***Appendix No. 2*** *to the “Operational procedure on the prevention of money laundering practices and financing of terrorism at Dom Maklerski Navigator S.A.” [Brokerage House Navigator Joint Stock Company]*

**GIFI [General Inspector for Financial Information] QUESTIONNAIRE**

**DECLARATIONS FOR NATURAL PERSON IDENTIFICATION PURPOSES**

* + - * 1. **Full company name, which shares are subject of the transaction:**

|  |  |
| --- | --- |
| Full Company Name |  |
| Tax Identification Number (NIP) |  |

* + - * 1. **The Customer’s Declaration with respect to themselves:**

|  |  |
| --- | --- |
| Full name of the Customer |  |
| PESEL [National Identification Number] or date of birth if the Customer does not have a PESEL |  |
| Country of birth |  |
| The Customer’s address of residence |  |
| Identification document type, series and number \* |  |
| Nationality |  |
| Name (business name), Tax Identification Number (NIP) and address of the principal place of business (in case of a natural person conducting a business activity) |  |

**\* Please send a scan or photocopy of Customer’s identity document (ID card or passport) to DM Navigator SA.**

* + - * 1. **The Customer’s Declaration concerning the person authorised to act on their behalf:**

**I, the undersigned, hereby declare that (please mark the appropriate field with an “X”):**

☐ I have;

☐ I do not have;

**a person authorised to act on my behalf.**

**DATA OF THE PERSON AUTHORISED TO ACT ON BEHALF OF THE CUSTOMER:**

|  |  |
| --- | --- |
| Full name of the person authorised to act on behalf of the Customer |  |
| PESEL [National Identification Number] or date of birth if the person does not have a PESEL |  |
| Country of birth |  |
| Identification document type, series and number \* |  |
| Nationality |  |
| Relations to the Customer | ☐ attorney\*\*  ☐ statutory representative  ☐ other (please indicate): ……………………………….… |

**\* Please send a scan or photocopy of attorney’s identity document (ID card or passport) to DM Navigator SA.**

**\*\* If customer act by attorney, please enclose a power of attorney or other document confirming the authority of the person concerned.**

* + - * 1. **The Customer’s Declaration concerning the status of the Customer as: a politically exposed person / a family member of a politically exposed person / a person known as a close associate of a politically exposed person:**

Being aware of penal liability for making a false declaration, I hereby declare that (please mark the appropriate field with an “X”):

☐ I am a **politically exposed person**;

☐ I am a **family member of a politically exposed person**;

☐ I am a **person known as a close associate of a politically exposed person**;

☐ **I am none** of the above-mentioned persons;

|  |  |
| --- | --- |
| Description of the position or relation with the PEP, in accordance with the chosen answer and Appendix No. 1 hereto (if applicable) |  |

* + - * 1. **Sources of the Customer’s assets:**

In the case of choosing at least one of the following options:

1. “**I am a politically exposed person**”; or
2. “**I am a** **family** **member of a politically exposed person**”; or
3. “**I am a** **person known as a close associate of a politically exposed person**”;

**or if the Customer has been classified as belonging to the Increased risk group on other grounds**, it is necessary to indicate the source of the Customer’s assets, i.e. from what types of sources all of the Customer’s assets gathered so far come:

☐ Remuneration / retirement pension / annuity;

☐ Loan / credit;

☐ Business activity – please specify the type:…………………..……………………;

☐ Payout of compensation, insurance, policy;

☐ Agricultural activity;

☐ Donation;

☐ Savings;

☐ Inheritance;

☐ Sale of real property;

☐ Scholarship;

☐ Sale of movable property;

☐ Winnings, prize;

☐ Sale of securities;

☐ Alimony/maintenance;

☐ Rental of real property;

☐ Rentier income;

☐ Legal guardian’s dependant;

☐ Allowance/benefit;

☐ Other – please specify: …………………………………………….……………………;

* + - * 1. **Sources of the Customer’s items of value:**

In the case of choosing at least one of the following options:

1. “**I am a politically exposed person**”; or
2. “**I am a** **family** **member of a politically exposed person**”; or
3. “**I am a** **person known as a close associate of a politically exposed person**”;

**or if the Customer has been classified as belonging to the Increased risk group on other grounds**, it is necessary to indicate the source of the items of value[[1]](#footnote-1) at the Customer’s disposal:

☐ Remuneration / retirement pension / annuity;

☐ Loan / credit;

☐ Business activity – please specify the type: …………………………….…………;

☐ Payout of compensation, insurance, policy;

☐ Agricultural activity;

☐ Donation;

☐ Savings;

☐ Inheritance;

☐ Sale of real property;

☐ Scholarship;

☐ Sale of movable property;

☐ Winnings, prize;

☐ Sale of securities;

☐ Alimony/maintenance;

☐ Rental of real property;

☐ Rentier income;

☐ Legal guardian’s dependant;

☐ Allowance/benefit;

☐ Other – please specify: ….…………..………………………………………………….;

* + - * 1. **The objective of the transaction / the economic relationship:**

1. ☐ entering financial instruments in the register of stockholders;
2. ☐ storage or registration of financial instruments in the account;
3. ☐ investing in financial instruments on the regulated market;
4. ☐ investing in financial instruments outside the regulated market;
5. ☐ offering financial instruments on the regulated market;
6. ☐ offering financial instruments outside the regulated market;
7. ☐ other – please specify: ……………………………………………………...;

If any of the answers in points 3 - 6 above is chosen, please indicate which financial instruments are the subject of the operation:

☐ stocks forming the subject of trade on the regulated market;

☐ stocks not listed on the regulated market;

☐ bonds forming the subject of trade on the regulated market;

☐ bonds not listed on the regulated market;

☐ investment certificates forming the subject of trade on the regulated market;

☐ investment certificates not listed on the regulated market;

☐ derivatives forming the subject of trade on the regulated market;

☐ derivatives not listed on the regulated market;

☐ other financial instruments – please specify: ……………………………………

* + - * 1. **Intentional nature of the economic relationship:**

☐ no economic relationship – an occasional transaction

*(refers, e.g., to an entry in the register of stockholders)*

☐ short-term (below 1 year);

☐ medium-term (from 1 year to 3 years);

☐ long-term (above 3 years);

\*\*\*

Upon request of Dom Maklerski Navigator S.A., the Customer is obliged to immediately deliver documents confirming the information presented herein, e.g. additional declarations, authorisations and powers of attorney, certificates issued by competent public administration authorities, notarial deeds, extracts from the National Court Register [KRS], copies of agreements/contracts, copies of identification documents.

In the case of any changes in the information presented above, the Customer undertakes to immediately inform Dom Maklerski Navigator S.A. about this fact in writing.

We inform that DM Navigator, as the obliged institution, in accordance with the provisions of the Act, processes the information contained in the identity documents of the Client, Beneficial Owner and the person authorized to act on its behalf of the Client for the purposes of financial security measures, and prepares copies of documents.

I declare that I am aware of the criminal liability for submitting a false declaration.

|  |  |
| --- | --- |
| **Place, date and legible signature of the Customer / person acting on behalf of the Customer:** | |
|  |  | |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Signature of DM Navigator’s staff member collecting the declarations:** | | | | | |
|  |  |  |  |  |  | |

**List of Appendices:**

1. **Appendix No. 1:** categories of persons considered to be politically exposed persons, their family members and their close associates.

***Appendix No. 1*** *to the “GIFI questionnaire - declarations for natural person identification purposes”*

**CATEGORIES OF PERSONS CONSIDERED TO BE POLITICALLY EXPOSED PERSONS (PEP),**

**THEIR FAMILY MEMBERS AND THEIR CLOSE ASSOCIATES**

**Politically exposed persons (so-called PEPs)**

Politically exposed persons or persons performing significant public functions (excluding groups of the medium and lower level positions), including:

|  |
| --- |
| heads of States, heads of governments, ministers, deputy ministers and secretaries of state; |
| members of parliament or similar legislative authorities; |
| members of management bodies of political parties; |
| members of supreme courts, constitutional tribunals and other judicial authorities of high level whose decisions are not subject to an appeal, except for extraordinary procedures; |
| members of courts of auditors or management boards of central banks; |
| ambassadors, chargé d'affaires and higher officers of armed forces; |
| members of administration, management or supervisory bodies of State-owned enterprises, statutory companies in which more than half of stocks or shares belongs to the State Treasury or other state legal entities; |
| directors, deputy directors and members of international organisations’ bodies, or persons performing equivalent functions in such organisations; |
| general directors in offices of supreme and central state authorities and general directors of voivodeship offices; |
| other persons occupying public positions or performing public functions in state authorities or central governmental administration authorities; |

Persons occupying the following national positions and public functions in Poland:

|  |
| --- |
| President of the Republic of Poland; |
| Prime Minister; |
| Deputy Prime Minister; |
| minister; |
| secretary of state; |
| undersecretary of state; |
| member of parliament; |
| senator; |
| member of the European Parliament; |
| member of a body representing outside a political party entered in the political party record kept by the Regional Court in Warsaw; |
| member of a body of a political party entered in the political party record kept by the Regional Court in Warsaw, entitled to contract property obligations; |
| judge of the State Tribunal; |
| judge of the Supreme Court; |
| judge of the Constitutional Tribunal; |
| judge of the Supreme Administrative Court; |
| judge of the Court of Appeal; |
| President of the National Bank of Poland; |
| member of the Management Board of the National Bank of Poland; |
| member of the Monetary Policy Council; |
| plenipotentiary representative of the Republic of Poland in another country or at an international organisation; |
| chargés d'affaires; |
| officer occupying an official position in the armed forces of the Republic of Poland with the rank of general (admiral); |
| plenipotentiary of the Minister of National Defence appointed on the basis of a separate decision of the Minister of National Defence; |
| director or president of a state-owner enterprise, or an equivalent position; |
| chairperson of the supervisory board of a state-owned enterprise; |
| member of the supervisory board of a state-owned enterprise; |
| president of the management board of a statutory company in which more than half of stocks or shares belong to the State Treasury or other state legal entities; |
| member of the management board of a statutory company in which more than half of stocks or shares belong to the State Treasury or other state legal entities; |
| president of the supervisory board of a statutory company in which more than half of stocks or shares belong to the State Treasury or other state legal entities; |
| member of the supervisory board of a statutory company in which more than half of stocks or shares belong to the State Treasury or other state legal entities; |
| director general of an office of the supreme state authority; |
| director general of an office of the central state authority; |
| director general of a voivodeship office; |
| Head of the Chancellery of the President of the Republic of Poland; |
| Head of the Chancellery of the Prime Minister; |
| Head of the Chancellery of the Sejm; |
| Head of the Chancellery of the Senate; |
| voivode; |
| deputy voivode; |
| voivodeship marshal; |
| member of the management board of a voivodeship other than a voivodeship marshal; |
| commune head, mayor, president of a town or city; |
| deputy commune head, deputy mayor, deputy president of a town or city; |
| starosta; |
| member of the management board of a district other than a starosta; |
| Director General of the National Agriculture Support Centre; |
| Deputy Director General of the National Agriculture Support Centre; |
| Director General of the State Forests; |
| Deputy Director General of the State Forests; |
| Director General of the Prison Service; |
| Deputy Director General of the Prison Service; |
| Director General of the Foreign Service; |
| director general of the office of a committee chairperson, whose committee is a part of the Council of Ministers; |
| director of the National School of Public Administration; |
| deputy director of the National School of Public Administration; |
| Director of the Polish Centre for Accreditation; |
| Deputy Director of the Polish Centre for Accreditation; |
| director of the Government Centre for Security; |
| deputy director of the Government Centre for Security; |
| Director of the Transport Technical Supervision; |
| Deputy Director of the Transport Technical Supervision; |
| Director General of the National Roads and Motorways; |
| Deputy Director General of the National Roads and Motorways; |
| Director General for Environmental Protection; |
| Deputy Director General for Environmental Protection; |
| General Inspector of Financial Information; |
| Surveyor General of Poland; |
| Deputy Surveyor General of Poland; |
| Chief Pharmaceutical Inspector; |
| Deputy Chief Pharmaceutical Inspector; |
| Chief Inspector for Marketable Quality of Agricultural and Food Articles; |
| Deputy Chief Inspector for Marketable Quality of Agricultural and Food Articles; |
| Chief Building Supervision Inspector; |
| Deputy Chief Building Supervision Inspector; |
| Chief Inspector of Plant Health and Seed Inspection; |
| Deputy Chief Inspector of Plant Health and Seed Inspection; |
| Chief Inspector for Environmental Protection; |
| Deputy Chief Inspector for Environmental Protection; |
| Chief Labour Inspector; |
| Deputy Chief Labour Inspector; |
| Chief Sanitary Inspector; |
| Deputy Chief Sanitary Inspector; |
| Chief Road Transport Inspector; |
| Deputy Chief Road Transport Inspector; |
| Chief Veterinary Officer; |
| Deputy Chief Veterinary Officer; |
| Chief Finance Auditor; |
| Deputy Chief Finance Auditor; |
| Chief Commander of the State Fire Service; |
| Deputy Chief Commander of the State Fire Service; |
| Police Commander in Chief; |
| Deputy Police Commander in Chief; |
| Border Guard Commander in Chief; |
| Deputy Border Guard Commander in Chief; |
| Commander in Chief of State Protection Service; |
| Deputy Commander in Chief of State Protection Service; |
| Chief Director of State Archives; |
| Deputy Chief Director of State Archives; |
| President of Military Property Agency; |
| Deputy President of Military Property Agency; |
| President of the Agency for Restructuring and Modernisation of Agriculture; |
| Deputy President of the Agency for Restructuring and Modernisation of Agriculture; |
| President of the Chemical Substances Office; |
| President of the Central Office of Measures; |
| Deputy President of the Central Office of Measures; |
| President of the Central Statistical Office; |
| Deputy President of the Central Statistical Office; |
| President of the Institute of National Remembrance – Commission for the Prosecution of Crimes against the Polish Nation; |
| Deputy President of the Institute of National Remembrance – Commission for the Prosecution of Crimes against the Polish Nation; |
| President of the Farmers’ Social Security Fund; |
| Deputy President of the Farmers’ Social Security Fund; |
| President of the National Real Property Resources; |
| Deputy President of the National Real Property Resources; |
| President of the Supreme Audit Office; |
| Deputy President of the Supreme Audit Office; |
| member of the Council of the Supreme Audit Office; |
| President of the National Health Fund; |
| Deputy President of the National Health Fund; |
| President of the National Water Management Authority Polish Waters; |
| Deputy President of the National Water Management Authority Polish Waters; |
| President of the National Atomic Energy Agency; |
| Deputy President of the National Atomic Energy Agency; |
| President of the Polish Space Agency; |
| Deputy President of the Polish Space Agency; |
| President of the Polish Agency for Audit Oversight; |
| Deputy President of the Polish Agency for Audit Oversight; |
| President of the Polish Agency for Enterprise Development; |
| Deputy President of the Polish Agency for Enterprise Development; |
| President of the Polish Tourist Organisation; |
| Deputy President of the Polish Tourist Organisation; |
| President of the General Counsel to the Republic of Poland; |
| Deputy President of the General Counsel to the Republic of Poland; |
| President of the Government Centre for Legislation; |
| Deputy President of the Government Centre for Legislation; |
| President of the Government Agency for Strategic Reserves; |
| Deputy President of the Government Agency for Strategic Reserves; |
| President of the Office of Technical Inspection; |
| Deputy President of the Office of Technical Inspection; |
| President of the Electronic Communication Office; |
| Deputy President of the Electronic Communication Office; |
| President of the Civil Aviation Authority; |
| Deputy President of the Civil Aviation Authority; |
| President of the Personal Data Protection Office; |
| Deputy President of the Personal Data Protection Office; |
| President of the Office for Competition and Consumer Protection; |
| Deputy President of the Office for Competition and Consumer Protection; |
| President of the Patent Office of the Republic of Poland; |
| Deputy President of the Patent Office of the Republic of Poland; |
| President of the Energy Regulatory Office; |
| Deputy President of the Energy Regulatory Office; |
| President of the Office for Registration of Medicinal Products, Medical Devices and Biocidal Products; |
| Deputy President of the Office for Registration of Medicinal Products, Medical Devices and Biocidal Products; |
| President of the Railway Transport Authority; |
| Deputy President of the Railway Transport Authority; |
| President of the Public Procurement Office; |
| Deputy President of the Public Procurement Office; |
| President of the State Mining Authority; |
| Deputy President of the State Mining Authority; |
| President of the Social Insurance Institution; |
| member of the Management Board of the Social Insurance Institution; |
| President of the Management Board of Bank Gospodarstwa Krajowego; |
| deputy president of the Management Board of Bank Gospodarstwa Krajowego; |
| member of the Management Board of Bank Gospodarstwa Krajowego; |
| President of the Management Board of the National Fund for Environmental Protection and Water Management; |
| Deputy President of the Management Board of the National Fund for Environmental Protection and Water Management; |
| President of the Management Board of the National Fund for Rehabilitation of the Disabled; |
| Deputy President of the Management Board of the National Fund for Rehabilitation of the Disabled; |
| Public Prosecutor General; |
| Deputy Public Prosecutor General; |
| National Public Prosecutor; |
| Chairperson of the Polish Financial Supervision Authority; |
| Deputy Chairperson of the Polish Financial Supervision Authority; |
| member of the Polish Financial Supervision Authority; |
| Chairperson of the National Commission for explanation of cases of activities against sexual freedom and morals of a minor below 15 years of age; |
| member of the National Commission for explanation of cases of activities against sexual freedom and morals of a minor below 15 years of age; |
| Chairperson of the National Broadcasting Council; |
| Deputy Chairperson of the National Broadcasting Council; |
| member of the National Broadcasting Council; |
| Chairperson of the National Electoral Commission; |
| Deputy Chairperson of the National Electoral Commission; |
| member of the National Electoral Commission; |
| Chairperson of the Refugee Council; |
| Deputy Chairperson of the Refugee Council; |
| Chairperson of the National Media Council; |
| member of the National Media Council; |
| Financial Ombudsman; |
| Deputy Financial Ombudsman; |
| Ombudsman for Small and Medium-Sized Enterprises; |
| Deputy Ombudsman for Small and Medium-Sized Enterprises; |
| Children’s Ombudsman; |
| Deputy Children’s Ombudsman; |
| Ombudsman; |
| Deputy Ombudsman; |
| Patient’s Ombudsman; |
| Deputy Patient’s Ombudsman; |
| Head of the Internal Security Agency; |
| Deputy Head of the Internal Security Agency; |
| Head of the Foreign Intelligence Agency; |
| Deputy Head of the Foreign Intelligence Agency; |
| Head of the National Security Bureau; |
| Deputy Head of the National Security Bureau; |
| Head of the Central Anti-Corruption Bureau; |
| Head of the National Electoral Bureau; |
| Head of the National Revenue Administration; |
| Deputy Head of the National Revenue Administration; |
| Head of the Civil Service; |
| Head of the Military Counterintelligence Service; |
| Deputy Head of the Military Counterintelligence Service; |
| Head of the Military Intelligence Service; |
| Deputy Head of the Military Intelligence Service; |
| Head of the Foreign Service; |
| Head of the Office for Foreigners; |
| Deputy Head of the Office for Foreigners; |
| Head of the Office for War Veterans and Victims of Oppression; |
| Deputy Head of the Office for War Veterans and Victims of Oppression. |

**Family members of a PEP**

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| spouse or a person in cohabitation with a PEP; |
| child of a PEP and child of a PEP’s spouse or a person in cohabitation with a PEP; |
| PEP’s parents; |

**Persons known as close associates of a PEP:**

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| natural persons being Beneficial Owners of legal entities, organisational units without legal personality or trusts together with a PEP or maintaining other close relationships with such a person, related to the business activity carried out; |
| natural persons being the sole Beneficial Owner of legal entities, organisational units without legal personality or trust that are known to have been set up to obtain an actual benefit by a PEP; |

1. Referring to the origin of monies used in the given economic relationship or the occasional transaction. It includes both the activity generated by financial resources used in the economic relationship, for example the customer’s remuneration, as well as funds used to make a transfer of monies. [↑](#footnote-ref-1)