

001\_2011/01/05

Annex 8/a

**STATEMENT  
on the person of the beneficial owner<sup>1</sup> according to Act CXXXVI of 2007 on the prevention and impeding of money  
laundering and financing of terrorism  
(for companies)**

*I, the undersigned:*

Name: .....  
Address: .....  
Number of identification document: .....

*I, the undersigned:*

Name: .....  
Address: .....  
Number of identification document: .....

*in the name of the following business organisation that I am acting for:*

Company name/Short name: ..... Client number: .....  
Seat: ..... Branch code: .....  
Number of identification document: .....

being fully aware of my legal liability hereby declare to **ERSTE BANK HUNGARY Nyrt.** (1138 Budapest, Népfürdő u. 24-26.; hereinafter: the **Bank**) that, upon giving transaction order with the Bank,

**A.:** *the organisation or company, which I am acting for, proceeds in its own name and favour or in the name and favour of a natural person/natural persons who is/are not considered as beneficial owner/owners (see relevant orders of the Act CXXXVI of 2007)*

**B.:** *the organisation or company, which I am acting for, proceeds in the name and favour of the following natural person:*

	1.	2.	3.	4.
<b>Surname and first name (covert name):</b>				
<b>Birth name:</b>				
<b>Address:</b>				
<b>Nationality:</b>				

I, the undersigned hereby declare that the above Statement reflects the actual situation as at the time of establishing a business relation/placing a transaction order with the bank. I accept that according to the Act on the prevention and impeding of money laundering and financing of terrorism, I am required to inform the bank by filling in additional Beneficial Owner Statement, whenever I act in a different manner than stipulated in the Statement upon establishing further business relations or placing a transaction order with a value over HUF 3,600,000 or an exchange with a value of HUF 500,000. I hereby commit to fulfil these requirements.

Furthermore, I hereby confirm my awareness of the rule that I am required to report to the bank within five work days any changes in my personal data or in the information which I provided in the above Statement. I also acknowledge that I shall be liable for all damages that arise from my failure to fulfil these obligations.

Date/place: ....., ..... /day/ ...../month/ ..... /year/

.....  
**due signature**  
**(person(s) entitled to procuration, announced at the bank)**

<sup>1</sup> Beneficial owner is the natural person

- who has at least 25% ownership or voting right in a legal entity or organisation without legal personality, if the legal entity or organisation without legal personality is a company not listed on the organized market, to which the publication obligations apply that are in harmony with community rights or equivalent international rules;

- who has dominant influence in a legal entity or organisation without legal personality according to 685/B. § (2) of the Act IV. of 1959 on the Civil Code (hereinafter: Ptk.);

- on commission of whom business transaction is executed, or

- in the case of foundations-

a) who is beneficiary of at least 25% of the foundation's asset, in case the beneficiary has already been assigned,

b) in favour of whom the foundation was created or is operated, if the beneficiaries have not been assigned yet, or

c) who is member of the foundation's management body or has dominant influence over at least 25% of the foundation's asset or acts for the foundation.

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Annex 8/a

**STATEMENT**  
**on the person of beneficial owner<sup>1</sup> according to Act CXXXXVI of 2007 on the prevention and impeding of**  
**money laundering and financing of terrorism**  
**(for private persons, entrepreneurs, )**

I, the undersigned

Name: ..... Client number: .....

Address: .....

number of ID document: .....

being fully aware of my legal liability hereby declare to **ERSTE BANK HUNGARY Nyrt.** (1138 Budapest, Népfürdő u. 24-26.; hereinafter: the **Bank**) that, when giving transaction order at the Bank,

**A.**: *I proceed in my own name and favour.*

**B.**: *I proceed in the name and favour of the following natural person as beneficial owner:*

	1.	2.	3.	4.
<b>Surname and first name (covert name):</b>				
<b>Birth name:</b>				
<b>Address:</b>				
<b>Nationality:</b>				

I, the undersigned hereby declare that the above Statement reflects the actual situation as at the time of establishing a business relation/placing a transaction order with the bank. I accept that according to the Act on the prevention and impeding of money laundering and financing of terrorism, I am required to inform the bank by filling in additional Beneficial Owner Statement, whenever I act in a different manner than stipulated in the Statement upon establishing further business relations or placing a transaction order with a value over HUF 3,600,000. I hereby commit to fulfil these requirements.

Furthermore, I hereby confirm my awareness of the rule that I am required to report to the bank within five work days any changes in my personal data or in the information which I provided in the above Statement. I also acknowledge that I shall be liable for all damages that arise from my failure to fulfil these obligations.

Date/place: ....., ..... /day/...../month/ ..... /year/

.....  
**/signature/**

<sup>1</sup> Beneficial owner is the natural person  
- on commission of whom business transaction is executed

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## General rules of filling in the Beneficial Owner Statement

### 1. Retail customers

- part to be filled in compulsorily by the customer
  - o „I the undersigned....”
  - o Marking of point A or B
  - o if point B is marked, NAME, ADDRESS, NATIONALITY of the beneficiary owner in the table
  - o Date
  - o Signature
- part to be filled in compulsorily by the branch
  - o client number

### 2. Corporate and micro-company customers

- part to be filled in compulsorily by the customer
  - o „I/we the undersigned...” (data of both persons in case of joint authority to sign)
  - o Marking of point A or B
  - o If point B is marked, NAME, ADDRESS, NATIONALITY of the beneficiary owner in the table
  - o Date
  - o Signature (signature of both persons in case of joint signature)
- part to be filled in obligatorily by the branch/KC
  - o client number
  - o branch code

### 3. Explanation - examples

- Marking of **point A**: if the customer acts on his/her own behalf
- Marking of **point B**: if there is at least 1 (but not more than 4) private person (beneficiary owner) of the company, whose ownership stake is at least 25%. In this case, the name, address and nationality of the beneficiary owner have to be indicated in the table.

#### Example 1:

- If a company is owned in 90% by a person and in 10% by another person, the owner who has 90% ownership stake is to be considered as beneficiary owner, since his/her stake is higher than 25%. Data of the owner having 10% stake (who is not considered as beneficiary owner) should not be given.
- If a company is owned by four private persons and each of them has 25% ownership stake, all four owners are considered as beneficiary owner.
- If there is no private person who fulfils the criteria described above, point A has to be marked.
- It may happen that a company is owned by another enterprise. In this case the beneficiary owner has to be determined as follows:

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**Example 2:**

- If the company X is owned by company Y in 60%, and a private person has 50% ownership stake in Y, it means that this person has  $60\% \times 50\% = 30\%$  indirect ownership stake in X; thus, this person is the beneficiary owner, since his/her stake is more than 25%.
- If company Y has 30% ownership stake in company X and a private person Z has 50% ownership stake in Y and this private person directly owns 5% in company X, this means that Z directly and indirectly has  $30\% \times 50\% + 5\% = 20\%$  ownership stake in X; therefore, Z is not considered as beneficiary owner, since this stake is less than 25%.
  
- if the person entitled to procuration has authority to sign severally, only he/she has to fill in the statement
- if the persons entitled to procuration have joint authority to sign, both of them have to fill in the statement. This means that only one statement has to be filled in and signed jointly at the bottom of the page; personal data of both persons have to be indicated at the head of the page.