Appendix No. 9

to the Regulations on acquisition of status of the commodity exchange member –

Limited Liability Company “UKRAINIAN RESOURCE EXCHANGE

**QUESTIONNAIRE**

**OF THE INDIVIDUAL ENTREPRENEUR / INDIVIDUAL**

**CARRYING OUT BUSINESS ACTIVITY (NON-RESIDENT) - THE CLIENT**

**of the Limited Liability Company “UKRAINIAN RESOURCE EXCHANGE”**

### for the purposes of the Law of Ukraine “On prevention and countermeasures against legalization (laundering) of proceeds obtained through crime, financing of terrorism and financing of the proliferation of weapons of mass destruction” No. 361-IX dd 06.12.2019

|  |  |  |
| --- | --- | --- |
| 1. | Surname, name and patronymic of an individual entrepreneur |  |
| 2. | Registration number of the economic entity in the country of residence |  |
| 3. | Date of entry (if any) on inclusion of the Client in the relevant register of economic entities in the country of residence (if any) |  |
| 4. | Place of registration |  |
| 5. | Actual location |  |
| 6. | Contact telephone and fax numbers |  |
| 7. | E-mail, official website (if any) |  |
| 8. | Number of employees (if any) |  |
| 9. | Description of main kinds of economic activity according to the registers of economic entities in the country of residence (if any) |  |
| 10. | Do the kinds of activities the Client actually carries out (is going to carry out in case of newly started activity) correspond to the relevant statutory documents of the Client/ registers of economic entities in the country of residence (if any)?  If no, please specify other kinds of activities the Client carries out | \_\_\_No  \_\_\_Yes |
| 11 | The purpose and character of the future business relationships:  Reveal in detail the content and character of the economic, commercial and production activity of the economic entity a legal entity (the short description of the business model)? The information about taxation regime used by the Client with the copies of the relevant supporting documents ([a single tax payer certificate](https://context.reverso.net/%D0%BF%D0%B5%D1%80%D0%B5%D0%B2%D0%BE%D0%B4/%D0%B0%D0%BD%D0%B3%D0%BB%D0%B8%D0%B9%D1%81%D0%BA%D0%B8%D0%B9-%D1%83%D0%BA%D1%80%D0%B0%D0%B8%D0%BD%D1%81%D0%BA%D0%B8%D0%B9/a+single+tax+payer+certificate), the certificate of VAT payer, etc.).  What is the purpose of the establishing of the business relationships with the Exchange (clarify purchase, sell, purchase and sell)? |  |
| 12. | Has a bankruptcy proceeding been initiated in respect of the individual entrepreneur?  (If yes, please specify the relevant data) | \_\_\_No  \_\_\_Yes |
| 13. | Is the individual entrepreneur being in the winding-up process of the reorganization?  (If yes, please specify the relevant data) | \_\_\_No  \_\_\_Yes |
| 14. | Does the individual entrepreneur be registered/carry out any activity in the territories of the states that are considered as offshore areas under Decree of the Cabinet of Ministers of Ukraine No. 143-r dd 23.02.2011?  (If yes, please specify the details) | \_\_\_No  \_\_\_Yes |

1. **Information on compliance with the sanction/ anti-corruption requirements regime**

|  |  |  |
| --- | --- | --- |
| 1 | Is/Does the individual entrepreneur:  - a citizen of the state that undertakes the armed aggression against Ukraine (except for the citizens of such state who had been given a status of war veteran after 14 April 2014), and/or a person, whose place of permanent residence (stay, registration) is the state that undertakes the armed aggression against Ukraine;  - a person transferring (accepting) assets to (from) Ukraine through depository institutions, banks, other financial institutions and non-bank payment service providers, which place of location and/or registration is the state that undertakes the armed aggression against Ukraine;  - have the sources of funding connected with own financial transactions originating from the state that undertakes the armed aggression against Ukraine?  (If yes, please specify the relevant data) | \_\_\_No  \_\_\_Yes |
| 2 | Is the individual entrepreneur registered in a state (jurisdiction) that doesn’t comply with or improperly follow the recommendations of the international, intergovernmental organizations related to combating the legalization (laundering) of proceeds from crime or financing of terrorism or [proliferation of weapons of mass destruction](https://context.reverso.net/%D0%BF%D0%B5%D1%80%D0%B5%D0%B2%D0%BE%D0%B4/%D0%B0%D0%BD%D0%B3%D0%BB%D0%B8%D0%B9%D1%81%D0%BA%D0%B8%D0%B9-%D1%83%D0%BA%D1%80%D0%B0%D0%B8%D0%BD%D1%81%D0%BA%D0%B8%D0%B9/proliferation+of+weapons+of+mass+destruction)?  (If yes, please specify the relevant data) | \_\_\_No  \_\_\_Yes |
| 3 | Is the individual entrepreneur included in the List of individuals\*? Does he serve as an official representative of a person that is in the List of individuals?  (If yes, please specify the relevant data) | \_\_\_No  \_\_\_Yes |
| 4 | Have special economic and other restrictive measures ([sanctions](https://context.reverso.net/%D0%BF%D0%B5%D1%80%D0%B5%D0%B2%D0%BE%D0%B4/%D0%B0%D0%BD%D0%B3%D0%BB%D0%B8%D0%B9%D1%81%D0%BA%D0%B8%D0%B9-%D1%83%D0%BA%D1%80%D0%B0%D0%B8%D0%BD%D1%81%D0%BA%D0%B8%D0%B9/sanctions)) been applied [according to Article](https://context.reverso.net/%D0%BF%D0%B5%D1%80%D0%B5%D0%B2%D0%BE%D0%B4/%D0%B0%D0%BD%D0%B3%D0%BB%D0%B8%D0%B9%D1%81%D0%BA%D0%B8%D0%B9-%D1%83%D0%BA%D1%80%D0%B0%D0%B8%D0%BD%D1%81%D0%BA%D0%B8%D0%B9/according+to+Article) 5 of the [Law of Ukraine “On Sanctions](https://context.reverso.net/%D0%BF%D0%B5%D1%80%D0%B5%D0%B2%D0%BE%D0%B4/%D0%B0%D0%BD%D0%B3%D0%BB%D0%B8%D0%B9%D1%81%D0%BA%D0%B8%D0%B9-%D1%83%D0%BA%D1%80%D0%B0%D0%B8%D0%BD%D1%81%D0%BA%D0%B8%D0%B9/Law+of+Ukraine+%22On+Sanctions)” in respect of the individual entrepreneur? Is the individual entrepreneur an object of international sanction regime application?  (If yes, please specify the relevant data) | \_\_\_No  \_\_\_Yes |
| 5 | Has the individual entrepreneur the duly outstanding and unexpunged convictions for corruption offences, laundering of proceeds obtained through crime, fraud, financing of terrorism; and is there any confirmation that there are no actual investigations, court proceedings in respect to them? | \_\_\_No  \_\_\_Yes |
| 6 | Is the individual entrepreneur a figure of the investigations/ court proceedings in respect to other persons due to corruption offences, laundering of proceeds obtained through crime, fraud, financing of terrorism?  (If yes, please specify the relevant data) | \_\_\_No  \_\_\_Yes |

\* The term “List of persons” referred to the List of persons related to [terrorist activity](https://context.reverso.net/%D0%BF%D0%B5%D1%80%D0%B5%D0%B2%D0%BE%D0%B4/%D0%B0%D0%BD%D0%B3%D0%BB%D0%B8%D0%B9%D1%81%D0%BA%D0%B8%D0%B9-%D1%83%D0%BA%D1%80%D0%B0%D0%B8%D0%BD%D1%81%D0%BA%D0%B8%D0%B9/terrorist+activity) or [for](https://context.reverso.net/%D0%BF%D0%B5%D1%80%D0%B5%D0%B2%D0%BE%D0%B4/%D0%B0%D0%BD%D0%B3%D0%BB%D0%B8%D0%B9%D1%81%D0%BA%D0%B8%D0%B9-%D1%83%D0%BA%D1%80%D0%B0%D0%B8%D0%BD%D1%81%D0%BA%D0%B8%D0%B9/for) which international sanctions are applied (according to the Article 1 of the Law of Ukraine “On prevention and countermeasures against legalization (laundering) of proceeds obtained through crime, financing of terrorism and financing of the proliferation of weapons of mass destruction” No. 361-IX dd 06.12.2019).

**16. Information about the persons who have the right to dispose of accounts and/or property and are authorized to act on behalf of the Client; or/and about any third parties who are beneficiaries of the financial transactions to be conducted? Underline the required:**

|  |  |  |
| --- | --- | --- |
| No. | Full name (for non-resident individuals - the names to be also specified in Latin letters), citizenship of the individual, passport or other identification document data (series, number, issue date and issuing body), place of residence or stay, taxpayer’s registration card number (Note: to be filled in according to the legal norms of the country of residence of the individual), birth date | Letter of attorney certificated by a notary as a basis for the representation of interests (date, registration number, by whom certificated) \* |
| 1 |  |  |
| 2 |  |  |

\* if there are benefits obtained by a third party from the financial transactions to be conducted, the basis for obtaining these benefits (via a contract, etc.) must be disclosed

1. **Is the individual entrepreneur a public figure or a family member, or related to any politically significant persons - the national public figures?**

**Yes No**

If yes, please fill in the next table

|  |  |  |  |
| --- | --- | --- | --- |
| No. | Name of the public figure (if there are any connected persons, the name of the person to whom they are connected to be specified) | Position that was or is held | Duration (period) of holding the position |
| 1. |  |  |  |
| 2. |  |  |  |

1. **Is the individual entrepreneur a foreign public figure or a figure performing political functions in the international organizations, or a family member, or related to any politically significant persons - the foreign public figures?**

**Yes No**

If yes, please fill in the next table

|  |  |  |  |
| --- | --- | --- | --- |
| No. | Name of the public figure (if there are any connected persons, the name of the person to whom they are connected to be specified) | Position that was or is held | Duration (period) of holding the position |
| 1. |  |  |  |
| 2. |  |  |  |

Notes:

Foreign public figures mean individuals who perform or performed outstanding public functions in foreign states, namely: head of the state, the government, ministers (deputies), members of the parliament or other bodies performing functions of the legislative state body, heads or members of the boards of central banks or clearing houses, members of the higher court, constitutional court or other court bodies, which decisions shall not be appealed, except for appeal due to exceptional circumstances, ambassadors extraordinary and plenipotentiary, attorneys-in-fact and heads of central military authorities, heads of administrative, management and supervisory bodies of state enterprises, members of management bodies of political parties;

Figures performing public functions in the international organizations mean officials of the international organizations who hold or held the position of the manager (director, head of the board, or other) or deputy head in such organizations, or who perform or performed any other management (outstanding public) functions at the highest level, including in the international organizations, members of the international parliament assemblies, judges and officers of the international courts.

1. **Licenses (permits) received by the individual entrepreneur.**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| № | The title of license (permit) | Date and number | [Name](https://context.reverso.net/%D0%BF%D0%B5%D1%80%D0%B5%D0%B2%D0%BE%D0%B4/%D0%B0%D0%BD%D0%B3%D0%BB%D0%B8%D0%B9%D1%81%D0%BA%D0%B8%D0%B9-%D1%83%D0%BA%D1%80%D0%B0%D0%B8%D0%BD%D1%81%D0%BA%D0%B8%D0%B9/Name) of government [authority](https://context.reverso.net/%D0%BF%D0%B5%D1%80%D0%B5%D0%B2%D0%BE%D0%B4/%D0%B0%D0%BD%D0%B3%D0%BB%D0%B8%D0%B9%D1%81%D0%BA%D0%B8%D0%B9-%D1%83%D0%BA%D1%80%D0%B0%D0%B8%D0%BD%D1%81%D0%BA%D0%B8%D0%B9/authority) that [issued the license](https://context.reverso.net/%D0%BF%D0%B5%D1%80%D0%B5%D0%B2%D0%BE%D0%B4/%D0%B0%D0%BD%D0%B3%D0%BB%D0%B8%D0%B9%D1%81%D0%BA%D0%B8%D0%B9-%D1%83%D0%BA%D1%80%D0%B0%D0%B8%D0%BD%D1%81%D0%BA%D0%B8%D0%B9/issued+the+license)  (permit) | License (permit) period |
| 1. |  |  |  |  |
| 2. |  |  |  |  |

1. **Accounts opened by the individual entrepreneur in banking institutions.**

|  |  |  |  |
| --- | --- | --- | --- |
| № | The title of bank | MFO of the bank (specific ID of the bank) | IBAN account number |
| 1. |  |  |  |
| 2. |  |  |  |

1. **Characteristics of the Client’s financial status (for newly registered individual entrepreneur - income, loss and net profit data to be specified if any):**

|  |  |  |
| --- | --- | --- |
|  | For the last reporting period, amount  (ths, UAH) (according to the last reports submitted to the tax authority  (Quarter І, half-year, nine months, year - underline) | For the previous year, amount (ths, UAH)  (according to the last annual reports submitted to the tax authority) |
| Net profit (+) / net loss (-) (or planned for the current year in case of newly started activity): |  |  |
| Net profit from goods/ works/ services sales: |  |  |
| Bank credits: |  |  |
| *including overdue debt to banks* |  |  |

Date of completion:

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(signature) (name)

Seal (if any)