

Due Diligence Questionnaire



SECTION I – GENERAL ADMINISTRATIVE INFORMATION	
LEGAL NAME	BAWAG P.S.K. BANK FÜR ARBEIT UND WIRTSCHAFT UND ÖSTERREICHISCHE SPARKASSE AKTIENGESELLSCHAFT
SWIFT ADDRESS	BAAATWW
PRINCIPAL PLACE OF BUSINESS (ADDRESS)	GEORG-COCH-PLATZ 2, A-1018 VIENNA, AUSTRIA
COUNTRY OF YOUR LOCAL LICENSING AUTHORITY & REGULATOR (IF DIFFERENT FROM ABOVE)	
DOES YOUR BANK MAINTAIN A PHYSICAL PRESENCE ¹ IN THE LICENSING COUNTRY? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	
IS YOUR BANK AN AGENCY, BRANCH OR SUBSIDIARY OF A BANK WITH A PHYSICAL PRESENCE?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
	NAME OF AFFILIATE / PARENT COMPANY: BAWAG HOLDING GmbH (99,62 %) PA-ZWEIUNDSECHZIGSTE WT BETEILIGUNGSVERWALTUNGS GmbH (0,38 %)
	IS AFFILIATE / PARENT COMPANY PUBLICLY TRADED? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
	IF YES, LIST EXCHANGES & SYMBOLS:
INDICATE AFFILIATION: AGENCY <input type="checkbox"/> BRANCH <input type="checkbox"/> SUBSIDIARY <input type="checkbox"/>	
LICENSING COUNTRY OF AFFILIATE:	
IS YOUR BANK A PUBLICLY TRADED ENTITY? ²	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
IF YES, LIST EXCHANGES & SYMBOLS:	
OFFICER RESPONSIBLE FOR ACCOUNT / RELATIONSHIP: MARTIN LEPPIN	SECONDARY CONTACT: MANFRED FILAUS
TELEPHONE NUMBER: +43 1 059905 EXT. 22518	TELEPHONE NUMBER: +43 1 059905 EXT. 22986
FAX NUMBER: +43 1 059905 EXT. 22601	FAX NUMBER: +43 1 059905 EXT. 22601
E-MAIL ADDRESS: international@bawagpsk.com	E-MAIL ADDRESS: international@bawagpsk.com

SECTION II – SCOPE OF ACTIVITIES		
PLEASE LIST THE PRINCIPAL COUNTRIES IN WHICH YOUR BANK MAINTAINS BRANCHES, AGENCIES AND SUBSIDIARIES. ADDITIONALLY, PLEASE INDICATE THE TYPE OF OPERATION AND THE NUMBER OF OFFICES OR LOCATIONS. (ATTACH ADDITIONAL PAGES IF NECESSARY)		
COUNTRY	TYPE (BRANCH, AGENCY, SUBSIDIARY, ETC.) ³	NUMBER
AUSTRIA	BRANCHES	596
SLOVENIA	SUBSIDIARY	1
MALTA	SUBSIDIARY	1
PLEASE LIST THE PRINCIPAL AREAS OF BUSINESS IN WHICH YOUR BANK PARTICIPATES IN TERMS OF CONTRIBUTION TO REVENUE.		
PRINCIPLE AREAS OF BUSINESS ACTIVITY (COMMERCIAL, PRIVATE, CORPORATE, WHOLESALE, INSURANCE, ETC.)	APPROXIMATE % OF REVENUE	
RETAIL AND SMALL BUSINESS	65	
CORPORATES	26	
FINANCIAL MARKETS	8	
COMMERCIAL REAL ESTATE AND LEASING	4	
OTHERS	3	
RELATIONSHIP INFORMATION		

¹ Physical Presence means your Bank maintains a physical place of business, other than an electronic address, in a country where it is authorized to conduct banking activities, at which it employs at least one employee on a full-time basis and maintains records of its banking activities, and is subject to supervision by the regulators of the country authorizing the banking license.

² If your Bank is an Agency, Branch or Subsidiary of a Publicly Traded Entity, the answer to the question should be "Yes"

³ If your Bank has more than one type of presence in a jurisdiction, list each of the types, e.g. Branch / Subsidiary

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WHAT IS THE PURPOSE OF MAINTAINING THIS RELATIONSHIP WITH BAWAG PSK?	
WHAT TYPE AND VOLUME OF ACTIVITY SHOULD BE EXPECTED?	

SECTION III – OWNERSHIP & MANAGEMENT INFORMATION

(ONLY FOR USE WHEN YOUR BANK IS NOT A PUBLICLY TRADED ENTITY)

IF YOUR BANK IS NOT A PUBLICLY TRADED ENTITY, PLEASE LIST THE NAMES OF THE OWNERS OF YOUR BANK, AND THEIR OWNERSHIP INTEREST. (FOR PURPOSES OF THIS QUESTION, AN "OWNER" IS ANY PERSON OR LEGAL ENTITY THAT, DIRECTLY OR INDIRECTLY, OWNS, CONTROLS OR HAS VOTING POWER OF 25% OR MORE OF ANY CLASS OF SECURITIES OF YOUR BANK).

NAME	OWNERSHIP INTEREST (PERCENTAGE)	NATURE OF OWNERSHIP (DIRECT / INDIRECT)
PLEASE LOOK AT: HTTP://INTRANET.BAWAGPSK.COM/INTRANET/STARTSEITE_INTRANET/UNSERE_BANK/ORGANISATIONSSTRUKTUR/20140/EIGENTUEMER.HTML		

IF ANY OF THE FOREGOING OWNERS IS A LEGAL ENTITY, PLEASE LIST THE NAMES OF THE SHAREHOLDERS OF THE LEGAL ENTITY, AND THEIR OWNERSHIP INTEREST IN THE LEGAL ENTITY.⁴ (PLEASE ATTACH ADDITIONAL SHEETS IF NECESSARY).

ENTITY	SHAREHOLDERS	OWNERSHIP INTEREST (PERCENTAGE)	NATURE OF OWNERSHIP (DIRECT / INDIRECT)

NAME	POSITION	YEARS OF SERVICE
PLEASE LIST THE NAME OF THE PRINCIPAL OFFICERS AND DIRECTORS OF YOUR BANK, THEIR RESPECTIVE POSITIONS AND THE NUMBER OF YEARS EMPLOYED BY THE BANK. (PLEASE ATTACH ADDITIONAL SHEETS IF NECESSARY).		
PLEASE LOOK AT: HTTP://INTRANET.BAWAGPSK.COM/INTRANET/STARTSEITE_INTRANET/UNSERE_BANK/ORGANISATIONSSTRUKTUR/20142/VORSTAND.HTML		

NAME: ANGELIKA TRAUTMANN	JÖRG WITTMANN
TITLE: HEAD OF COMPLIANCE	OFFICER OF ANTI-MONEY-LAUNDERING
SIGNATURE:	
DATE: 11.11.2011	

⁴ If the second tier shareholders also are Legal Entities, the third tier shareholders' Names, Ownership and Nature of Ownership Interests also shall be listed. This exercise continues through the required number of iterations until the true beneficial owners are identified.

