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Link of Spanish version: <https://www.mef.gob.pe/en/por-instrumento/decreto-supremo/18954-decreto-supremo-n-003-2019-ef/file>

Annex
FORM TO BE COMPLETED BY THE INDIVIDUAL THAT QUALIFIES AS BENEFICIAL OWNER
(subparagraph a) of paragraph 7.1. of Section 7 of the Regulations of Legislative Decree 1372)

Form Completion Date	
Status of Beneficial owner	Individual – Legal Person – Ownership (item a) of paragraph 4.1. of Section 4 of Legislative Decree 1372)
	Individual – Legal Person – Control (item b) of paragraph 4.1. of Section 4 of Legislative Decree 1372)
	Individual – Legal Person (item c) of paragraph 4.1. of Section 4 of Legislative Decree 1372)
	Individual – Legal Arrangement (paragraph 4.2. of Section 4 of Legislative Decree 1372)

1. Identification Information of Individuals¹	
a) Full name	
b) Country of Residence	
c) Date of Birth	
d) Nationality	
e) Type and Number of Identity Document	
e.1) National Identity Card (DNI)	
e.2) Alien Registration Card (CE)	
e.3) Passport	
f) NIT (if foreigner)	
g) RUC (if applicable)	
h) Marital Status	
h.1) Single	
h.2) Married	
h.3) Divorced	
h.4) Widow or Widower	
h.5) Common-Law Partnership	
i) Full Name of Spouse	
j) Type and Number of Identity Document of Spouse	
j.1) National Identity Card (DNI)	
j.2) Alien Registration Card (CE)	
j.3) Passport	
k) Conjugal Property System or others	
k.1) Community Property since: yyyy/mm/dd	
k.2) Separation of Property since: yyyy/mm/dd	
k.3) Common-law Partnership since: yyyy/mm/dd	
l) Relationship with the Legal Person	
m) Contact Information	
m.1) E-mail address	
m.2) Phone number	
n) Address (street, avenue, road or other, urbanization, district, province and postal code).	

2. Beneficial owner – Direct Ownership²					
Number of Shares, Ownership Interests or Rights	Shareholding %	Unit Par Value ³	Type of Shares ⁴ (classification)	Validated date ⁵ (yyyy/mm/dd)	Place of deposit or custody ⁶

3. Beneficial owner – Indirect Ownership⁷			
Are there individuals or legal persons through which you indirectly own or control at least 10% of the legal person's capital stock?	YES	NO	

3.1. Indicate through which person or legal person you exercise indirect ownership	
a. Individual ⁸	
a.1) Relatives – Up to the second degree of consanguinity	
a.2) Relatives – First degree of affinity	
a.3) Spouse – Common-Law Partner	
a.4) Agent ⁹	
b. Legal person ¹⁰	

3.2. Chain of Ownership

¹ Section 4 of the Regulations on Legislative Decree 1372.

² Item a) of paragraph 4.1 of Section 4 of Legislative Decree 1372.

³ Shares, Ownership Interests or Rights.

⁴ Whether they are common shares or grant preferential rights regarding entitlement to vote. If there is a classification of shares within the organization, in accordance with the provisions of Section 88 of the Business Corporations' Act.

⁵ Date on which he or she acquires the status of beneficial owner in the legal person.

⁶ Place where the shares, ownership rights or other rights are deposited or in custody, if they are not in the country of residence of the beneficial owner.

⁷ Item a) of paragraph 4.1 of Section 4 of Legislative Decree 1372.

⁸ In table 3.2.1, you must detail the individuals related to the beneficial owner, add their corresponding shareholding percentage, and verify if this amount is equal to or greater than 10% of the capital stock of the legal person (item a) of paragraph 4.1. of Section 4 of Legislative Decree 1372). If this is the case, all such individuals qualify as beneficial owners.

⁹ An agent without representation powers, in accordance with the provisions of Section 1809 of the Civil Code.

¹⁰ Complete tables 3.2.1. and 3.2.2. In table 3.2.1, list all the shareholders of the legal person. In table 3.2.2, detail all intermediary legal persons and/or legal arrangements and/or individuals, until reaching the individual that qualifies as the beneficial owner.

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3.2.1. Summarized table of individuals holding shares in the capital stock of a legal person						
Order Number	Validated date (yyyy/mm/dd)	Full name	Declared par value	direct shareholding % over the legal person's capital stock	Is this individual the Beneficial owner? (Yes / No)	Remarks

3.2.2. Table of individuals comprised in the chain of ownership							
Order Number	Type (Chain / BO – Chain / BO – Others / No BO)	Full name ¹¹	Intermediary	shareholding % over the intermediary	indirect shareholding % over the legal person's capital stock	Is this individual the Beneficial owner? (Yes / No)	Remarks

3.3. Information on the legal person or legal arrangement ¹²	
a)	Name or Corporate Name
b)	Country of origin
	b.1) Organization
	b.2) Incorporation
	b.3) Registration
c)	Country of residence
d)	NIT (if foreigner)
e)	RUC (if applicable)
f)	Address (street, avenue, road or other, urbanization, district, province and postal code)

4. Beneficial owner – Control ¹³	
If you exercise indirect control over the legal person by means different than ownership, to adopt and impose decisions, regardless of whether or not you hold formal positions in the legal person, in accordance with the provisions of paragraph 5.4. of Section 5 of the Regulations, please provide the following information, as well as the identification data from Table 1 and Table 2, if applicable.	
Type of control:	
Direct control When the individual exercises more than half of the voting powers in the administrative or management bodies or equivalent bodies that have decision-making powers, in a legal person.	
Indirect control When an individual has the power to appoint, remove or veto the majority of the members of the administrative or management bodies or equivalent bodies of the legal person, as appropriate, to exercise the majority of the votes in the meetings of said bodies and thus approve financial, operational and/or commercial decisions, or is responsible for strategic decisions in the legal person, including decisions on the materialization of the legal person purpose and its continuity.	

5. Beneficial owner of a legal arrangement ¹⁴	
In accordance with the provisions of items a) and b) of paragraph 4.2. of Section 4 of Legislative Decree 1372, the following identification information must be provided:	
<ul style="list-style-type: none"> - Information on the settlor, trustee, trust beneficiary or group of beneficiaries and any other person who, having the status of participant, exercises final effective control over the equity or profits of the trust or investment fund, as appropriate. - In other types of legal arrangements, the person who holds positions similar to those described above and in the case of the trust, additionally the protector or administrator. 	
a.	Position that he or she holds within the legal arrangement
b.	Validated date on which he or she becomes a beneficial owner

Signature of the Beneficial owner¹⁵
Identity Card Number

¹¹ In case they are legal persons, the name or corporate name must be provided.

¹² Provide information on all the intermediary legal persons and/or legal arrangements in the chain of ownership.

¹³ Item b) of Paragraph 4.1 of Section 4 of Legislative Decree 1372.

¹⁴ Paragraph 4.2 of Section 4 of Legislative Decree 1372.

¹⁵ In case of using electronic means, its validation must be carried out with a digital signature.