APPROVED
By the decision of the Exchange Committee of
Ukrainian Energy Exchange
Limited Liability Company
Minutes of the meeting
No. 2011 dated September 1, 2025

Chairman of the Exchange Committee

_____ Oleksii DUBOVSKYI

Effective as of September 2, 2025

Regulation on the Customer Questionnaire on the commodity exchange - Ukrainian Energy Exchange Limited Liability Company

(new edition)

Kyiv – 2025

1. Regulation on the Client Questionnaire at the Commodity Exchange - Ukrainian Energy Exchange Limited Liability Company (hereinafter referred to as the Regulations) have been developed for the purpose of UEEX LLC's due diligence of its clients, in accordance with the requirements of the Law of Ukraine "On Prevention and Counteraction to Legalization (Laundering) of Proceeds of Crime, Terrorist Financing and Financing of Proliferation of Weapons of Mass Destruction" (the "Law"), "Regulation on Financial Monitoring by Primary Financial Monitoring Entities, State Regulation and Supervision of Which is Carried Out by the National Securities and Stock Market Commission", approved by the decision of the National Securities and Stock Market Commission No. 176 dated 11.03.2021, the Rules of the Ukrainian Energy Exchange Limited Liability Company and Unified Rules of Financial Monitoring of the Ukrainian Energy Exchange Limited Liability Company and Ukrainian Clearing House Limited Liability Company.

2. The Regulation and its annexes shall be applied, in particular, for the purpose of concluding the Lease Agreement for an exchange seat on the commodity exchange - Ukrainian Energy Exchange, Limited Liability Company, acquisition the status of an exchange trading participant in accordance with the Regulations on Lease of Exchange Places on the Commodity Exchange - Ukrainian Energy Exchange, LLC and/or the Regulations on Organization and Conduct of Exchange Trading in the Purchase and Sale of Raw Wood and Lumber on the Commodity Exchange - Ukrainian Energy Exchange, LLC, as well as to ensure that the received and existing documents/data and information about the client are up-to-date.
In the event of any discrepancies in the content of the Client Questionnaire at the Commodity Exchange - Ukrainian Energy Exchange Limited Liability Company, the forms that are integral appendices to this Regulation shall prevail.

3. The Client Questionnaire at the Commodity Exchange - Ukrainian Energy Exchange Limited Liability Company (hereinafter referred to as the Client Questionnaire) was developed by UEEX LLC as a subject of primary financial monitoring, based on paragraph 4 of part two of Article 8 of the Law, in order to obtain the information necessary for the proper verification of the client.

4. The forms of the client questionnaires are approved in the respective editions depending on the type of UEEX LLC client:
- legal entity (Annex 1 to this Regulation);
- individual entrepreneur (Annex 2 hereto);
- branch/representative office of a legal entity (Annex 3 hereto).

5. A client of UEEX LLC within the meaning of these Regulation is any person who:
- requests services from the commodity exchange - Ukrainian Energy Exchange Limited Liability Company;
- uses the services of a commodity exchange - Ukrainian Energy Exchange Limited Liability Company;
- as well as other persons who acquire the status of a commodity exchange client - Ukrainian Energy Exchange Limited Liability Company in accordance with the requirements of the current legislation of Ukraine.

6. The client questionnaire is filled out by the client of UEEX LLC, stamped (if available), and approved with a signature:
- the head or other authorized person of a legal entity;
- an individual entrepreneur;
- Head of a branch or representative office of a legal entity.

7. By signing and affixing the seal (if available) of the Client Questionnaire, the client of UEEX LLC certifies that all information specified in the Client Questionnaire is complete, valid, and accurate, and that the source of property and assets is exclusively the client's lawful economic activity on the commodity exchange - Ukrainian Energy Exchange Limited Liability Company.

8. UEEX LLC guarantees that all information provided by the client of UEB LLC in the Client Questionnaire will be used solely for the purpose of conducting a proper client verification and will be stored in accordance with the appropriate level of confidentiality.

9. Forms for filling out the Client Questionnaires are available in the relevant section of the accreditation area chosen by the Client on the Exchange's website “Electronic Trading. Accreditation on-line” (at accredit.ueex.com.ua).

10. UEEX LLC reserves the right to request and receive additional information based on the results of filling out the Client Questionnaire (letters, certificates, etc.).

Annex 1 to the Regulations on
Questionnaire for a client on a commodity exchange
Ukrainian Energy Exchange
Limited Liability Company

QUESTIONNAIRE
of a legal entity - client on the commodity exchange
Ukrainian Energy Exchange Limited Liability

1.	**Identification code according to the Unified State Register of Legal Entities, Individual Entrepreneurs and Public Organizations / registration number of the business entity in the country of residence**	
2.	**Full name of the client**	
3.	**Location (legal address)**	
4.	**Actual location**	
5.	**Contact phone numbers**	
6.	**E-mail address, official website (if any)**	
7.	**Does the client belong to non-profit organizations in accordance with the Law of Ukraine "On Preventing and Combating the Legalization (Laundering) of Proceeds from Crime, Financing of Terrorism and Financing of the Proliferation of Weapons of Mass Destruction"? (if so, please provide relevant details)**	☐ yes (_____) ☐ no
8.	**The purpose of business relations**	☐ purchase of an exchange-traded commodity ☐ sale of an exchange-traded commodity ☐ OTC operations ☐ others (_____)
9.	**Nature of business relations**	☐ use of exchange-traded commodities in business activities ☐ sale of manufactured products ☐ use of exchange-traded commodities for own needs ☐ use of exchange-traded commodities for resale ☐ registration of an OTC operation ☐ others(_____)
10.	**Whether the types of activities that the client is actually engaged in (plans to engage in in the case of newly started activities) correspond to the types of activities, - types of activities included in the Unified State Register of Legal Entities, Individual Entrepreneurs and Public Organizations in accordance with the Classifier of Economic Activities (for business entities - residents of Ukraine); - entered in the relevant constituent documents of the client/registers of business entities in the country of residence (if any) (for non-residents of Ukraine)? If not, indicate what other activities the client is engaged**	☐ так ☐ Ні (_____)

	in that are not included in the - Unified State Register of Legal Entities, Individual Entrepreneurs and Public Organizations (for business entities that are residents of Ukraine); - relevant constituent documents of the client/registers of business entities in the country of residence (if any) (for non-residents of Ukraine).	
11.	**Has the client been reorganized (merger, consolidation, division, transformation) or spun off, and is the client a legal successor of another legal entity? (If yes, please provide the relevant data, date and content)**	☐ yes (_____) ☐ no
12.	**Has there been any change of participants or shareholders (10% or more), ultimate beneficial owners, managers, members of the management board, supervisory board, or other governing bodies in the last two years? (If yes, please specify the content of the changes and their date)**	☐ yes (_____) ☐ no
13.	**Are there any trust relations in the client's ownership structure? (If so, please provide the relevant data)**	☐ yes (_____) ☐ no
14.	**Is the business entity in the process of termination (through liquidation, merger, acquisition, division, transformation) or has the competent authority (client's management body, court, etc.) made a decision on liquidation/termination of the business entity? (If yes, please provide the relevant data)**	☐ yes (_____) ☐ no
15.	**Is the business entity subject to bankruptcy proceedings (if so, please provide the relevant information)?**	☐ yes (_____) ☐ no
16.	**Does the business entity operate in the territories of states classified as offshore zones in accordance with the Resolution of the Cabinet of Ministers of Ukraine No. 143-r dated 23.02.2011 (if yes, please provide details)**	☐ yes (_____) ☐ no
17.	**Is the ultimate beneficial owner of the client an internally displaced person?**	☐ yes ☐ no
18.	**Is the ultimate beneficial owner of the client a person registered in the temporarily occupied territories in Donetsk and Luhansk regions, the Autonomous Republic of Crimea and the city of Sevastopol?**	☐ yes ☐ no

19. Compliance with international sanctions/anti-corruption requirements:

19.1.	**Has the company, in particular, any entity of the holding/group to which the applicant belongs, its officials been subject to Ukrainian/international sanctions (including, but not limited to, sanctions of the United Nations, the United States, the European Union, the United Kingdom of Great Britain and Northern Ireland) for the entire period of the company's existence? (If yes, please provide the relevant data)**	☐ yes (_____) ☐ no
19.2.	**Has the ultimate beneficial owner been subject to any Ukrainian/international sanctions (including, but not limited to,**	☐ yes (_____)

	sanctions imposed by the United Nations, the United States, the European Union, the United Kingdom of Great Britain and Northern Ireland)? (якщо так, зазначте відповідні дані)	☐ no
19.3.	**Whether the business entity is a legal entity:** **- a resident of a state that carries out armed aggression against Ukraine;** **- the ultimate beneficial owner of which is a citizen of a state that carries out armed aggression against Ukraine (except for citizens of such a state who were granted the status of a combatant after April 14, 2014), and/or a person whose place of permanent residence (stay, registration) is a state that carries out armed aggression against Ukraine;** **- the founder (participant, shareholder) or owner of which, directly or indirectly through other legal entities (trusts, other similar legal entities), is a state that carries out armed aggression against Ukraine;** **- established and registered in accordance with the laws of Ukraine, the ultimate beneficial owner, member or participant (shareholder) with a share in the authorized capital of 10 percent or more of which is the Russian Federation, a citizen of the Russian Federation, except for those legally residing in Ukraine, or a legal entity established and registered in accordance with the laws of the Russian Federation;** **- whose sources of funds originate from a state that carries out armed aggression against Ukraine;** **- that transfers (receives) assets to (from) Ukraine using depository institutions, banks, other financial institutions and non-bank payment service providers whose location and/or registration is in the state that carries out armed aggression against Ukraine?** **(if yes, please provide the relevant data)**	☐ yes (_____) ☐ no
19.4.	**Is the business entity/ultimate beneficial owner of the business entity a person whose account transactions are prohibited by the National Bank of Ukraine (a resident of the Russian Federation/Republic of Belarus)?** **(if yes, please provide the relevant data)**	☐ yes (_____) ☐ no
19.5.	**Does the business entity/ultimate beneficial owner interact with persons subject to international/Ukrainian sanctions, including SDNs, non-SDNs (contractual relations, including joint venture agreements, participation in public associations, joint beneficial ownership of other legal entities, financing in any form, personal connections)?** **(If yes, please provide the relevant data)**	☐ yes(_____) ☐ no
19.6.	**Does the ultimate beneficial owner/members of the management body/members of the supervisory body of the company have a criminal record for corruption offences, money laundering, fraud, or terrorist financing?** **(if yes, please provide relevant details)**	☐ yes (_____) ☐ no
19.7.	**Is the business entity or its ultimate beneficial owner/members of management bodies/members of the supervisory body involved in any ongoing criminal proceedings for corruption, money laundering, fraud, or terrorist financing?** **(if so, please provide relevant details)**	☐ yes (_____) ☐ no

20. Information about the management bodies and their composition:

№	Surname, first name patronymic (if any)	Date of birth	Registration number of the taxpayer's account card (note: to be filled in in accordance with the law of the country of residence of the individual)*[1]	Country of permanent residence	Position of a member of the management body (including supreme, controlling, executive management body)
1.					
2.					

*[1] - in the absence of the registration number of the taxpayer's account card, the series and number of the passport or ID card details of a member of the management body shall be indicated.

21. Identification data of persons authorized to manage accounts and/or property:

№	Surname, first name patronymic (if any)	Date of birth	Registration number of the taxpayer's account card (note: to be filled in in accordance with the law of the country of residence of the individual)*[2]	Country of citizenship	Country of permanent residence
1.					
2.					
3.					

*[2] - in the absence of the registration number of the taxpayer's account card, the series and number of the passport or ID card data shall be indicated.

22. List of founders (participants, shareholders) of the legal entity with indication of the share:

№	Full name of the legal entity/ Surname, first name, patronymic (if any) of an individual	Surname, name, of a non-resident individual (if any) in Latin letters	Identification code and location of the legal entity/ Country of citizenship of an individual, address of permanent residence, date of birth, registration number of the taxpayer's account card (note: to be filled in in accordance with the law of the country of residence of the individual) *[3]	Share (%) in the authorized capital (with indication of direct or indirect ownership)
1.				
2.				
3.				

*[3] - in the absence of the registration number of the taxpayer's account card, the series and number of the passport or ID card data shall be indicated.

23. Identification data of individuals who are the ultimate beneficial owners (controllers)

№	Surname, first name, patronymic (if any) of an individual	Surname, first name of a non-resident individual (if any) in Latin letters	Country of citizenship, address of permanent residence, date of birth, registration number of the taxpayer's registration card (note: to be filled in in accordance with the law of the country of residence of the individual) *[4]	Share of of beneficial ownership as a percentage (%)	Level, degree of beneficial ownership (direct or indirect decisive influence)

1.					
2.					

*[4] - in the absence of the registration number of the taxpayer's account card, the series and number of the passport or ID card data shall be indicated.

24. Are there any politically exposed persons (national public figures [*5], foreign public figures [*6] and figures performing public functions in international organizations [*7]) or their family members [*8] or persons associated with politically exposed persons [*9]?

☐ Yes ☐ No

If **"Yes",** please select the status and fill in the following table

☐ a politically significant person; ☐ family member; ☐ a person related to a politically exposed person

№	Surname, first name, patronymic (if any) of the politically exposed person (if there are family members and/or related persons, the surname, first name, patronymic (if any) of the person with whom the person is related shall be indicated additionally)	Position hold or held in the past by politically significant person	Duration (period from / to) of the position
1.			
2.			

*[5] National PPs are individuals who perform or have performed prominent public functions in Ukraine in accordance with clause 37 of part 1 of Article 1 of the Law of Ukraine "On Prevention and Counteraction to Legalization (Laundering) of Proceeds of Crime, Financing of Terrorism and Financing of Proliferation of Weapons of Mass Destruction".

*[6] Foreign public figures are individuals who perform or have performed prominent public functions in foreign countries, in accordance with clause 28 of part 1 of Article 1 of the Law of Ukraine "On Prevention and Counteraction to Legalization (Laundering) of Proceeds of Crime, Terrorist Financing and Financing of Proliferation of Weapons of Mass Destruction".

*[7] Officials performing public functions in international organizations - officials of international organizations who hold or have held the position of a manager (director, chairman of the board or other) or deputy manager in such organizations or perform or have performed any other managerial (prominent public) functions at the highest level, including in international intergovernmental organizations, members of international parliamentary assemblies, judges and senior officials of international courts.

*[8] Family members - husband/wife or persons equivalent to them, son, daughter, stepson, stepdaughter, adopted person, person under guardianship or custody, son-in-law and daughter-in-law and persons equivalent to them, father, mother, stepfather, stepmother, adoptive parents, guardians or trustees.

*[9] Persons associated with politically exposed persons are individuals who meet at least one of the following criteria:
1) it is known that such persons have joint beneficial ownership of a legal entity, trust or other similar legal entity with a politically exposed person or have any other close business ties with politically exposed persons; 2) are the ultimate beneficial owners of a legal entity, trust or other similar legal entity that is known to have been de facto established for the benefit of politically exposed persons.

UEEX LLC reserves the right to request and receive additional information, as well as to take sufficient measures to establish the source of wealth (assets) and the source of funds of clients who (ultimate beneficial owners of which) are politically exposed persons, their family members and persons related to politically exposed persons.

25. Does the legal entity have separate divisions (branches, representative offices, etc.):

☐ Yes ☐ No

If "Yes", please fill in the following table

№	Name of the separate subdivision	Type of subdivision	Location address
1.			
2.			

Date of filling:
«____» _____20___

_____ _____ _____
(position of the head or authorized person) *(signature)* *(Name and surname)*

seal (if any)

Annex 2 to the Regulations on
Questionnaire for a client on a commodity exchange
Ukrainian Energy Exchange
Limited Liability Company

QUESTIONNAIRE
of an individual entrepreneur - a client at a commodity exchange
Ukrainian Energy Exchange Limited Liability Company

1.	**Surname, name, patronymic of the individual entrepreneur**	
2.	**Registration number of the taxpayer's account card / registration number of the business entity in the country of residence**	
3.	**Location / Place of registration**	
4.	**Actual location**	
5.	**Contact phone numbers**	
6.	**E-mail address, official website (if any)**	
7.	**Purpose of the business relationship**	☐ purchase of an exchange-traded commodity ☐ sale of an exchange-traded commodity ☐ OTC operations ☐ others (_____)
8.	**Nature of business relations**	☐ use of exchange-traded commodities in business activities ☐ use of exchange-traded commodities for own needs ☐ use of exchange-traded commodities for resale ☐ registration of an OTC operation ☐ others(_____)
9.	**Do the types of activities actually carried out by the client (or planned to be carried out in case of newly started activities) correspond to the types of activities entered in the Unified State Register of Legal Entities, Individual Entrepreneurs and Public Organizations (for business entities - residents of Ukraine)?** **- information entered in the relevant constituent documents of the client/registers of business entities in the country of residence (if any) (for non-residents of Ukraine)?** **If not, indicate what other activities the client is engaged in that are not included in the USREOUFOPGF (for business entities resident in Ukraine);** **- relevant constituent documents of the client/registers of business entities in the country of residence (if any) (for non-residents of Ukraine).**	☐ yes (_____) ☐ no
10.	**Whether the individual entrepreneur is in the process of termination (if so, please provide the relevant data)**	☐ yes (_____) ☐ no
11.	**Is the individual entrepreneur subject to bankruptcy proceedings (if so, please provide the relevant**	☐ yes (_____) ☐ no

	information)?	
12.	**Does the individual entrepreneur conduct activities in the territories of states classified as offshore zones in accordance with the Resolution of the Cabinet of Ministers of Ukraine No. 143-p dated February 23, 2011 (if yes, please provide details)**	☐ yes (_____) ☐ no
13.	**Is an individual entrepreneur an internally displaced person?**	☐ yes ☐ no
14.	**Is a sole proprietor a person registered in the temporarily occupied territories in Donetsk and Luhansk oblasts, the Autonomous Republic of Crimea and the city of Sevastopol?**	☐ yes ☐ no

15. Compliance with international sanctions/anti-corruption requirements:

15.1.	**Whether the individual entrepreneur is** **- a citizen of a state that carries out armed aggression against Ukraine (except for citizens of such a state who were granted the status of a combatant after April 14, 2014) and/or a person whose place of permanent residence (stay, registration) is a state that carries out armed aggression against Ukraine;** **- a person who transfers (receives) assets to (from) Ukraine using depository institutions, banks, other financial institutions and non-bank payment service providers whose location and/or registration is in a state that carries out armed aggression against Ukraine?** **(if yes, please provide the relevant data)**	☐ yes (_____) ☐ no
15.2.	**Is the individual entrepreneur a person whose account transactions are prohibited by the National Bank of Ukraine (a resident of the Russian Federation/Republic of Belarus)?** **(If yes, please provide the relevant data)**	☐ yes (_____) ☐ no
15.3.	**Has the individual entrepreneur been subject to Ukrainian/international sanctions (in particular, but not exclusively, sanctions of the United Nations, the United States, the European Union, the United Kingdom of Great Britain and Northern Ireland) for the entire period of the business entity's existence?** **(If yes, please provide the relevant data)**	☐ yes (_____) ☐ no
15.4.	**Does the individual entrepreneur interact with persons subject to international/Ukrainian sanctions, including SDNs, non-SDNs (contractual relations, including joint venture agreements, participation in public associations, joint beneficial ownership of legal entities, financing in any form, litigation, personal connections)?** **(If yes, please provide relevant details)**	☐ yes (_____) ☐ no
15.6.	**Does the individual entrepreneur have a criminal record for corruption, money laundering, fraud, or financing terrorism?** **(If so, please provide the relevant details.)**	☐ yes (_____) ☐ no

15.7.	**Is the individual entrepreneur involved in any ongoing criminal/judicial proceedings for corruption, money laundering, fraud, or terrorist financing? (If so, please provide relevant details.)**	☐ yes (_____) ☐ no

16. Identification data of the individual entrepreneur and persons authorized to manage accounts and/or property:

№	Last name, first name patronymic (if any)	Date of birth	Registration number of the taxpayer's account card (note: to be filled in in accordance with the law of the country of residence of the individual *[1]	Country of citizenship	Country of permanent residence
1.					
2.					

*[1] - in the absence of the registration number of the taxpayer's account card, the series and number of the passport or ID card data shall be indicated.

17. Is the individual entrepreneur a politically exposed person (national public figure)*[2], a foreign public figure *[3], a figure who performs public functions in international organizations *[4]) or a member of her family *[5] or a person related to a politically exposed person *[6]?

☐ Yes ☐ No

If **"Yes",** please select the status and fill in the following table

☐ a politically significant person; ☐ family member; ☐ a person related to a politically exposed person

№	Surname, first name, patronymic (if any) of the politically exposed person (if there are family members and/or related persons, the surname, first name, patronymic (if any) of the person with whom the person is related shall be indicated additionally)	Position hold or previously held by a politically significant person	Duration (period) of the position
1.			
2.			

*[2] National PPs are individuals who perform or have performed prominent public functions in Ukraine in accordance with clause 37 of part 1 of Article 1 of the Law of Ukraine "On Prevention and Counteraction to Legalization (Laundering) of Proceeds of Crime, Financing of Terrorism and Financing of Proliferation of Weapons of Mass Destruction".

*[3] Foreign public figures are individuals who perform or have performed prominent public functions in foreign countries, in accordance with clause 28 of part 1 of Article 1 of the Law of Ukraine "On Prevention and Counteraction to Legalization (Laundering) of Proceeds of Crime, Terrorist Financing and Financing of Proliferation of Weapons of Mass Destruction".

*[4] Officials performing public functions in international organizations - officials of international organizations who hold or have held the position of a manager (director, chairman of the board or other) or deputy manager in such organizations or perform or have performed any other managerial (prominent public) functions at the highest level, including in international intergovernmental organizations, members of international parliamentary assemblies, judges and senior officials of international courts.

*[5] Family members - husband/wife or persons equivalent to them, son, daughter, stepson, stepdaughter, adopted person, person under guardianship or custody, son-in-law and daughter-in-law and persons equivalent to them, father, mother, stepfather, stepmother, adoptive parents, guardians or trustees.

*[6] Persons associated with politically exposed persons are individuals who meet at least one of the following criteria:

1) it is known that such persons have joint beneficial ownership of a legal entity, trust or other similar legal entity with a politically exposed person or have any other close business ties with politically exposed persons; 2) are the ultimate beneficial owners of a legal entity, trust or other similar legal entity that is known to have been de facto established for the benefit of politically exposed persons.

UEEX LLC reserves the right to request and receive additional information, as well as to take sufficient measures to establish the source of wealth (assets) and the source of funds of clients who (ultimate beneficial owners of which) are politically exposed persons, their family members and persons related to politically exposed persons.

18. Characteristics of the client's financial condition (for newly registered individual entrepreneurs, data on profit, loss and net income are indicated if available):

	For the last reporting period, the amount (in UAH, kopecks) or the corresponding monetary unit in which the reports are submitted (according to the latest financial statements submitted to the fiscal authorities (first quarter, six months, nine months, year)	For the same reporting period of the previous year, the amount (in UAH, kopecks) or the relevant currency in which the reports are submitted (according to the reports submitted to the fiscal authorities for the same reporting period of the previous reporting year)
The amount of income is for individual entrepreneurs and single tax payers[*7]		
The total amount of income included in the total annual taxable income is for individual entrepreneurs of the general taxation system[*7]		

*[7]- is to be filled in by a non-resident individual carrying out entrepreneurial activities, if desired.

Date of filling:
«____» _____20___

_____ _____

(surname, name and patronymic of the individual entrepreneur or his/her authorized representative) *(signature)*

seal
(if any)

Annex 3 to the Regulations on
Questionnaire for a client on a commodity exchange
Ukrainian Energy Exchange
Limited Liability Company

QUESTIONNAIRE
Branches/representatives of the legal entity - client on the commodity exchange
Ukrainian Energy Exchange Limited Liability Company

1.	**Identification code of the separate subdivision according to the Unified State Register of Legal Entities, Individual Entrepreneurs and Public Organizations**	
1.1.	**dentification code of the legal entity (to which the separate subdivision belongs) according to the Unified State Register of Legal Entities, Individual Entrepreneurs and Public Organizations**	
2.	**Full name of the client's branch/representative office**	
3.	**Location / Place of registration / Legal address of the client's branch / representative office**	
4.	**Actual location of the client's branch/representative office**	
5.	**Contact phone numbers**	
6.	**E-mail address, official website (if any)**	
7.	**Number of employees according to the staffing tabl**	
8.	**Purpose of business relations**	☐ purchase of an exchange-traded commodity ☐ sale of an exchange-traded commodity ☐ OTC operations ☐ others (_____)
9.	**The nature of business relations**	☐ use of exchange goods in economic activity ☐ sale of manufactured products ☐ use of exchange goods for personal needs ☐ use of exchange goods for resale purposes ☐ registration of an over-the-counter transaction ☐ other (_____)
10.	**Description of the main types of economic activity in the format:** **Code of economic activity according to the classifier of Ukraine / Name (Description)**	
11.	**Do the types of activities actually carried out (or planned to be carried out in case of newly started activities) by the client's branch/representative office correspond to the types of activities listed in the Unified State Register of Legal Entities, Individual Entrepreneurs and Public Organizations?** **If not, indicate what other activities the branch/representative office is engaged in that are not included in the Unified State Register of Legal Entities, Individual Entrepreneurs and Public Organizations**	☐ yes ☐ no (_____)

12.	**Has the competent authority (branch/representative office, court, etc.) made a decision to liquidate/terminate the branch/representative office? (if yes, please provide the relevant data)**	☐ yes (_____) ☐ no
13.	**Does the client's branch/representative office operate in the territories of states classified as offshore zones in accordance with the Resolution of the Cabinet of Ministers of Ukraine No. 143-p dated February 23, 2011 (if yes, please provide details)**	☐ yes (_____) ☐ no

14. Compliance with international sanctions/anti-corruption requirements:

14.1.	**Whether the business entity is a branch/representative office of a legal entity:** **- a resident of a state that carries out armed aggression against Ukraine;** **- the ultimate beneficial owner of which is a citizen of a state that carries out armed aggression against Ukraine (except for citizens of such a state who were granted the status of a combatant after April 14, 2014), and/or a person whose place of permanent residence (stay, registration) is a state that carries out armed aggression against Ukraine;** **- the founder (participant, shareholder) or owner of which, directly or indirectly through other legal entities (trusts, other similar legal entities), is a state that carries out armed aggression against Ukraine;** **- established and registered in accordance with the legislation of Ukraine, the ultimate beneficial owner, member or participant (shareholder) with a share in the authorized capital of 10 percent or more of which is the Russian Federation, a citizen of the Russian Federation, except for those legally residing in Ukraine, or a legal entity established and registered in accordance with the legislation of the Russian Federation;** **- a member or participant (shareholder) with a share in the authorized capital of 10 percent or more, which is a citizen of the Russian Federation, in addition to legally residing in Ukraine;** **- that transfers (receives) assets to (from) Ukraine using depository institutions, banks, other financial institutions and non-bank payment service providers whose location and/or registration is in the state that carries out armed aggression against Ukraine?** **(if yes, specify the relevant data)**	☐ yes (_____) ☐ no
14.2.	**Is the business entity/ultimate beneficial owner of the business entity a person whose expense transactions are prohibited by the National Bank of Ukraine (a resident of the Russian Federation/Republic of Belarus)?** **(if yes, specify the relevant data)**	☐ yes (_____) ☐ no
14.3.	**Were Ukrainian/international sanctions applied to the branch/representative office of the client, in particular, any business entity of the holding/group to which the applicant belongs, its officials (in particular, but not exclusively, sanctions of the UN, the USA, the European Union, the United Kingdom of Great Britain and Northern Ireland) for the entire period of the company's existence?** **(if yes, specify the relevant data)**	☐ yes (_____) ☐ no

12.4.	**Have Ukrainian/international sanctions (in particular, but not exclusively, sanctions of the UN, the USA, the European Union, the United Kingdom of Great Britain and Northern Ireland) been applied to the head of the client's branch/representation? (if yes, specify the relevant data)**	☐ yes (_____) ☐ no
12.5.	**Does the client's branch/representative office interact with persons subject to international/Ukrainian sanctions, in particular SDN, non-SDN (contractual relations, including an agreement on joint activities, participation in public associations, joint beneficial ownership by other legal entities, financing in in any form, litigation, personal relationships)? (if yes, specify the relevant data)**	☐ yes (_____) ☐ no
12.6.	**Does the head of the client's branch/representative office have a criminal record for corruption, money laundering, fraud, or terrorist financing? (If so, please provide relevant details)**	☐ yes (_____) ☐ no
12.7.	**Is the head of the client's branch/representative office involved in any ongoing criminal/judicial proceedings for corruption, money laundering, fraud, or terrorist financing? (if so, please provide relevant details)**	☐ yes (_____) ☐ no

13. Information on management bodies and their composition:

№	Surname, first name, patronymic (if available)	Date of birth	Registration number of the taxpayer's account card (note: filled out in accordance with the laws of the country of residence of an individual)*[1]	Country of permanent residence	The position of a member of the management body (including higher, controlling, executive management body)
1.					
2.					

*[1] - in the absence of the registration number of the taxpayer's account card, the series and number of the passport or the ID card data of the member of the management body are indicated.

14. identification data of persons who have the right to dispose of accounts and/or property of the client's branch/representative office:

№	Surname, first name, patronymic (if available)	Date of birth	Registration number of the taxpayer's account card (note: filled out in accordance with the laws of the country of residence of an individual)*[2]	Country of citizenship	Country of permanent residence
1.					
2.					

*[2] - in the absence of the registration number of the taxpayer's account card, the series and number of the passport or ID card data are indicated.

15. Is there a politically significant person (a national public figure) among the natural persons specified in points 13-14 of this Questionnaire *[3], a foreign public figure *[4], an individual who performs public functions in international organizations *[5]) or a

member of family [*6] or a person related to a politically significant person [*7]?

☐ Yes ☐ No

If "**Yes**", please select the status and fill in the following table

☐ a politically significant person; ☐ family member; ☐ a person related to a politically significant person

№	Surname, first name, patronymic (if available) of a politically significant person (if there are family members and/or related persons, additionally indicate the surname, first name, patronymic (if available) of the person with whom tied)	Position hold or previously held by a politically significant person	Duration (period from/till) of employment
1.			
2.			

[*3] National PPs are individuals who perform or have performed prominent public functions in Ukraine in accordance with clause 37 of part 1 of Article 1 of the Law of Ukraine "On Prevention and Counteraction to Legalization (Laundering) of Proceeds of Crime, Financing of Terrorism and Financing of Proliferation of Weapons of Mass Destruction".

[*4] Foreign public figures are individuals who perform or have performed prominent public functions in foreign countries, in accordance with clause 28 of part 1 of Article 1 of the Law of Ukraine "On Prevention and Counteraction to Legalization (Laundering) of Proceeds of Crime, Terrorist Financing and Financing of Proliferation of Weapons of Mass Destruction".

[*5] Officials performing public functions in international organizations - officials of international organizations who hold or have held the position of a manager (director, chairman of the board or other) or deputy manager in such organizations or perform or have performed any other managerial (prominent public) functions at the highest level, including in international intergovernmental organizations, members of international parliamentary assemblies, judges and senior officials of international courts.

[*6] Family members - husband/wife or persons equivalent to them, son, daughter, stepson, stepdaughter, adopted person, person under guardianship or custody, son-in-law and daughter-in-law and persons equivalent to them, father, mother, stepfather, stepmother, adoptive parents, guardians or trustees.

[*7] Persons associated with politically exposed persons are individuals who meet at least one of the following criteria:
1) it is known that such persons have joint beneficial ownership of a legal entity, trust or other similar legal entity with a politically exposed person or have any other close business ties with politically exposed persons; 2) are the ultimate beneficial owners of a legal entity, trust or other similar legal entity that is known to have been de facto established for the benefit of politically exposed persons.

UEEX LLC reserves the right to request and receive additional information, as well as to take sufficient measures to establish the source of wealth (assets) and the source of funds of clients who (ultimate beneficial owners of which) are politically exposed persons, their family members and persons related to politically exposed persons.

Date of filling:
«____» _____20___

_____ _____ _____

(position of manager or authorized person) *(signature)* *(Name and SURNAME)*

seal (if any)