

# Notaria Bartumeu

## IDENTIFICATION AND KNOW YOUR CLIENT QUESTIONNAIRE FOR A LEGAL PERSON

Data collected in accordance with legislative decree of 19-02-2020 publishing the amended text of Law 14/2017, of 22 June, of prevention and combating money-laundering or securities and the financing of terrorism.

Date: \_\_\_\_\_

Initial relationship:

Update/revision:

### 1. BASIC INFORMATION ABOUT THE LEGAL PERSON\*

COMPANY NAME: \_\_\_\_\_

COMPANY PURPOSE: \_\_\_\_\_

IDENTIFICATION NUMBER: \_\_\_\_\_

NATIONALITY: \_\_\_\_\_

COMPANY REGISTERED ADDRESS: \_\_\_\_\_

CITY AND PC: \_\_\_\_\_

PARISH: \_\_\_\_\_

DATE OF FORMATION: \_\_\_\_\_

DATE OF REGISTRATION: \_\_\_\_\_

CONTACT E-MAIL: \_\_\_\_\_

CONTACT TELEPHONE: \_\_\_\_\_

### 2. INFORMATION ABOUT THE LEGAL REPRESENTATIVE PERFORMING THE OPERATION \*

FULL NAME: \_\_\_\_\_

PASSPORT OR D.N.I.: \_\_\_\_\_

DATE OF BIRTH: \_\_\_\_\_

NATIONALITY: \_\_\_\_\_

COUNTRY OF RESIDENCE: \_\_\_\_\_

POSITION: DIRECTOR ATTORNEY OTHER: \_\_\_\_\_

### 3. DECLARATION OF EFFECTIVE BENEFICIARY OR REAL OWNERSHIP \*

The "Real Owner"<sup>1</sup> is understood to be the physical person or persons that ultimately possess(es) or control(s), directly or indirectly, a percentage greater than 25% of the capital of the company or of the voting rights, or by other means exercise(s) direct or indirect control of the management of the legal person. If there is no real owner, identify the director(s) of the company (in cases where a director is a legal person identify the physical representative).

Company name/Forename(s) and surname(s)	No. of identification document	% Participation/ Control	Country of residence

<sup>1</sup> Article 3 Law 14/2017, of 22 June, of prevention and combating money-laundering or securities and the financing of terrorism.

#### 4. STRUCTURE OF OWNERSHIP OR CONTROL \*

List of principal shareholders in decreasing order of participation.

Company name / Forename(s) and surname(s)	No. of identification document	% Participation/ Control	Country of residence

#### 5. DECLARATION BY POLITICALLY EXPOSED PERSONS \*

Does the entity have among its real owners or directors, or their close family members and persons recognised as close, some person who holds, or has held in the last 12 months, the condition of public representative or senior officer of the public authorities in Andorra, member states of the European Union or third countries?<sup>2</sup>

NO  YES Full name and post held: \_\_\_\_\_

#### 6. DESCRIPTION OF THE OPERATION \*

**Nature of the operation:**

- Buying, selling or other acts of disposition of immovable property or entities.
- Handling of funds, securities or other assets of the clients.
- Opening or managing bank accounts, savings accounts or securities accounts.
- Organisation of the necessary contributions for the creation, functioning or management of companies.
- Creation, or management of trusts, companies, associations, foundations or similar structures.
- Others: \_\_\_\_\_

**Brief details of the operation (property acquired, amount, etc.):**

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<sup>2</sup> Definition of PEP as in Article 3 Law 14/2017, of 22 June, of prevention and combating money-laundering or securities and the financing of terrorism.

#### 7. DECLARATION OF ORIGIN OF THE FUNDS \*

**State below the origin of the funds that are the object of the operation:**

Own activity  Shareholders  Sale of property  Others: \_\_\_\_\_

**Are the own funds to be invested in the operation owned by the company or do they belong to physical or legal third persons?**

Property of the acting parties  Property of third parties. Reason \_\_\_\_\_

**Do the funds used to perform the operation originate in Andorra?**

YES  NO Country of origin:

## 8. OTHER INFORMATION ABOUT THE LEGAL PERSON

**Scope of activity:**  International  National  Local

**Nature of the Legal Person:**

Company with commercial or business activity Quoted:  YES  NO Regulated market:  YES  NO

Assets-holding or instrumental company  NGO  Trade union  Religious association  Political association

Others: \_\_\_\_\_

Activity and/or company purpose: \_\_\_\_\_

Public law entities, cultural associations, professional associations, foundations, etc.

State which:

Others. State \_\_\_\_\_

which: \_\_\_\_\_

**Age of activity:**  Less than one year  From 1 to 10 years  Less than 10 years

I hereby state:

- That all the information supplied in this form is true and accurate and I authorise the Notary's office to verify and, if appropriate, amplify this information.
- That I am not and have not been a party in any procedure of tax checking or inspection; if this is or has been the case I provide all the documentation relating thereto.
- That the funds that I may use to complete any transaction as well as the origin of the funds of my assets are totally legitimate.

In \_\_\_\_\_ on \_\_\_\_\_ 20 \_\_\_\_\_

**Signature of the representative:**

**LEGAL NOTICE:**

*In accordance with the provisions of article 13 of Law 15/2003, of 18 December, protection of personal data (published in BOPA number 3, of 21 January 2004) I INFORM the party before me, who accepts, that his or her personal data, as well as those of the Company that he or she represents, will be included in a data file in this Notary's office, where they will be kept confidentially without prejudice to obligatory submissions in accordance with current regulations.*

*This Notary's office, being subject to the amended text of Law 14/2017, of 22 June, of prevention and combating money-laundering or securities and the financing of terrorism, has the obligations detailed below among others:*

1. *To identify and verify the identity of its clients.*
2. *To identify the effective beneficiaries and validate their identity.*
3. *To evaluate, understand and obtain information about the purpose and nature of the business relationship.*