

Identification and Representation Documents

General requirements

Upon submitting documents, investor should present identification and representation documents in person at 3 Antonijas Street, Riga, as agreed with Signet Pensiju Pārvalde IPAS. Investor should present original or notarized copies of the necessary documents. Documents should be in Latvian, Russian or English, or supplemented with a notarized translation in any of these languages.

Upon extending the representative's authorization to represent the investor, one should submit the representation documents proving the person's authorization to act on behalf of the investor and the documents confirming investor's status (for legal entities). The identification and representation documents to be submitted are subject to the requirements listed below.

In case of replacement of investor's representative, the new representative should be identified in person at 3 Antonijas Street, Riga, as agreed with Signet Pensiju Pārvalde IPAS.

Investor may be requested to provide additional information and documents set forth in the legislation effective at the time or documents of respective mutual fund, or required according to decisions made by Signet Pensiju Pārvalde, IPAS, or other circumstances.

Investor - natural entity

| Investor | Documents required | Explanation |
|----------------------------------|--|---|
| Resident | Personal identity document | Personal identity documents are: 1) personal identification card or electronic identification card eID); |
| Non-resident | Personal identity document valid for travel to Latvia | 2) passport. |
| Authorised representative | Document attesting to person's right to act on behalf of an investor | If investor is a minor, its representative has to submit a document attesting that he/she is one minor's parents or legal representative. |
| | | If investor is represented by an authorised representative acting in accordance with power of attorney, the power of attorney should be valid and in a form of notarial deed. Investor has to ensure Signet Pensiju Pārvalde IPAS with a valid power of attorney. |
| | | If the right of representation arises from a court ruling, the court ruling should be presented. |
| | Personal identity document | If the representative is a non-resident, a personal identity document submitted should be valid for travel to Latvia. |

Investor - legal entity or legal arrangement¹

| Documents required | Explanation |
|---|--|
| Documents confirming the name, legal form, and legal registration of investor | If information on legal registration is available in another document submitted by investor, e.g., notice from a commercial register, a separate registration certificate is not required. |
| Articles of association and memorandum of association | If investor's jurisdiction or legal form does not require having articles of association, it is sufficient to submit just a memorandum of association. |
| Documents confirming investor's status | For example, notice from a commercial register, certificate of good standing, or certificate of incumbency issued by registration agent. The documents should be issued less than one year ago. |
| | <p>Legitimate representatives:</p> <p>If the investor is being represented by the board or any other governing body, documents evidencing the list of such representatives should be presented, e.g., a document on appointment of the board and notice from the commercial register or certificate of incumbency issued by registration agent. The documents should be issued less than one year ago.</p> <p>If investor's legitimate representative is another legal entity (e.g., in case of a limited partnership), documents attesting to registration of such a legal entity and authorization of entity's representatives should be submitted. Requirements for the form, content and date of such documents are the same as for investor's and its representative's identity documents.</p> |
| Documents attesting representative's authorisation to act on behalf of the investor | <p>Representatives in accordance with power of attorney:</p> <p>If a proxy represents investor, it has to submit the same documents as in case of having a legitimate representative. Additional documents should be provided evidencing that legitimate representatives have granted the relevant authorization to proxy. Power of attorney is regarded as such document. Powers of attorney may be issued by persons that are not investor's legitimate representatives, but only if the right of substitution is provided by the power of attorney. Powers of attorney have to be valid and made in a form of a notarial deed. Investor has to ensure Signet Pensiju Pārvalde, IPAS with a valid power of attorney. Signet Pensiju Pārvalde IPAS suggests to timely submit document on extension of power of attorney. Please note that the scope and duration of proxy's authorization may not exceed the scope and duration of authorization granted to principal.</p> <p>If investor's representative has been authorised by another proxy of investor, and such proxy is not investor's legitimate representative, documents attesting to authorization of such proxy have to be submitted. If investor's representative has been authorised by proxy of investor, and such proxy is a legal entity, documents attesting to authorization granted to a respective person to represent that legal entity have to be submitted.</p> <p>E.g., if a representative signs the power of attorney on behalf of legal entity that is Investor's director or general partner, all documents proving the right of such a representative to represent the said legal entity have to be submitted to Signet Pensiju Pārvalde IPAS alongside the documents confirming the status of such legal entity.</p> <p>Requirements for the form, content and date of such documents are the same as for investor's and its representative's identity documents.</p> |

¹ Paragraph 8 of Section 1 of the Law on the Prevention of Money Laundering and Terrorism and Proliferation Financing of the Republic of Latvia defines the legal arrangement as an association of persons which has a permanent legal capacity and capacity to act, as well as an arrangement which is not a legal person, but has a permanent legal capacity and capacity to act and the structure of which may involve a founder, proxy, supervisor (manager) or statuses similar thereto, and a beneficiary – if the natural person gaining the benefit is not yet identified – a person in whose interests the legal arrangement has been established or operates, any other natural person who is actually exercising control over the legal arrangement, by means of ownership or otherwise.

Authorization pursuant to a court ruling:

If the authorization follows from a court ruling, the court ruling should be presented.

Personal identity document of investor's representative

Personal identity documents are:
1) personal identification card or electronic identification card (eID);
2) passport.

Additional documents to be submitted by legal arrangements

Documents confirming the status and name of legal arrangement, as well as purpose of its establishing

Other documents may also be required depending on the structure of legal arrangement.

Documents showing the structure and management scheme, including the ultimate beneficial owner or a person in whose interests the legal arrangement has been established or operates

Other requirements and information**Requirements for the content of identification documents:**

1. The document certifying the authorization of the representative to act on behalf of the investor should contain name, surname and at least one of the below mentioned parameters:
 - personal identity number (for Latvian residents);
 - his/her date of birth;
 - valid personal identification document number of the authorized representative.
2. Documents issued by or document copies certified by a registration agent should be supplemented with a notarized document that evidences the signatory's right to sign documents or certify copies on behalf of the registration agent.

Requirements for the certification of identification documents:

1. If a foreign legislation does not provide any form of notarial deed, the notary public should certify on the power of attorney that a person signing the power of attorney has legal capacity, has signed the power of attorney in the presence of the notary public and was entitled to act on behalf of the individual / the legal entity or its right of representation originates from other documents submitted (e.g., statement from the register of enterprises showing that the power of attorney is signed by the board of the legal entity).
2. Signet Pensiju Pārvalde IPAS accepts documents issued by registration agents included in the registers of the following jurisdictions: British Virgin Islands, Belize, Seychelles, Anguilla, Bahamas, Cayman Islands, Dominica, Marshall Islands, Saint Kitts and Nevis.
3. The content of the notary's certification, where the notary certifies the right of representation of the registration agent's representative, must allow to make sure that the notary himself has checked and certifies that the individual, who came to the notary, is the person who signed the documents submitted to the Signet Pensiju Pārvalde IPAS, and that this individual has the right to represent the agent (rather than, for example, acting as an authorized person or a signatory).

Requirements for public documents² – certification with Apostille and legalisation:

1. Public documents issued in the Republic of Latvia, member states of the European Union and the European Economic Area, the Swiss Confederation, the Russian Federation, the Republic of Belarus, Ukraine, the Kyrgyz Republic, the Republic of Moldova, the Republic of Uzbekistan do not require legalisation or certification with Apostille;
2. If a public document is issued in a country that is a contracting state of the Hague Convention of 5 October 1961 On Abolishing the Requirement of Legalization for Foreign Public Documents, and it is not listed above, the

² Public documents are: a) documents emanating from an authority or an official connected with the courts or tribunals of the state, including those emanating from a public prosecutor, a clerk of a court or a process-server; b) administrative documents; c) notarial deeds; d) official certificates which are placed on documents signed by persons in their private capacity, such as official certificates recording the registration of a document or the fact that it was in existence on a certain date and official and notarial authentications of signatures.

authenticity of the document should be certified with Apostille. Documents legalised for use in another contracting state of the Hague Convention of 5 October 1961 may be submitted.

3. If a public document is issued in the country that is not mentioned above, the document should first be legalised by a competent authority of the given country, and then by the Consular Department of the Ministry of Foreign Affairs of the Republic of Latvia or by a diplomatic or consular mission of the Republic of Latvia in the given country.

Other requirements:

1. If a name and/or surname or other identification data (e.g., personal identity number) of investor or its representative has changed, documents attesting to the change of these data should be presented.
2. If power of attorney, law or court ruling provides joint right of representation to several persons, investor can be represented only by all representatives collectively.
3. If power of attorney is issued more than two years ago, it should be supplemented with statement of non-revocation.
4. If in relationships with Signet Pensiju Pārvalde IPAS investor is represented by an official of a legal entity, the investor should at least once in 2 years submit a document certifying the active status of the legal entity and a statement from the register of enterprises or Certificate of Incumbency issued by the registration agent and indicating an official who is representative of the investor in relationships with Signet Pensiju Pārvalde IPAS. The above-mentioned documents are valid for submitting to Signet Pensiju Pārvalde IPAS if they are issued less than 12 months before. The rights of the official to represent the investor in the relationships with Signet Pensiju Pārvalde IPAS are being extended for 2 years since the day the document certifying the active status of the legal entity was issued.