

## SCHEDULE 1

### AML FORM

The Client must provide GESSEL with the basic information covered by this form in order to enable compliance with arts. 34 *et seq.* of the legislative Act of 1 March 2018 regarding counteraction of money laundering and financing of terrorism (“**the AML Act**”):

[1] Client			
Please fill in column [A] for a Client who is a natural person or column [B] for a Client who is another entity.			
[A] Natural person		[B] Legal entity, other organisational entity	
Given name, surname:		Business name:	
Citizenship:		Organisational form:	
PESEL no.: <i>If no PESEL no. has been assigned, please specify the date of birth and the country of birth</i>		Seat or place of operations – address:	
For a natural person operating as a sole trader: – Business name – NIP no. (or, for foreign entrepreneur, another relevant identification no.), – Main place of operations – address:		NIP no.: <i>If no NIP no. has been assigned, please specify the country of registration, the relevant register, the date of registration, and the register entry no. (and/or other relevant registration and identification details):</i>	
Identity document (complete with no.):		Names, given names, and PESEL nos. of persons representing the Client: <i>If no PESEL no. has been assigned, please specify the date of birth and the country of birth</i>	
NB: natural persons as well as other entities must also provide beneficial owner information (folio 2) and PEP information (folio 3).			

[2] Client's beneficial owner	
Given names and surnames of beneficial owners:	
<p>As defined in art. 2.2.1) of the AML Act, a <b>beneficial owner</b> is a natural person, or natural persons, exercising direct or indirect control over the client by virtue of certain rights arising from legal or factual circumstances enabling exercise of decisive influence on the acts or actions taken by the client, or a natural person, or natural persons on whose behalf business relations are established or an occasional transaction is performed, including:</p> <p>a) In the case of a client who is a legal person other than a company whose securities are admitted to trading in a regulated market subject to disclosure requirements in accordance with European Union law or equivalent laws of a third state:</p> <ul style="list-style-type: none"> <li>– A natural person who is a shareholder of the client owning more than 25% of the total number of shares in such legal entity;</li> <li>– A natural person controlling more than 25% of the aggregate number of the votes in the decision-making body of the client, also as a pledgee or an entity using the shares of another or pursuant to an arrangement with other holders of voting rights;</li> <li>– A natural person exercising control over a natural person, or natural persons, who jointly own more than 25% of the total number of shares in the client or who jointly control more than 25% of the aggregate number of the votes in the decision-making body of the client, also as a pledgee or an entity using the shares of another or pursuant to an arrangement with other holders of voting rights;</li> <li>– A natural person exercising control over the client by virtue of holding vis a vis that legal person the rights referred to in the legislative Act of 29 September 1994 regarding accounting and/or</li> <li>– A natural person holding a senior managerial position – in the event of documented impossibility of establishing, or doubts as to, the identity of the natural persons referred to in items one, two, three and four and in the event that there is no suspicion of money laundering or financing of terrorism;</li> </ul> <p>b) In the case of a client who is a trust: the founder, the trustee, the supervisor (if appointed), the beneficiary, or another person exercising control over the trust;</p> <p>c) In the case of a client who is a sole trader with respect to whom no prerequisites or circumstances suggesting possible control over such client by another natural person or natural persons have been established, it shall be presumed that such client is simultaneously the beneficial owner.</p>	

[3] Politically exposed person (PEP)		
Is the Client a natural person holding prominent political office, a family member of such a person, or a known close collaborator of such person ?	YES	NO
Is the Client's beneficial owner a natural person holding prominent political office, a family member of such a person, or a known close collaborator of such person?	YES	NO
<p>As defined in art. 2.2.3), 11) and 12) of the AML Act:</p> <p>a) A <b>politically exposed person</b> ("PEP") is a natural person holding a prominent position or serving in important public capacities, including heads of state, heads of government, ministers, vice ministers, secretaries of state, and junior secretaries of state, including the President of the Republic of Poland, the Prime Minister, and Deputy Prime Ministers, members of parliament and of similar legislative bodies, including parliamentary deputies and senators, members of the governing bodies of political parties, members of supreme courts, constitutional tribunals and of other high courts whose decisions are not subject to ordinary appeal, including Supreme Court judges, Constitutional Tribunal judges, Supreme Administrative Court judges, and judges of the regional administrative courts and appeals courts, members of treasury tribunals and of the boards of central banks, including the President and Board members of the National Bank of Poland, ambassadors, charges d'affaires, and senior military officers, members of administrative bodies, management bodies, and supervisory bodies of state-owned enterprises, including managers of state-owned enterprises and members of the management boards and supervisory boards of companies in which at least half of the shares are held by the State Treasury or by other state legal entities, directors, deputy directors, and members of the governing bodies of international organizations, persons with equivalent roles in such organisations, and general directors in public authorities and in central state agencies, general directors of <i>urzędy wojewódzkie</i> (state, as opposed to self-government, authorities in Poland's administrative regions) and heads of field offices of special governmental entities;</p> <p>b) A family member of a PEP is a spouse or permanent partner of a PEP, a child of a PEP and of her/his spouse or partner, and a parent of a PEP;</p> <p>c) A person known to be a close associate or cooperating individual of a PEP is a natural person who is the beneficial owner of legal entities, organisational entities without legal personality, and/or trusts together with a PEP, a persons who otherwise maintains a close relationship with a PEP in connection with her/his business operations, a natural person who is the sole beneficial owner of legal entities, organisational entities without legal personality, and/or trusts which are known to have been established with a view to actual benefits for a person holding prominent political office.</p>		

[4] Person acting for the Client	
Given name, surname:	
Citizenship:	
PESEL no.: <i>If no PESEL no. has been assigned, please specify the date of birth and the country of birth</i>	
Identity document (complete with no.):	
Basis / authorisation for representing the Client:	

[5] Enclosed documents (copies)	
Re the Client:	<ul style="list-style-type: none"> <li>Natural person: copy of identity card [<i>dowód osobisty</i>], passport or another document confirming identity; CEIDG (central economic activity register) excerpt or an analogous document for foreigners.</li> <li>Legal person, other organisational entity: up-to-date National Court Register extract or other relevant register documents.</li> </ul>
Re the person authorised to act for the Client:	<ul style="list-style-type: none"> <li>Copy of identity card [<i>dowód osobisty</i>], passport or another document confirming identity; document / information concerning the basis / authority for representing the Client.</li> </ul>
Re the Client's beneficial owners:	<ul style="list-style-type: none"> <li>Copy of identity card [<i>dowód osobisty</i>], passport or another document confirming identity and/or other documents relevant to the beneficial owner's status (CBRB Central Register of Beneficial Owners excerpt or an analogous document for foreigners, other relevant documents).</li> </ul>
Please enclose copies of the documents confirming identity and of the up-to-date register extracts. Refusal to provide documents may impede compliance with the AML Act or render it altogether impossible	

[6] Person presenting the declaration	
Given name and surname of the person presenting the declaration: <i>Signature by that person:</i>	
<p><i>"I am aware of criminal liability for presenting untrue declarations."</i></p> <p>Applies to the Client's declaration in written or document form that she/he is – or, as the case may be, is not – a politically exposed person. Such a declaration is made subject to criminal liability for presenting untrue declarations (art. 46.1 of the AML Act).</p>	