SECTION A: CORPORATE INFORMATION

Company Name
hereinafter referred to as 'the Applicant'

Trading Name

if different from Company Name

Registration Number

Date of Incorporation

Jurisdiction

Entity Type

Fiscal Number

Tax Identification Number / EIN / VAT Number

Registered Office

Principal Place of Business

Correspondence Address

Please provide the correspondence address designated by the Applicant for the receipt of confidential correspondence and documents. The address provided must be an authorized company address and, where applicable, an address duly registered with the relevant governmental, corporate, tax, licensing, or regulatory authorities.

Website

General Corporate Email Address

Main Telephone Number

Principal Business Activity

Business Activity Description

Jurisdictions of Operation

Publicly Listed?

If yes, specify exchange and ticker

Regulated / Licensed Entity?

If yes, provide regulator and license number

SECTION B: AUTHORIZED SIGNATORY

Full Legal Name

Position / Title

Residential Address

Country of Residence

Citizenship(s)

Disclosure of all citizenships is mandatory

Date of Birth

Passport Number

National identity cards and other forms of national identification documents are not accepted for purposes of this Client Due Diligence Form.

Date of Issue

Date of Expiry

Email Address

FAX Number

Landline Number

Mobile Phone Number

Preferred Contact Number

The Authorized Signatory shall act as the Applicant's principal point of contact for purposes of this Client Due Diligence Form, any related communications with Balkan Capital Assets LLC, and any contemplated transactions, unless the Applicant notifies Balkan Capital Assets LLC in writing of the designation of another authorized contact person.

SECTION C: QUESTIONNAIRE

Please describe the purpose of the Applicant's proposed relationship with Balkan Capital Assets LLC and specify the service, product, mandate, or type of transaction for which Balkan Capital Assets LLC's involvement is being requested.	
Please describe the underlying commercial transaction, project, investment, financing, or other business activity for which Balkan Capital Assets LLC's services are being sought.	
Please describe the source of the funds to be used in connection with the contemplated relationship or transaction, including how such funds were generated.	
Has the Applicant, or any equity holder, director, officer, authorized signatory, or ultimate beneficial owner, ever been subject to any criminal conviction, insolvency, bankruptcy, liquidation, disqualification, or bank account closure or termination for compliance, fraud, or reputational reasons? If yes, please provide full details.	
Does the Applicant conduct business in, with, from, or through any jurisdiction, sector, counterparty, or activity that is subject to U.S. sanctions or embargoes, or that may reasonably be regarded as high-risk from an AML, sanctions, or financial crime perspective? If yes, please provide full details.	

Will any funds to be paid to Balkan Capital Assets LLC, or any funds to be received from Balkan Capital Assets LLC or disbursed in connection with any contemplated relationship or transaction, be provided by, routed through, or paid to any person or entity other than the Applicant, or through any account not held in the name of the Applicant?

Is the Applicant, or any of its directors, officers, authorized signatories, or ultimate beneficial owners, currently the subject of any sanctions, asset-freezing measures, trade restrictions, or similar measures imposed or administered by the United States, including by the U.S. Department of the Treasury's Office of Foreign Assets Control, or by any other applicable governmental authority?

Has the Applicant, or any of its directors, officers, authorized signatories, or ultimate beneficial owners, ever been the subject of any investigation, inquiry, enforcement action, penalty, settlement, or other proceeding relating to U.S. sanctions, export controls, anti-boycott laws, customs laws, or other trade compliance matters?

Has the Applicant, or any of its directors, officers, authorized signatories, or ultimate beneficial owners, ever been the subject of any material anti-money laundering, counter-terrorist financing, anti-bribery, anti-corruption, or other financial crime compliance investigation, enforcement action, consent order, penalty, settlement, or similar proceeding by any governmental, regulatory, or supervisory authority?

SECTION D: EQUITY HOLDERS

Please provide the full legal name of each equity holder of the Applicant.
If the number of equity holders exceeds the fields provided below, please submit a complete list of all equity holders, together with their respective ownership interests, by email to compliance@balkanassets.com.

Equity holder, %

Equity holder, %

Equity holder, %

Equity holder, %

Equity holder, %

Equity holder, %

Equity holder, %

Equity holder, %

Equity holder, %

SECTION E: ULTIMATE BENEFICIAL OWNERS

Please provide the full legal name of each ultimate beneficial owner of the Applicant.
If the number of ultimate beneficial owners exceeds the fields provided below, please submit a complete list of all ultimate beneficial owners by email to compliance@balkanassets.com.

ULTIMATE BENEFICIAL OWNER

Full Legal Name

Residential Address

Country of Residence

Citizenship(s)

Disclosure of all citizenships is mandatory

Date of Birth

Passport Number

National identity cards and other forms of national identification documents are not accepted for purposes of this Client Due Diligence Form.

ULTIMATE BENEFICIAL OWNER

Full Legal Name

Residential Address

Country of Residence

Citizenship(s)

Disclosure of all citizenships is mandatory

Date of Birth

Passport Number

National identity cards and other forms of national identification documents are not accepted for purposes of this Client Due Diligence Form.

ULTIMATE BENEFICIAL OWNER

Full Legal Name

Residential Address

Country of Residence

Citizenship(s)

Disclosure of all citizenships is mandatory

Date of Birth

Passport Number

National identity cards and other forms of national identification documents are not accepted for purposes of this Client Due Diligence Form.

ULTIMATE BENEFICIAL OWNER

Full Legal Name

Residential Address

Country of Residence

Citizenship(s)

Disclosure of all citizenships is mandatory

Date of Birth

Passport Number

National identity cards and other forms of national identification documents are not accepted for purposes of this Client Due Diligence Form.

ULTIMATE BENEFICIAL OWNER

Full Legal Name

Residential Address

Country of Residence

Citizenship(s)

Disclosure of all citizenships is mandatory

Date of Birth

Passport Number

National identity cards and other forms of national identification documents are not accepted for purposes of this Client Due Diligence Form.

ULTIMATE BENEFICIAL OWNER

Full Legal Name

Residential Address

Country of Residence

Citizenship(s)

Disclosure of all citizenships is mandatory

Date of Birth

Passport Number

National identity cards and other forms of national identification documents are not accepted for purposes of this Client Due Diligence Form.

SECTION F: MANAGEMENT

Provide the full legal name of each individual holding a principal executive, financial, legal, operational, or equivalent management function within the Applicant. If the Applicant does not maintain a particular office listed below, please indicate “Not Applicable”.

Chief Executive Officer	
Chief Financial Officer	
Chief Legal Officer	
Chief Operating Officer	
Chief Compliance Officer	
Chief Risk Officer / Head of Risk	
Chief Investment Officer	
Chief Commercial Officer	
Other Senior Officer(s) / Key Executive(s)	
Other Senior Officer(s) / Key Executive(s)	
Other Senior Officer(s) / Key Executive(s)	
Other Senior Officer(s) / Key Executive(s)	
Other Senior Officer(s) / Key Executive(s)	

Have any of the above-listed officers, equity holders or ultimate beneficial owners ever been the subject of any bankruptcy, insolvency, receivership, liquidation, or analogous proceeding in any jurisdiction?

Have any of the above-listed officers, equity holders or ultimate beneficial owners ever been disqualified, barred, suspended, or otherwise prohibited from serving as a director, officer, manager, fiduciary, or other person holding a position of management, control, or trust in any company or other legal entity?

Have any of the above-listed officers, equity holders or ultimate beneficial owners ever been convicted of, pleaded guilty or nolo contendere to, or been charged with any criminal offense, other than traffic violations?

SECTION G: CORPORATE FINANCIAL INFORMATION

Please complete this section in as much detail as possible. Failure to do so may hinder the consideration of any prospective business relationship.

FINANCIAL OVERVIEW

Reporting Currency	
Reporting Date	
Turnover / Revenue, Last Fiscal Year	
EBITDA, Last Fiscal Year	
Net Profit / (Loss), Last Fiscal Year	

ASSETS

Cash and Cash Equivalents	
Accounts Receivable / Trade Receivables	
Inventory	
Loans / Notes Receivable	
Real Estate / Investment Property	
Other Tangible Business Assets	
Intangible Assets	
Other Assets	
TOTAL ASSETS	

LIABILITIES

Accounts Payable / Trade Payables	
Secured Debt	
Unsecured Debt	
Overdrafts / Revolving Credit Facilities	
Lease Liabilities	
Tax Liabilities	
Accrued Expenses / Accrued Liabilities	
Intercompany / Related-Party Liabilities	
Other Liabilities	
TOTAL LIABILITIES	

NET POSITION

Shareholders' Equity	

SECTION H: BANKING INFORMATION

Provide the details of the bank account(s) and related banking coordinates designated by the Applicant for use in connection with any contemplated transaction or business relationship with Balkan Capital Assets LLC, including, as applicable, the remittance or receipt of funds, the transmission, receipt, or processing of SWIFT messages, and any other assets, entitlements, or value to be transferred, delivered, or received in connection therewith.

Bank Name	
Bank Identifier Code	
Bank Address	
Bank Jurisdiction	

The bank jurisdiction must match the Applicant's jurisdiction of incorporation or formation. Any contemplated transaction or business relationship involving a non-conforming bank jurisdiction may be declined or rejected by Balkan Capital Assets LLC.

Account Name

The Account Name must correspond exactly to the Applicant's full legal name. The use of any third-party, nominee, or otherwise non-designated bank account shall constitute grounds for the immediate rejection of the contemplated transaction or business relationship.

Account Currency

International Bank Account Number

if applicable

Account Number

for bank accounts held in jurisdictions where IBANs are not used

ABA / Routing Number

for U.S. bank accounts, as assigned by the American Bankers Association

Domestic Routing Code

for bank accounts held in jurisdictions where such codes are used

SECTION I: IDENTITY PROOF

Provide the following documents when returning this Client Due Diligence Form:

Passport Copy
for each individual equity holder and ultimate beneficial owner

Incorporation / Formation Certificate
for the Applicant and each legal entity equity holder

Articles of Association
for the Applicant

Company Registration Extract
for the Applicant

Good Standing Certificate
for the Applicant

SECTION J: APPLICANT ACKNOWLEDGMENT, AUTHORIZATION AND CERTIFICATION

I acknowledge and understand that the information provided herein, together with any supporting documentation submitted in connection with this Client Due Diligence Form, shall be reviewed and assessed by Balkan Capital Assets LLC in accordance with applicable due diligence, anti-money laundering (AML), know-your-customer (KYC), sanctions, and related compliance requirements arising under applicable United States federal law and, where applicable, the laws of the State of Delaware.

By signing and submitting this Client Due Diligence Form, I hereby authorize Balkan Capital Assets LLC and its authorized representatives to undertake such due diligence, verification, screening, and investigatory measures as they may reasonably deem necessary or appropriate in connection with the evaluation, onboarding, approval, and ongoing monitoring of the contemplated relationship or transaction, including, without limitation, the review and verification of financial, corporate, legal, compliance, regulatory, civil, criminal, and other background information relating to me and the Applicant.

I further declare and affirm, under penalty of perjury pursuant to 28 U.S.C. § 1746, that I have carefully reviewed this Client Due Diligence Form, including Exhibit A hereto, that the Applicant has read, understood, and accepted the terms, acknowledgments, disclaimers, and reservations of rights set forth therein, and that all statements, information, and representations provided in this Client Due Diligence Form, together with any attached or supplemental documentation, are true, correct, and complete to the best of my knowledge and belief.

Full Legal Name	
Company Name 'the Applicant'	
Execution Date	
Signature	

EXHIBIT A

All information and supporting documentation submitted in or in connection with this Client Due Diligence Form (the "CDDF") is furnished on a strictly confidential basis and is collected for purposes of Applicant onboarding, due diligence, compliance review, and the assessment of a prospective or ongoing business relationship or transaction with Balkan Capital Assets LLC (the "Principal"). Such information may be collected, reviewed, processed, retained, and relied upon by the Principal in accordance with applicable legal, regulatory, and compliance requirements, including, without limitation, obligations arising under anti-money laundering ("AML"), counter-terrorist financing, economic and trade sanctions, know-your-customer ("KYC"), beneficial ownership, fraud-prevention, and related due diligence frameworks applicable to the Principal's activities.

All information voluntarily furnished in connection with this CDDF shall be maintained in confidence and used solely for legitimate business, compliance, verification, diligence, and risk-assessment purposes. Such information may be disclosed by the Principal only to its member(s), manager(s), officer(s), employee(s), professional adviser(s), partner financial institution(s), compliance service provider(s), banking counterparties, and other authorized representative(s) or third parties having a legitimate need to review such information in connection with the establishment, evaluation, administration, approval, execution, or ongoing monitoring of the contemplated relationship or transaction, or as otherwise required or permitted by applicable law, regulation, court order, governmental request, or any competent regulatory, supervisory, or law enforcement authority.

The Applicant acknowledges that the completeness, accuracy, legality, authenticity, and timeliness of the information and documentation provided in connection with this CDDF constitute a material condition to the Principal's review of the Applicant and any contemplated relationship or transaction. The submission of incomplete, inaccurate, misleading, inconsistent, outdated, or false information or documentation, or the failure to provide information or documentation reasonably requested by the Principal, may result in the refusal, suspension, restriction, rejection, discontinuance, or immediate termination of any review, onboarding process, transaction, or current or prospective business relationship, without prejudice to any other rights, remedies, or reporting obligations available to the Principal under applicable law or its internal compliance procedures. The Applicant further acknowledges that the Principal may request additional information, documentation, explanations, certifications, source-of-funds information, source-of-wealth information, banking information, ownership information, tax information, or other materials at any time before, during, or after the establishment of any relationship or the commencement of any transaction in order to satisfy its legal, regulatory, banking, compliance, risk-management, or ongoing monitoring obligations.

The Applicant further acknowledges and agrees that the submission, receipt, review, acceptance, or retention of this CDDF, or of any information or supporting documentation provided in connection herewith, does not and shall not constitute, imply, or give rise to any obligation on the part of the Principal to enter into, approve, structure, arrange, facilitate, negotiate, recommend, execute, issue, deliver, transmit, or consummate any transaction, service, engagement, mandate, financial instrument, business relationship, or other arrangement of any kind. Nothing contained in this CDDF, and no communication, exchange, review, diligence activity, or other conduct undertaken by the Principal in connection herewith, shall constitute or be construed as an offer, commitment, approval, underwriting, financing commitment, engagement letter, advisory undertaking, contractual promise, or binding obligation of the Principal, whether oral, written, implied, preliminary, conditional, or otherwise.

The submission of this CDDF does not guarantee acceptance of the Applicant, onboarding of the Applicant, approval of any application, execution of any transaction, provision of any financial instrument, transmission of any funds or assets, or the establishment or continuation of any business relationship with the Principal. Any prospective relationship or transaction shall remain subject at all times to the Principal's sole and absolute discretion, internal review and approval processes, satisfactory completion of due diligence, documentary review, compliance clearance, legal and commercial acceptability, operational feasibility, availability of counterparties, banking acceptability, and any other condition or requirement that the Principal may deem relevant in its sole discretion.

The Principal expressly reserves the right, at any time and for any reason or no stated reason, and without incurring any duty, liability, or obligation to the Applicant or any third party, to decline, reject, suspend, restrict, discontinue, or terminate any application, review, onboarding process, transaction, discussion, or business relationship; to request additional information, explanations, certifications, or supporting documentation; to refuse to accept any transaction, structure, payment flow, banking arrangement, instrument, jurisdiction, counterparty, or proposed arrangement; to defer, discontinue, or close its review of the Applicant or any contemplated transaction; and to impose such additional conditions, documentary requirements, compliance requirements, banking requirements, or approval conditions as it may deem appropriate in its sole discretion.

The Applicant acknowledges that the Principal acts solely in its own capacity and for its own internal commercial, compliance, and risk-management purposes in reviewing this CDDF and any related materials, and that the Principal does not, by reason of receiving, reviewing, discussing, or processing this CDDF, assume any duty of care, advisory duty, fiduciary duty, monitoring duty, suitability obligation, or other obligation toward the Applicant. The Applicant shall remain solely responsible for conducting its own independent legal, tax, financial, accounting, regulatory, and commercial review of any contemplated transaction, relationship, structure, or arrangement, and for obtaining such professional advice as it deems necessary or appropriate. Unless and until expressly set forth in a definitive written agreement duly executed by the Principal, the Principal makes no representation, warranty, assurance, or undertaking, express or implied, as to the availability, feasibility, bankability, executability, timing, terms, pricing, economics, legal treatment, regulatory treatment, or likelihood of success of any contemplated transaction or relationship, nor as to the willingness of any bank, financial institution, counterparty, issuer, custodian, intermediary, investor, service provider, or other third party to participate in, support, process, approve, honor, or execute any contemplated transaction, arrangement, instruction, or instrument.

The Applicant acknowledges that any contemplated relationship or transaction may be subject to review under AML, KYC, sanctions, anti-bribery, anti-corruption, fraud-prevention, export control, counter-terrorist financing, beneficial ownership, tax, legal, reputational, and other compliance or regulatory frameworks applicable to the Principal, its counterparties, or any relevant financial institution, intermediary, or service provider. The Principal shall have no obligation to proceed with any transaction or relationship that, in its judgment, presents legal, compliance, sanctions, reputational, operational, banking, documentary, commercial, or other risk concerns. The Applicant further acknowledges that the Principal may rely on, coordinate with, or submit information to third-party financial institutions, banks, issuers, compliance providers, advisers, counterparties, and other service providers in connection with the evaluation of the contemplated relationship or transaction, and that the Principal shall not be responsible or liable for any refusal, rejection, delay, suspension, restriction, request for additional information, enhanced due diligence requirement, or adverse determination made by any such third party.

To the fullest extent permitted by applicable law, the Principal shall not be liable to the Applicant or to any affiliate, officer, director, shareholder, ultimate beneficial owner, representative, or third party for any loss, cost, claim, damage, expense, liability, delay, lost opportunity, loss of profit, or consequential, incidental, special, punitive, or indirect loss arising out of or relating to the Applicant's submission of this CDDF, the Principal's review, rejection, suspension, restriction, or termination of any contemplated relationship or transaction, any request for additional information or documentation, any delay, non-acceptance, or non-completion of any onboarding process or transaction, or any compliance, sanctions, legal, operational, banking, or risk-based determination made by the Principal or by any third party involved in the contemplated relationship or transaction.

Should the Applicant wish to have a mutual or unilateral non-disclosure agreement executed prior to the completion and submission of this CDDF, or should the Applicant have any question regarding the completion of this CDDF, the interpretation of any information request contained herein, or the supporting documentation to be provided in connection herewith, the Applicant should contact the Principal's compliance department at compliance@balkanassets.com prior to submission.

By completing, signing, and submitting this CDDF, the undersigned, on behalf of himself or herself and the Applicant, acknowledges and confirms that he or she has carefully reviewed this CDDF and this Exhibit A, understands the information and documentation requested herein and in connection herewith, understands the nature and purpose of the due diligence and compliance review to be undertaken by the Principal, and submits the same knowingly, voluntarily, and in good faith.

The undersigned further acknowledges and agrees to the acknowledgments, disclaimers, authorizations, and reservations of rights set forth herein, and confirms that all statements, information, and representations provided in this CDDF, together with any attached or supplemental documentation, are true, correct, and complete to the best of his or her knowledge and belief.

APPLICANT ACKNOWLEDGMENT AND ACCEPTANCE

Full Legal Name	
Company Name 'the Applicant'	
Execution Date	
Signature	