAC List, EU Sanction list, List of organizations and persons in respect of which information exists about their involvement in the extremist activities in the Russian Federation, as well as other sanctions lists of any country, which may affect the settlements [↑](#footnote-ref-5)
6. In pursuance of filling out this Annex please note that:

   For the purpose of providing the required information to the Bank:

   Ultimate beneficiary is an actual beneficiary receiving the main income from the Borrower’s business: a state, individuals, or a joint-stock company with a large number of shareholders (diluted capital).

   For the purpose of compliance with the requirements of the Federal Law No.115-ФЗ (115-FZ) and Rules No.881:

   Beneficial owner is an individual who ultimately, directly or indirectly (through third persons), owns (has dominant participation of more than 25 percent in the capital) a legal entity Customer or has the capacity to control the actions of the Customer. [↑](#footnote-ref-6)
7. This paragraph is to be filled in by foreign citizens and stateless persons only. [↑](#footnote-ref-7)
8. A person to whose benefit the Customer acts, including under an agency agreement, contracts of mandate, commission and trust management, when conducting transactions with cash funds or other assets. [↑](#footnote-ref-8)
9. Information completed on trusts and other unincorporated foreign organizations having a similar structure or function [↑](#footnote-ref-9)
10. Information completed on trusts and other unincorporated foreign organizations having a similar structure or function [↑](#footnote-ref-10)
11. A person to whose benefit the Customer acts, including under an agency agreement, contracts of mandate, commission and trust management, when conducting transactions with cash funds and other property. [↑](#footnote-ref-11)
12. This paragraph is to be filled in by foreign citizens and stateless persons only. [↑](#footnote-ref-12)
13. Task Force on Climate Related Financial Disclosures recommendations, UN Framework Convention on Climate Change. [↑](#footnote-ref-13)
14. Negative environmental impact. [↑](#footnote-ref-14)
15. Information and Technical Guide on Best Available Technology. [↑](#footnote-ref-15)