

Nasdaq Clearing is committed to acting in accordance with the best interests of all its members and with sound risk management¹. In addition, Nasdaq Clearing is committed to complying with the applicable sanctions laws and regulations of the European Union ("EU"), the United Nations ("UN") and the United States of America ("US") (as a subsidiary of a US parent company), as well as local sanctions laws and regulations in the jurisdictions in which Nasdaq Clearing operates. The information collected here is gathered for the purposes of compliance with the above-mentioned laws and regulations.

1. Entity Information				
Legal name of the Company:				
Registration number:				
Full Registered Company Address:				
Registration Date:				
Corporate form:		<input type="checkbox"/> Governmental/Municipal	<input type="checkbox"/> Publicly listed	<input type="checkbox"/> Other
Executives	Name, Surname	Date of Birth	Citizenship	Residence Country
Executive governing body CEO, Management Board or equivalent				
Supervisory governing body Supervisory Council, Board of Directors or equivalent				

2. Ownership and Control Structure			
If the ownership or control is exercised via legal entities, please clarify your group structure and/or control structure by filling in the details below or by attaching group structure chart. State company name, registration number, country of registration and ownership in percentage for each legal entity (25% and more of the shares or votes). Note that subsidiaries are not required, but only other group companies that have 25% and more of direct and/or indirect ownership/control in your Company.			
<input type="checkbox"/> See attached Group ownership chart (including all required identification and ownership percentage details above)			
Company name	Registration Number	Country of Registration	Ownership, %

3. Beneficial Ownership				
Beneficial owner is a natural person who ultimately controls the Company by direct or indirect ownership or control 25% and more of the shares (capital, ownership and equivalent) or voting rights, or who otherwise exercises control over the Company.				
<input type="checkbox"/> No natural person owns or controls 25% and more				
Name, Surname	Date of Birth	Citizenship	Residence Country	Ownership/control %

4. Sanctions Controls				
4.1	Does your Company, including any affiliates (branches, subsidiaries or representative offices) have physical presence in UN, US or EU sanctioned Country/Region?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
	4.1.1	If YES, please specify		
4.2	Does your Company, including any affiliates (branches, subsidiaries or representative offices) provide directly or indirectly services or have other business relationships with customers under UN, US or EU sanctions?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
	4.2.1	If YES, please specify		
4.3	Does your Company, including any affiliates (branches, subsidiaries or representative offices) have an Executive, Senior Officer or Beneficial Owner who is a sanctioned party under UN, US or EU sanctions?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
	4.3.1	If YES, please specify		

5. Anti-Financial Crime controls				
5.1	Are there any PEP (politically exposed person) or Relatives or Close Associates to a PEP among major shareholders, beneficial owners or management bodies of your organization?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
	5.1.1	If YES, please specify:		
5.2	Is the company an obliged institution under the EU Money Laundering Directives or any other equivalent regulations under jurisdictions that the company operates in?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
If answered YES to 5.2, please answer to questions 5.3 – 5.8 below				
5.3	Do you confirm that your organization has appropriate processes in place for managing and controlling material financial crime risk?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
	5.3.1	If NO, please specify:		
5.4	Does your organization have written risk management policies and procedures which inter alia address the financial crime risks that your organization is exposed to?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
	5.4.1	If NO, please specify:		

5.5	Does your organization have in place appropriate measures/processes for repeated KYC, anti-financial crime and counter-terrorism financing which receive regular independent auditing?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
	5.5.1	If NO, please specify:		
5.6	Does your organization perform regular sanctions/PEP screening against your clients' portfolio?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
	5.6.1	If NO, please specify:		
5.7	Does your organization have in place regular staff training on anti-financial crime, counter-terrorism financing and sanctions processes and practices?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
	5.7.1	If NO, please specify:		
5.8	Does your organization utilize a transaction monitoring system (manual or automatic) for assessing suspicious transactions or deviant activities on your portfolio of clients?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
	5.8.1	If NO, please specify:		

Mandatory attachments:

- a) Extract from Trade Register (Certificate of Registration), not older than past 2 months from the extraction date (this is not required for companies established in Estonia, Denmark and Norway);
- b) Full group ownership structure chart (if the details have not been provided under section '2. Ownership and Control Structure');
- c) List of Authorized Signatories or Power of Attorney document confirming signatory right(s) of the person filling in this form.

We certify and confirm that the above stated information is true and complete. **We undertake to inform Nasdaq immediately of any changes whatsoever to the information given herein.**

Signed by authorized person or persons:

Signature	Name, Surname	Date of Birth	Country of Citizenship	Date of signing

By signing below, I hereby consent to the collection, transfer, use, and retention and other processing of personal data (to the extent provided herein) as described herein. To the extent that I have provided or will provide any personal data about individuals other than myself to Nasdaq for the Due Diligence and Sanctions Screening purposes, by signing below, I hereby confirm that I have provided the information in this statement to such individuals and have obtained their consent for the collection, transfer, use, retention and other processing of their personal data by Nasdaq as described herein. To inquire about or exercise data subject rights, where applicable, please contact Nasdaq in writing with such requests at the following contacts: AFC@nasdaq.com or Konstitucijos avenue 29, LT-08105, Vilnius, Lithuania with attention to AFC Vilnius Team [with the subject line "Screening Data Subject Rights"].