

Legal entity identification form

Identity of the authorised representative(s) / signatory(ies) of the insurance contract

The undersigned

1. Name and surname

Function

2. Name and surname

Function

acting as duly authorised representative(s) of (corporate name of the legal entity)

Social Security number of the legal entity

certifies that at the date of the signature of this Declaration :

a) The legal entity is a listed corporation in a regulated market submitted to obligations of publicity that guarantee the transparency of the information regarding the property. Yes No

Specify the quotation market

b) The authorised representatives / signatories of the contract are the following natural persons (add a sheet if necessary).

	Mandator / Contract Signatory 1	Mandator / Contract Signatory 2	Mandator / Contract Signatory 3
Name and surname			
Residence address			
Date of birth			
Place of birth			
Nationality(ies)			
Tax residence(s)			
Tax identification number(s)			
If one or more persons are Politically Exposed Persons (PEP) ¹			
Public function			
Country			

¹ The PEPs are defined in the explanatory note on page 4

Identity declaration of the Beneficial Owner(s) of a legal entity

Please read the explanatory note (page 4) first, then tick and complete the applicable statement (a or b).

- a) The Beneficial Owners of the legal entity, as specified in the attached explanatory note, are the following natural persons (add a sheet if necessary).

	Beneficial Owner 1	Beneficial Owner 2	Beneficial Owner 3
Name and surname			
Residence address			
Date of birth			
Place of birth			
Nationality(ies)			
Tax residence(s)			
Tax identification number(s)			
Profession/Function			
Sector of activity			
% shares/voting rights/ equity stake			
If one or more persons are Politically Exposed Persons (PEP) ¹			
Public function			
Country			

or

- b) If no natural person is identified as the Ultimate Beneficial Owner of the legal entity, as specified in the attached explanatory note, fill in the identity of any natural person who holds the position of authorised representative, signatory of the contract (add a sheet if necessary).

	Authorised representative 1	Authorised representative 2	Authorised representative 3
Name and surname			
Residential address			
Date of birth			
Place of birth			
Nationality(ies)			
Tax residence(s)			
Tax identification number(s)			
Profession/Function			
Sector of activity			
If one or more persons are Politically Exposed Persons (PEP) ¹			
Public function			
Country			

If the above information is different from the Register of Beneficial Owners², please provide the necessary explanations.

¹ The PEPs are defined in the explanatory note on page 4.

² The Register of Beneficial Owners (Registre des Bénéficiaires Effectifs, RBE) available at <https://www.lbr.lu/>

Explanatory note

The regulations aimed at preventing money laundering and terrorist financing subject all professionals in the financial sector, including insurance companies, to various identification obligations, including that of identifying Beneficial Owners and Politically Exposed Persons.

The Law of 12 November 2004 on the fight against money laundering and terrorist financing,

1. considers as **Beneficial Owners** of a legal entity, those natural persons who ultimately :

- directly or indirectly own a sufficient percentage of the shares or voting rights or equity in that entity, or,
- exercise control over that entity by other means.

A shareholding of 25% of the shares plus one or more capital holdings of more than 25%, held by a natural person, is an indication of direct ownership.

A shareholding of 25% of the shares plus one or more shareholdings of more than 25%, held by a company which is controlled by one or more natural persons, or by several companies, which are controlled by the same natural person(s), is an indication of indirect ownership.

Beneficial owners are always natural persons. Thus, if one of the shareholders or decision-makers is itself a legal entity, the natural persons who are the shareholders or decision-makers of this shareholder/decision-maker entity must be identified.

2. considers as **Politically Exposed Persons**, natural persons who hold or have been entrusted with an important public function, as well as their family members or persons known to be closely associated with them. Important public functions are those of:

- Head of State, Head of Government, Minister, Deputy Minister, Secretary of State.
- Member of Parliament or similar legislative body.
- Member of supreme courts, constitutional courts or other high courts whose decisions are not subject to appeal.
- Member of the courts of auditors or the boards or executives of central banks.
- Ambassador, business manager and senior officer in the armed forces.
- Member of the administrative, management or supervisory bodies of public enterprises.
- Leader and member of the governing bodies of political parties.
- Director, deputy director and member of the board of an international organisation or a person holding an equivalent position within it.

Major Sanctioned Countries Questionnaire

As part of the customer due diligence obligation, LA LUXEMBOURGEOISE-VIE strives to understand if, and to what extent, its customers have activities with or in certain sensitive countries or in major sanctioned/under embargo countries.

The list of countries considered to be under international sanctions/embargo can be found under : <https://www.sanctionsmap.eu/#/main>

Please provide the information requested below relating to your company as well as your company's group.

Note that additional information may be requested after the questionnaire has been reviewed by our Compliance Team.

Does any entity of the group to which you belong **trade** in a country under international sanctions/embargo ?

Yes No

Does any entity of the group to which you belong **make investments** in a country under international sanctions/embargo ?

Yes No

Does any entity of the group you belong to **operate** in a country under international sanctions/embargo ?

Yes No

Does any entity of the group to which you belong have **plans to operate** in a country under international sanctions/embargo ?

Yes No

Does an entity of your group have **offices** in a country under international sanctions/embargo ?

Yes No

If you have answered "yes" to any of the above questions, please complete the "Additional Information" section on page 6 of this document and provide a Code of Conduct.

The undersigned declare(s) that the above information is correct and irrevocably undertakes to inform the insurance company immediately in writing of any changes to this Declaration of Identity.

Signature

Signature

Name

Name

Date

Date

Protection of persons - processing of personal data: The data communicated in this declaration are recorded and processed by LA LUXEMBOURGEOISE-VIE Société Anonyme d'Assurances in accordance with the regulations on the protection of persons with regard to the processing of personal data.

Additional information

To be completed only if you have answered "yes" to any of the questions on page 4 of this document.

Please answer the questions below for each major sanctioned country or country under embargo with which your company is doing business. The list of countries considered to be under international sanctions/embargo can be found under : <https://www.sanctionsmap.eu/#/main>

Country under international sanctions/embargo

Does a member of your company's group have an entity or an office in a country under international sanctions/embargo ?

Yes No

If yes, indicate the name of the entity as well as the country concerned :

Does a member of your company's group have any transactions, investments, activities or planned activities (dealings) with (or in) any individual or entity located, resident or organized in a country under international sanctions/embargo or with any entity directly or indirectly owned or controlled by any entity located, resident or organized in a country under international sanctions/embargo (in each case, including with intermediaries action on behalf of or engaging in related Dealings with such a country or entities) ?

Yes No

If yes, give details of the transactions, investments or activities and indicate the percentage of income and/or assets generated by these items:

Please provide documentation (guidance or a document from the Compliance Officer) attesting to the entity's compliance with international sanctions/embargo provisions.

Is any member of your company's group involved in the maintenance or expansion of oil and gas production/imports, of a nuclear program, of weapons capability or in dual usage goods or in equipment that may be used in a country under international sanctions/embargo ?

Yes No

If yes, give details of the transactions, investments or activities and indicate the percentage of income and/or assets generated by these items :

Documents to be provided

- Copy of the statutes (or last coordinated version)
 - Recent extract of the trade register (less than 3 months)
 - Recent extract of the Ultimate Beneficial Owners register (less than 3 months)
 - Copy of a valid identity card or passport (both sides) of each Beneficial Owner
 - Copy of a valid identity card or passport (both sides) of the chief executive, signatories of the contract and of the present application form file
 - Official bank identity statement of the policyholder.
Please give preference to payment from a Luxembourg account.
If the bank account used for the payment of the premium is not a Luxembourg account or if the bank account used for the payment of the premium is in the name of another entity of the group, please provide an explanation.
 - Complete organization chart with all the entities of the group and the beneficial owner(s), dated and signed by the authorized signatories indicating the percentages of ownership of the various companies and going back to the beneficial owner(s)
 - Code of conduct/Code of ethics stating compliance with international sanction and embargo regulations
If you answered "yes" to any of the questions on page 5 as well as for international groups, it is mandatory to provide such a document.
- If applicable:**
- Power of attorney for the handling of administrative matters if these are not included in the extract from the trade register (RCS)

These documents can be sent directly to rcp@lalux.lu

Important notice

Additional information and/or documents may be requested after examination of the file by our Compliance Department.