

Annex 2 To R-01.30 ON-BOARDING PROCEDURE

Onboarding Documentation Requirements Table

1. General requirements

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| Form of the documents | <ul style="list-style-type: none"> • Documents that have to be provided as originals or signed by qualified electronic signature or transmitted using electronic means facilitating live video/image streaming, or certified by a public notary, including notary' surname, name, place of business, and its contact details, or properly legalised by are marked as *; • Proper legalisation (e.g. with apostille) is required for copies of documents, issued outside EEA Member States, or territories governed by the France or the UK Law, or OPEC member states (with exception for Columbia) shall be properly legalised (apostille is required) • All documents must be valid; • All documents must be signed by the person that has drawn up the document or the person submitting the document and contain a stamp (if required) (including electronic signature and electronic stamp); • All documents must be clearly visible, of good quality, fully filled-in, complete, not altered and not ruined, all pages must be seen (except for passports); • Documents must not contain alterations (added details, different colour pages and similar); • All documents issued in other countries must be apostilled or legalized, except for documents issued in Estonia, Latvia, Moldova, Russia and Ukraine. |
| ID documents (directors, representatives) | <p>ID documents for individuals verifying their identity are the following:</p> <ul style="list-style-type: none"> • Passport; or • National identity card (issued by the Country member of the EEA or UK), • Driver License (only if with a signature of the holder, issued by the member of the EEA or UK) or; |

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| | <ul style="list-style-type: none"> • Lithuanian Residency Permit. <p>In addition to the above proof of identity, it is allowed to use other foreign country issued documents, however, only if they comply with both below conditions:</p> <ul style="list-style-type: none"> • Laws of the issuing country allows considering such document as personal identity document possible to be used for identification purposes; AND • If such foreign identity document contains all the following information: name, surname, personal code/date of birth, photo, citizenship (unless specifically not required for such type of documents), signature (unless specifically not required for such type of documents). <p>If citizenship is not required for the above type of documents, it is mandatory to record this information additionally.</p> |
| ID document (corporations and other entities) | <p>ID document for corporations and other entities verifying existence thereof is registry extract from [Public] Company registers, containing the following information:</p> <ul style="list-style-type: none"> • Legal name and any additional business or DBA names; • The address of the principal place of business, mailing address, local office or other physical location; • Legal form; • Incorporation number and place of incorporation; • Date of formation or incorporation; • Information on directors; • Issuance date of the registry extract. |
| Validity period | <p>The documents must be valid, up-to-date and reflect current situation. They must be not older than:</p> <ul style="list-style-type: none"> • Registry extract, certificates – 3 months; • Financial statements – last 3 years; • Internal and personal documents (ownership structure, bank account statements, confirmations) – 1 month; • Other documents – 1 month. <p>Should the documents be certified by a notary, legalized or apostilled, such certification may not be older than the above timeframes of the document itself.</p> |

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| Customer questionnaire | <ul style="list-style-type: none"> • Customer questionnaire may only be provided in a form pre-approved by Transactive; • All sections must be filled-in as applicable; • Customer questionnaire must be signed by an authorised representative; • Customer questionnaire must indicate a signing date; • Customer's questionnaire must be appended with supporting documents as applicable. |
| Ownership structure | <p>Official documents, verifying ownership structure, ultimate beneficial owners, must include the following on ultimate beneficial owners:</p> <ul style="list-style-type: none"> • Name, surname, personal code or date of birth (if personal code is not available), citizenship, tax residence, tax identification number (TIN) as well as public sources where the identity of the individual may be verified. |
| Power of Attorney | <ul style="list-style-type: none"> • Power of Attorney must be notarized and apostilled; • Power of Attorney must specify what persons are authorised to perform what actions. |
| Persons subject to authorisations/licencing | <ul style="list-style-type: none"> • Licenced entities must provide their licence or indicate a public source, where this information can be verified; • Supervised (but not licenced) entities must provide documented evidence of their authorisation to carry out certain activities (e.g. decision, registration certificate, etc.) or indicate a public source, where this information can be verified. |

2. Documents/Information according to Customer Type

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| | Documents/Information |
| 2.1. Corporates and Other Entities | |
| Incorporation documents | <ul style="list-style-type: none"> • Full extract from commercial registry* • Extract from official shareholder registry* • Articles of Association* |

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| | | <ul style="list-style-type: none"> • Certificate of Incorporation/ Memorandum of Association/ Act of Formation/Business Registration (BR) Certificate or equivalent* |
| | Business information | <ul style="list-style-type: none"> • Latest financial statement (signed) (if required) • Other documents about source of funds (wealth) (if required) • Documents and/or detailed explanation about the need of use of Transactive services |
| | Structure and people | <ul style="list-style-type: none"> • Ownership structure* • Proof of director's appointment* • Director's ID document* • UBOs' ID documents (every person with more than 25% of shares or voting rights) (if required)* • Other directors' ID documents (if required)* <p><i>In case applying person is not a director:</i></p> <ul style="list-style-type: none"> • Power of Attorney* • Representative's ID document* |
| | Documents to be filled | <ul style="list-style-type: none"> • Application |
| 2.2. Financial Institutions and financial (fiat and/or crypto) services providers | | |
| | Incorporation documents | <ul style="list-style-type: none"> • Full extract from commercial registry* • Extract from official shareholder registry* • Articles of Association* • Certificate of Incorporation/ Memorandum of Association/ Act of Formation/Business Registration (BR) Certificate or equivalent* |
| | Business information | <ul style="list-style-type: none"> • Latest financial statement (signed) • Other documents about source of funds (wealth) (if required) • Documents and/or detailed explanation about the need of use of Transactive services |

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| | | <ul style="list-style-type: none"> • Internal policies/papers with regards to ML/TF risk prevention and risk management • Internal policies / papers with regards to EU / UN / US Sanction implementation |
| | Structure and people | <ul style="list-style-type: none"> • Ownership structure* • Proof of director's appointment* • Director's ID document* • UBOs' ID documents (every person with more than 25% of shares or voting rights) (if required)* • Other directors' ID documents* <p><i>In case applying person is not a director:</i></p> <ul style="list-style-type: none"> • Power of Attorney* • Representative's ID document* |
| | Documents to be filled | <ul style="list-style-type: none"> • EDD Customer's questionnaire |
| | List of documents to be collected as part of EDD in case of <u>virtual accounts product</u> (i.e. when the client of Transactive is a financial institution providing an account to its client - end-user). | <ul style="list-style-type: none"> • Wolfsberg questionnaire (for licensed financial institutions) • AML/CTF/KYC • Financial institution licence, if issued • Description of AML/CTF/KYC and EU Sanctions implementation procedures • If not defined in procedures, the number of AML/CTF/KYC employees and their job descriptions • Report by internal or external auditor re compliance with AML/CTF/KYC requirements |