1. **CLIENT/BUSINESS PARTNER IDENTIFICATION (KYC) and STATEMENT/INFORMATION ON THE PARTICIPATION OF NATURAL AND LEGAL PERSONS IN THE CLIENT'S OWNERSHIP STRUCTURE**

The following information is collected for the purpose of carrying out activities relating to customer due diligence (CDD).

1. **Information about the buyer/economic operator**

|  |  |
| --- | --- |
| Company name and legal form: |  |
| Address (registered office): |  |
| Country: |  |
| Main business activity: |  |
| Telephone number: |  |
| E-mail: |  |
| Website:  |  |

|  |  |
| --- | --- |
| Tax number/VAT ID number: |  |
| Registration number:  |  |
| Bank account number:  |  |
| IBAN: |  |
| BIC/SWIFT code of the bank: |  |
| Name of the bank: |  |
| Address of the bank: |  |

1. **Information about the persons authorised to represent the economic operator (i.e. members of the management board, directors or holders of commercial power of attorney - 'procura')**

|  |  |
| --- | --- |
| Name and surname:  |  |
| Person's identification number: |  |
| Position/function: |  |
| Permanent place of residence: |  |
| Telephone number: |  |
| E-mail: |  |
| Is the person who represents the economic operator a politically exposed person?\* [ ]  YES [ ]  NO |

|  |  |
| --- | --- |
| Name and surname: |  |
| Person's identification number: |  |
| Position/function: |  |
| Permanent place of residence: |  |
| Telephone number: |  |
| E-mail: |  |
| Is the person who represents the economic operator a politically exposed person?\* [ ]  YES [ ]  NO |

|  |  |
| --- | --- |
| Name and surname: |  |
| Person's identification number: |  |
| Position/function: |  |
| Permanent place of residence: |  |
| Telephone number: |  |
| E-mail: |  |
| Is the person who represents the economic operator a politically exposed person?\* [ ]  YES [ ]  NO |

|  |  |
| --- | --- |
| Name and surname: |  |
| Person's identification number: |  |
| Position/function: |  |
| Permanent place of residence: |  |
| Telephone number: |  |
| E-mail: |  |
| Is the person who represents the economic operator a politically exposed person?\* [ ]  YES [ ]  NO |

*\*According to the provisions of ‘Prevention of Money Laundering and the Financing of Terrorism Act’ (ZPPDFT-2, Official Gazette of the Republic of Slovenia No. 48/22 and 145/22), a politically exposed person is any person who is active or has been active in the last year in a prominent public position in a Member State or a third country, including his/her close family members and close associates. Natural persons who are or have been in a prominent public position are: heads of state; heads of government; government ministers and their deputies or assistants; elected representatives of legislative bodies (members of the national assembly and national council); members of the governing bodies of political parties; members of the supreme and constitutional courts and other high-level judicial bodies against whose decisions, except in exceptional cases, ordinary or extraordinary legal remedies may not be invoked; members of the courts of auditors and of the boards of central banks; heads of diplomatic missions and consulates and of missions of international organisations; senior officers of the armed forces; members of the management or supervisory bodies of state-owned companies; heads of bodies of international organisations (such as presidents, secretaries general, directors, judges), their deputies and members of governing bodies or holders of equivalent functions in international organisations.*

*Immediate family members of a politically exposed person are: spouse or cohabiting partner, civil partner (married or unmarried), parents, children and their spouses or cohabiting partners.*

*Close associates of a politically exposed person are any natural persons who are known to be beneficial owners of, or to have any other close business relationship with a politically exposed person, or a natural person who is the sole beneficial owner of a business entity or similar legal entity governed by foreign law which is known to have been established for the effective benefit of a politically exposed person.*

1. **Information about the economic operator's supervisory board members**

|  |  |
| --- | --- |
| Name and surname: |  |
| Person's identification number: |  |
| Permanent place of residence: |  |
| Is the supervisory board member a politically exposed person?\* [ ]  YES [ ]  NO |

|  |  |
| --- | --- |
| Name and surname: |  |
| Person's identification number: |  |
| Permanent place of residence: |  |
| Is the supervisory board member a politically exposed person?\* [ ]  YES [ ]  NO |

|  |  |
| --- | --- |
| Name and surname: |  |
| Person's identification number: |  |
| Permanent place of residence: |  |
| Is the supervisory board member a politically exposed person?\* [ ]  YES [ ]  NO |

|  |  |
| --- | --- |
| Name and surname: |  |
| Person's identification number: |  |
| Permanent place of residence: |  |
| Is the supervisory board member a politically exposed person?\* [ ]  YES [ ]  NO |

1. **Information about the ownership structure of the** **economic operator:**
2. **natural persons (indicate all persons with an ownership interest of 5% or more)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Name and surname | Person's identification number | Permanent place of residence | Ownership(in %) |
| 1 |  |  |  |  |
| 2 |  |  |  |  |
| 3 |  |  |  |  |
| 4 |  |  |  |  |
| 5 |  |  |  |  |

1. **legal persons (indicate all persons with an ownership interest of 5% or more)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Company name | Registration No. | Registered office (headquarters) | Ownership(in %) |
| 1 |  |  |  |  |
| 2 |  |  |  |  |
| 3 |  |  |  |  |
| 4 |  |  |  |  |
| 5 |  |  |  |  |

1. **Information on ultimate beneficial owners of the economic operator**

*The ultimate beneficial owner of an economic operator is any natural person who is the ultimate owner of the client or who controls or otherwise exerts control over it, or a natural person on whose behalf a transaction is carried out (see also 'Prevention of Money Laundering and the Financing of Terrorism Act’-ZPPDFT-2, Articles 40, 42, 43 and 44, Official Gazette of the Republic of Slovenia, No. 48/22, 145/22 and 17/25). The ultimate beneficial owner of an economic operator is deemed to be:*

1. *A natural person or natural persons who own(s) and control(s) the economic operator through a direct ownership of a sufficient number of ownership interest or shares (incl. bearer shares), voting or other rights by virtue of which he/she/they participate(s) in the management of that economic operator. The indicator of direct ownership of an economic operator by a natural person is the ownership of more than 25% of the ownership interest, voting or other rights giving rise to participation in the management of the legal entity, or the ownership of 25% and one share.*
2. *A natural person or natural persons who control(s) the economic operator through indirect ownership of sufficient business interests, shares (including bearer shares), voting or other rights by virtue of which he/she/they participate(s) in the management of the economic operator. The indicator of indirect ownership of an economic operator by a natural person is indirect ownership of more than 25% of the ownership interest, voting or other rights giving rise to participation in the management of that legal operator, or ownership of 25 % and one share.*
3. *A natural person or natural persons who has/have a dominant position in the asset management of the economic operator or has/have the ability to control, direct or otherwise exercise significant influence over the management decisions of that economic operator on the basis of the provision of assets.*
4. *In the case where no natural person is identified as the ultimate beneficial owner under points A, B or C, the ultimate beneficial owner of the economic operator shall be deemed to be one or more persons who hold the managerial position in that economic operator (i.e. persons authorised to represent the economic operator - see point 2 above).*

**Ultimate beneficial owner 1**

|  |  |
| --- | --- |
| Name and surname: | Person's identification number:  |
| Permanent place of residence: |  |
| Type of ultimate beneficial ownership (tick the appropriate box):[ ]  A [ ]  B [ ]  C [ ]  D  | Ownership interest (enter the percentage of direct or indirect ownership for ultimate beneficial ownership type A or B): \_\_\_\_\_\_\_\_\_% |
| Is the ultimate beneficial owner a politically exposed person?\*: [ ]  YES [ ]  NO  |

**Ultimate beneficial owner 2**

|  |  |
| --- | --- |
| Name and surname: | Person's identification number: |
| Permanent place of residence: |  |
| Type of ultimate beneficial ownership (tick the appropriate box):[ ]  A [ ]  B [ ]  C [ ]  D  | Ownership interest (enter the percentage of direct or indirect ownership for ultimate beneficial ownership type A or B): \_\_\_\_\_\_\_\_\_% |
| Is the ultimate beneficial owner a politically exposed person?\*: [ ]  YES [ ]  NO  |

**Ultimate beneficial owner 3**

|  |  |
| --- | --- |
| Name and surname: | Person's identification number: |
| Permanent place of residence: |  |
| Type of ultimate beneficial ownership (tick the appropriate box):[ ]  A [ ]  B [ ]  C [ ]  D  | Ownership interest (enter the percentage of direct or indirect ownership for ultimate beneficial ownership type A or B): \_\_\_\_\_\_\_\_\_% |
| Is the ultimate beneficial owner a politically exposed person?\*: [ ]  YES [ ]  NO  |

1. **Affiliated companies**

In line with the provisions of Companies Act (ZGD-1), affiliated companies are legally autonomous companies which are affiliated in the following ways:

* one company holds a majority shareholding in the other (relationship between a company holding a majority shareholding and a majority-owned company);
* one company is controlled by the other (subsidiary and parent company);
* the companies are part of the same group of companies;
* the companies have a mutual shareholding (participation) in each other, or
* the companies are linked by business agreements.

|  |  |  |  |
| --- | --- | --- | --- |
|  | Company name: | Registration No. | Registered office (headquarters) address |
| 1 |  |  |  |
| 2 |  |  |  |
| 3 |  |  |  |
| 4 |  |  |  |
| 5 |  |  |  |

1. **Information on personal data processing**

Luka Koper d.d. hereby undertakes to process the collected data exclusively for the purpose of carrying out the due diligence on business partners in procurement procedures in accordance with Luka Koper d.d. by-laws and the Integrity and Prevention of Corruption Act (ZIntPK), as well as in the process of awarding and implementing public procurement contracts by adhering to all relevant regulations in the area of personal data protection and Luka Koper's obligations arising from these regulations.

The personal data collected shall not be disclosed to unauthorised third parties and shall be stored in the prescribed places, using appropriate technical, organisational and personnel safeguards, for as long as is necessary to fulfil the purpose for which they were collected and to comply with the prescribed archiving periods, after which they will be permanently destroyed.

Luka Koper, d.d. shall provide the persons whose personal data are processed with the possibility to exercise their rights relating to the protection of personal data (i.e. right to information, right of access to personal data, right to completion, rectification or erasure of personal data, right to restriction of processing, right to data portability and right to object). The request for exercising the above-mentioned rights shall be submitted in writing and sent to the address: Luka Koper, d.d., Vojkovo nabrežje 38, 6501 Koper with an indication »Protection of personal data« or by e-mail varstvo.podatkov@luka-kp.si.

1. **Data accuracy statement**

By signing this statement, the economic operator guarantees the authenticity, accuracy and truthfulness of the information under criminal and material liability. The economic operator also confirms to be aware that the contract which is to be concluded with Luka Koper d.d. shall be considered invalid if any of the statements made therein would be unreliable, inaccurate, untrue and unfounded. Luka Koper d.d. reserves the right to verify the accuracy of any information provided in this statement. **The Buyer shall immediately notify Luka Koper d.d. of any changes to the information contained herein during the course of the business relationship.**

1. **REQUEST FOR CODE ASSIGNMENT TO A NEW CLIENT**
2. **Client's expected business cooperation with Luka Koper**

|  |  |
| --- | --- |
| Required services: |  |
| Product (commodity) groups: |  |
| Annual volume: |  |
| Cooperation with Profit Centres/Terminals: |  |

1. **APPLICATION FOR E-BUSINESS COOPERATION**
2. **Client's key user (authorised for regulating mutual rights and acting as contact person)**

|  |  |
| --- | --- |
| Name and surname: |  |
| Telephone: |  |
| E-mail: |  |

1. **Client type (please tick the box):**

[ ]  Forwarder

[ ]  Shipping agent

[ ]  Shipowner

[ ]  Railway operator

[ ]  Railway carrier

[ ]  Trucking company (haulier)

1. **Application provider that will support your e-business cooperation with Luka Koper (please tick the box):**

[ ]  Actual I.T. d.d. (Lunaris)

[ ]  Trinet d.o.o.

[ ]  Pantheon group d.o.o.

[ ]  Own solution

1. **Should your business involve contacts with the Container Terminal, please indicate the shipowner for whom you are providing services:**

|  |
| --- |
|  |

1. **Should your business involve cooperation with Slovenske železnice, please indicate the SŽ Code:**

|  |
| --- |
|  |

1. **If you are a railway operator/carrier, please indicate your RICS Code:**

|  |
| --- |
|  |

1. **I would like to receive e-invoices (please tick the box):**

[ ]  to the e-mail address:

[ ]  on the eCIP Portal

1. **CONTACT DATA FOR INFORMATIVE AND COMMUNICATION PURPOSES**
2. **Data to be published on the Luka Koper website:**

|  |  |
| --- | --- |
| Company name\*: |  |
| Address\*: |  |
| Postal code and town/city\*: |  |
| Telephone number\*: |  |
| Mobile phone: |  |
| E-mail:\*: |  |
| Website: |  |

*\*Obligatory field*

1. **E-mail contacts for receiving Luka Koper's work-related notifications:**

|  |  |
| --- | --- |
| E-mail: |  |
| E-mail: |  |

1. **E-mail contacts for receiving information on Luka Koper's marketing activities and promotional events:**

|  |  |
| --- | --- |
| E-mail: |  |

1. **E-mail contacts for receiving Luka Koper's printed materials:**

|  |  |
| --- | --- |
| Company name: |  |
| Address: |  |
| Postal code and town/city: |  |
| E-mail: |  |

1. I hereby agree that Luka Koper d.d. may use the contact details provided above to inform me about the work-related events or marketing activities organised or attended by Luka Koper.

2. I have the right to withdraw my consent to the processing of personal data at any time based on a written request sent by e-mail to info@luka-kp.si.

Based on my request, Luka Koper shall appropriately prevent the use of my personal data for the purpose of informing about events and marketing activities within 15 days and shall inform me (i.e. data subject) in writing or in another agreed manner within a further 5 days.

3. The data subject may obtain further information concerning the processing and protection of personal data and the exercise of his/her rights from the Data Protection Officer available at the e-mail address varstvo.podatkov@luka-kp.si. The data subject may lodge a complaint about the processing of his/her personal data with the Information Commissioner of the Republic of Slovenia.

1. **SECURITY STATEMENT made by the business partner to the authorised economic operator (AEO)**

We hereby state:

* that the goods which are being produced, stored, shipped or transported by order of AEO, as well as the goods delivered to or collected from the AEO for delivery:
	+ are produced, stored, prepared and loaded in secure business premises and secure loading and shipping areas and
	+ are protected from unauthorised interference during their production, storage, preparation, loading and transport;
* that the staff involved in the production, storage, loading and collection of the goods is a reliable personnel;
* that business partners acting on our behalf are duly informed about their obligation to uphold the same security level of the supply chain as outlined above.

This statement has been submitted to the authorised economic operator:

Luka koper d.d., Vojkovo nabrežje 38, 6501 Koper, Slovenija

**Authorised representative of the buyer/economic operator as entered in the Court Register:**

|  |  |
| --- | --- |
| Name and surname: |  |
| Position/function: |  |
| Signature: |  |
| Date: |  |

**Required documents and evidence:**

1. Extract from the Court Register or AJPES (Slovenian Business Register);

2. VAT identification number certificate;

3. Bank account certificate.