**PME Investimentos – Sociedade de Investimento, S.A.**

**Know Your Customer Form – Social Innovation Fund (FIS)**

**Beneficiary Companies**

This form is aimed at the identification of beneficiary companies for which applications for investment operations have been submitted before the Social Innovation Fund (FIS) and comprehends **four Parts, with the purpose of the first three being the identification of**:

* The Beneficiary Companies (**Part 1**)
* Their Legal Representatives (**Part 2**), and
* Their Beneficial Owners (**Part 3**)

**Part 4** must be signed by a Legal Representative of the Beneficiary Company, and the Form must be provided to PME Investimentos in its entirety, fully filled in, duly initialized in all pages and Annexes, when the application to the Social Innovation Fund (FIS) is submitted.

Annexes which are copies of original documents must be submitted as certified copies issued by a public notary, a lawyer, a solicitor or by any other person legally authorized to do so.

**The original of the present Form, together with the respective Annexes, should be provided to PME Investimentos within 15 days of the submission of the investment project’s application to the Social Innovation Fund (FIS).**

***Any changes to the information set out in Parts 1 to 4 in this Form shall be communicated to PME Investimentos within 15 days of their occurrence through the issuing and sending of an updated Form, together with the respective Annexes and any documents necessary to evidence the changes occurred****.*

**PART 1.** – Beneficiary Company Identification

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Registered Name: | |  | | | | | | | | | | | | | |
| Entity Type: | |  | | | | | | | | | | | | | |
| Corporate Object: | |  | | | | | | | | | | | | | |
| Country of Incorporation: | |  | | | | | | | Date of Incorporation: | | | | | |  |
| Registered Office: | |  | | | | | | | | | | | | | |
| Branch or Permanent Establishment address in Portugal (if applicable): | | |  | | | | | | | | | | | | |
| Address of the principal places of business (if different from the Registered Office): | | | |  | | | | | | | | | | | |
| Country where most of the entity’s business is done: | |  | | | | | | LEI: | | | | | |  | |
| Commercial Registration number and taxpayer number: | |  | | | | | | Economic activity code or similar code: | | | | | | |  |
| Commercial Registration Certificate: | | | | | | | | | | | | | | | |
| Electronic Access Code to  the Certificate | | | |  |  | *(Yes/No)* | | | | Number | |  | | |
| **Or:** | | | |  |  |  | | | |  | | | | |
| Copy of the Certificate issued less than 3 months ago | | | | | | | | |  | | *(attached)* | | | |
| **Or:** | | | |  |  |  | | | |  | | | | |
| Equivalent document issued less than 3 months ago, if entity is not registered in Portugal | | | | | | | | |  | | *(attached)* | | | |
|  | |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Identification of shareholders and voting rights holders with more than 5% of share capital or voting rights | |  |  |  |  |  | | --- | --- | --- | --- | --- | | Share Capital: |  | | Currency: | €/$/£ | | Organisation Chart | |  | *(Attached)* |  | | **And:** | |  |  |  | | | | |
|  | |  |  |  | |
| Name/Registered Name | |  | % |  | |
| Name/Registered Name | |  | % |  | |
| Name/Registered Name | |  | % |  | |
| Name/Registered Name | |  | % |  | |
| Name/Registered Name | |  | % |  | |
| Name/Registered Name | |  | % |  | |

\*replicate as many times as necessary to identify all the holders of shares or voting rights in excess of 5%

**PART 2** – Identification of the Beneficiary Company’s Legal Representatives

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| In this Part you are required to identify the **members of the board of administration or equivalent body of the Beneficiary Company,** as well as any other **senior staff members with management powers,** identifying their capacity as **politically exposed persons, close family members or close associates of such persons**.  One Identification Form set out in the following pages should be provided for each person identified in the following summary boards:   |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | | Member of the Board of Administration or equivalent |  | Is a Politically Exposed Person (PeP)  (Yes/No) |  | Close family member of a PeP  (Yes/No) |  | Close associate of a PeP  (Yes/No) | | Name 1: |  |  |  |  |  |  | | Name 2: |  |  |  |  |  |  | | Name 3: |  |  |  |  |  |  | | Name 4: |  |  |  |  |  |  | | Name 5: |  |  |  |  |  |  | | … |  |  |  |  |  |  | | … |  |  |  |  |  |  | | … |  |  |  |  |  |  | |  |  |  |  |  |  |  | |  |  |  |  |  |  |  | |  |  |  |  |  |  |  | |  |  |  |  |  |  |  | | Senior staff with managing powers |  | Is a Politically Exposed Person (PeP)  (Yes/No) |  | Close family member of a PeP  (Yes/No) |  | Close associate of a PeP  (Yes/No) | | Name 1: |  |  |  |  |  |  | | Name 2: |  |  |  |  |  |  | | Name 3: |  |  |  |  |  |  | | … |  |  |  |  |  |  | | … |  |  |  |  |  |  | |  |  |  |  |  |  |  | |

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **PART 2** – Identification of the Beneficiary Company’s Legal Representatives  Legal Representative *( #)* | | | | | | | | | | | |
| Office held: | | |  | | | | | | | | | |
| Full name: | | |  | | | | | | | | | |
| Date of birth: | | |  | | | | | | | | | |
| Identification document: *[Attached]* | | | Nature (Government ID, Passport) | | | |  | | Number | |  |
| Validity Date | | | |  | | Issuing Entity | |  |
| Nationality identified in the document provided: | | | | | | | |  |
| Taxpayer number or equivalent number issued by a foreign competent authority: | | |  | | | | | Place of Birth: | |  | |
| Job: | | |  | | | | | | | | |
| Employer: | | |  | | | | | | | | |
| Full address of the permanent residency: | | |  | | | | | | | | | |
| Tax address, when different from that of the permanent residency: | | |  | | | | | | | | | |
| Powers to bind the Beneficiary Company arise from: | | | | | | | | | | | |
| Member of the Board of Administration? |  | |  | *(Yes/No)* |  | | | | | |
| ***Or:*** |  | | | | | | | | | |
| Attorney of senior staff with management powers? |  | | *(Attach a copy of the Power of Attorney)* | | | | | | | |

Please select the relevant option:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  |  | | | | |
|  | **I am a “Politically Exposed Person” (PEP)** and**:** | | | | |
| Office that qualifies this person as a PEP |  | |
|  | | | |
|  | **I am a “Close Family Member” of a Politically Exposed Person (PEP)** and**:** | | | | |
| Family relationship to the PEP |  | |
| Full name: |  | |
| Date of Birth: |  | |
| Place of Birth: |  | |
| Nationality: |  | |
| Office that qualifies this person as a PEP |  | |
|  |  | |
|  |  | | | | |
|  | **I am a “Close Associate” of a Politically Exposed Person (PEP)** and**:** | | | | |
| Nature of the Business/  Corporate Relationship |  | |
| Full name: |  | |
| Date of Birth: |  | |
| Place of Birth: |  | |
| Nationality: |  | |
| Office that qualifies this person as a PEP |  | |
|  |  | |
| Nature of the Business/  Corporate Relationship |  | |
| Full name: |  | |
| Date of Birth: |  | |
| Place of Birth: |  | |
| Nationality: |  | |
| Office that qualifies this person as a PEP |  | |
|  |  | |
| Nature of the Business/  Corporate Relationship |  | |
| Full name: |  | |
| Date of Birth: |  | |
| Place of Birth: |  | |
| Nationality: |  | |
| Office that qualifies this person as a PEP |  | |
|  |  | |
|  |  | | | | |
|  | **I am not a “Politically Exposed Person” (PEP)**. | | | | |

**PART 3** – Beneficial Owners’ Identification

In this Part you are required to identify the **beneficial owners** of the Company, if applicable, identifying their capacity as **politically exposed persons, close family members or close associates of such persons**.

One Beneficial Owner Identification Form set out in the following pages should be provided for each person identified in the following summary boards:

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Beneficial Owner |  | Is a Politically Exposed Person (PeP)  (Yes/No) |  | Close family member of a PeP  (Yes/No) | |  | Close associate of a PeP  (Yes/No) |
| Name 1: |  |  |  |  |  | |  |
| Name 2: |  |  |  |  |  | |  |
| Name 3: |  |  |  |  |  | |  |
| … |  |  |  |  |  | |  |
| … |  |  |  |  |  | |  |
| … |  |  |  |  |  | |  |
| … |  |  |  |  |  | |  |
| … |  |  |  |  |  | |  |
| … |  |  |  |  |  | |  |

In the absence of any Beneficial Owners, you will have to identify in the following summary board and in the Beneficial Owner Identification Form the members of Senior Management legally defined as such.

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Senior Manager |  | Is a Politically Exposed Person (PeP)  (Yes/No) | |  | Close family member of a PeP  (Yes/No) | | |  | Close associate of a PeP  (Yes/No) |
| Name 1: |  |  |  | | |  |  | |  |
| Name 2: |  |  |  | | |  |  | |  |
| … |  |  |  | | |  |  | |  |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **PART 3** – Beneficial Owner Identification Form  Beneficial Owner *(#)*  (or in its absence the Senior Management) | | | | | | | |
| Full name: |  | | | | | | |
| Date of birth: |  | | | | | | |
| Identification document: *[Attached]* | Nature (Government ID, Passport) |  | | Number | |  |
| Validity Date |  | | Issuing Entity | |  |
| Nationality identified in the document provided: | | | | |  |
| Taxpayer number or equivalent number issued by a foreign competent authority: |  | | Place of Birth: | |  | |
| Job: |  | | | | | |
| Employer: |  | | | | | |
| Full address of the permanent residency: |  | | | | | | |
| Tax address, when different from that of the permanent residency: |  | | | | | | |

Please select the relevant option:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  |  | | | | |
|  | **I am a “Politically Exposed Person” (PEP)** and**:** | | | | |
| Office that qualifies this person as a PEP |  | |
|  | | | |
|  | **I am a “Close Family Member” of a Politically Exposed Person (PEP)** and**:** | | | | |
| Family relationship to the PEP |  | |
| Full name: |  | |
| Date of Birth: |  | |
| Place of Birth: |  | |
| Nationality: |  | |
| Office that qualifies this person as a PEP |  | |
|  |  | |
|  |  | | | | |
|  | **I am a “Close Associate” of a Politically Exposed Person (PEP)** and**:** | | | | |
| Nature of the Business/  Corporate Relationship |  | |
| Full name: |  | |
| Date of Birth: |  | |
| Place of Birth: |  | |
| Nationality: |  | |
| Office that qualifies this person as a PEP |  | |
|  |  | |
| Nature of the Business/  Corporate Relationship |  | |
| Full name: |  | |
| Date of Birth: |  | |
| Place of Birth: |  | |
| Nationality: |  | |
| Office that qualifies this person as a PEP |  | |
|  |  | |
| Nature of the Business/  Corporate Relationship |  | |
| Full name: |  | |
| Date of Birth: |  | |
| Place of Birth: |  | |
| Nationality: |  | |
| Office that qualifies this person as a PEP |  | |
|  |  | |
|  |  | | | | |
|  | **I am not a “Politically Exposed Person” (PEP)**. | | | | |

**PART 4** – Legal Representative’s Certification

This form comprehends \_\_\_\_ ( \_\_\_\_\_\_\_\_\_ ) pages and \_\_\_\_ ( \_\_\_\_\_\_\_\_\_ ) Annexes that, as a whole, fully and integrally identify the Entity, its Legal Representatives, its Beneficial Owners as well the latter’s capacity as Politically Exposed Persons, Close Family of Politically Exposed Persons or Close Associates of Politically Exposed Persons.

The personal data provided herein shall be treated by PME Investimentos – Sociedade de Investimento, S.A., for the exclusive purpose of the fulfilment of PME Investimentos’ legal obligations in respect of the prevention and countering of money laundering and terrorism financing. These data will be kept for the legally established period and are subject to an updating obligation by their owner if a change occurs. Should the personal data herein transmitted not be provided directly by their owner, this information must be provided to such person by the person or entity responsible for this Form. If any doubts arise, please do not hesitate to contact us directly by e-mail to [dpo@pmeinvestimentos.pt](mailto:dpo@pmeinvestimentos.pt) or by any means of contact available on our website [www.pmeinvestimentos.pt](http://www.pmeinvestimentos.pt).

|  |  |  |
| --- | --- | --- |
| (Name of the Legal Representative) |  |  |
|  |  |  |
| (Signature of the Legal Representative) |  | (Place and Date) |

***Annexes:***

*Concerning the entity*

1. Commercial Registration Certificate or equivalent document (for entities not domiciled in Portugal)
2. Taxpayer number
3. Organisation chart with the identification of the holders of more than 5% of the entity’s share or capital and/or voting rights

*Concerning the Legal Representatives*

1. Valid Government ID or passport with photo
2. Taxpayer number or equivalent number issued by a foreign competent authority
3. Board or General Assembly resolutions issuing representation powers or similar documentation (v.g., powers of attorney) that sufficiently evidence the relevant powers granted to the representative (when the legal representatives aren’t Directors)

*Concerning the Beneficial Owners*

1. Organisation chart for the property and control of the entity which includes evidence of the existence or not of a Beneficial Owner
2. Valid Government ID or passport with photo
3. Taxpayer number or equivalent number issued by a foreign competent authority

**Definitions**

1. **Definition of Beneficial Owner (BO)**

A natural person is deemed the **Beneficial Owner** of a company, when the latter are not companies with shares admitted to trading on a regulated market subject to disclosure requirements consistent with European Union law or subject to equivalent international standards to ensure sufficient transparency of ownership information, when it is:

* 1. The natural person that, ultimately, holds the property or the direct or indirect control of a sufficient percentage of shares or of the voting rights or capital of such company.
  2. The person or natural person who exercises control by other means on that legal person.
  3. The person or natural person who holds the senior management of said company, if, after all possible means of identification have been exhausted and provided there are no grounds for additional suspicion concerning the transaction:
     1. Any person has been identified pursuant to the previous items; or
     2. Doubts remain that the identified person or persons are the actual beneficial owners.

1. For the purpose of assessing the capacity of beneficial owner, when the entity in question is a company, entities are required to:

a) Consider as evidence of direct property holding by a natural person the holding of shares representing more than 25% of the share capital of the company;

b) Consider as evidence of indirect property holding by a natural person the holding of shares representing more than 25% of the share capital of the company by:

i. A legal person or arrangement that is under the control of one or more natural persons, or

ii. Various companies that are under the control of the same natural person or persons;

iii. Verify the existence of any other evidences of control or other circumstances which may indicate a control by other means.

2. With respect to *trusts*, non corporate legal persons and legal arrangements, the beneficial owners shall be deemed those natural persons who are:

a) The founder (settlor)

b) The trustee or trustees of trusts

c) The curator, if applicable;

d) The beneficiaries or, if they have not yet been determined, the category of persons in whose main interest the trust was constituted or carries on its activity (in venture capital funds, the beneficial owners of the partners);

e) Any other natural person who holds the final control of the trust through direct or indirect participation or through other means.

1. **Definition of Politically Exposed Person (PeP), as well as Close Family members and Close Associates.**
   1. **Politically Exposed Person (PeP)** are the natural persons who hold or have held in the last 12 months, in any country or jurisdiction, the following top level public jobs:
      1. Heads of state, heads of government and members of government, namely, ministers, secretaries and under-secretaries of State or equivalent.
      2. Members of Parliament;
      3. Judges of the Constitutional Court, of the Supreme Court, of the Supreme Administrative Court, of the Court of Auditors, and members of the supreme courts, constitutional courts and other high-level judicial bodies from other states and international organizations;
      4. Representatives of the Republic and members of self-governing bodies of autonomous regions;
      5. Ombudsman, State Councilors, and members of the National Data Protection Commission, of the Judicial Superior Council, of the Administrative and Fiscal Courts Superior Council, of the Attorney-General, of the Public Prosecution’ Superior Council, the National Defense Superior Council and the Regulatory Authority for the Media;
      6. Heads of diplomatic missions and consular posts;
      7. Senior Officers of the Armed Forces in service;
      8. Presidents and executive councilors of city councils;
      9. Members of management and supervisory bodies of central Banks, including the European Central Bank;
      10. Members of management and supervisory of public institutes, public foundations, public entities and independent administrative bodies, independently of the manner in which they were appointed.
      11. Members of management and supervisory bodies of public sector companies, including the business, regional and local sectors.
      12. Members of the executive management bodies of political parties of national or regional implementation;
      13. Managers, assistant managers and members of the board of directors or persons performing equivalent functions in an international organization.
   2. **Close Family members** are:
      1. Direct ascendants and descendants in a straight line from Politically Exposed Persons.
      2. The spouses or partners in cohabitation of Politically Exposed Persons and of the persons referred to in the preceding paragraph.
   3. **Persons Known to be Close Associates**, are:
      1. Any natural person, known as a co-owner with a Politically Exposed Person, of a legal person or of a legal arrangement.
      2. Any person who owns share capital or holds voting rights of a legal person or part of a legal arrangement, known for having as a beneficial owner a Politically Exposed Person.
      3. Any natural person known as having corporate, commercial or professional relations with a Politically Exposed Person.