



Client Questionnaire for Receipt of Investment Services

For Legal Entities

The sections below should be completed in order to determine your client status and to ensure that investment services are appropriate and comply with your interests. In case the questionnaire is filled in incompletely or incorrectly, or information provided does not represent actual situation, it will be impossible to assess whether the requested investment service is appropriate and complies with your interests.

Client Information (this section is mandatory)

Client

company name of legal entity

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client code

Has your company been assigned the status of a professional client¹ regarding all investment services and instruments in any of the EU countries?

no yes

Select the option describing your company. If none of the options suits your company, continue with the following section.

A supervised institution holding the licence for operations in financial market issued by the Republic of Latvia or other country:

- | | |
|--|---|
| <input type="checkbox"/> credit institution | <input type="checkbox"/> company that makes transactions for its own account on the markets of options, futures or financial derivatives, or of underlying assets of derivative contracts for the sole purpose of hedging positions on financial derivatives markets, or that makes transactions for the account of other members of those markets or makes prices for them, and which is guaranteed by clearing members of the same markets, where responsibility for ensuring the performance under contracts entered into by such company is assumed by clearing members of the same markets |
| <input type="checkbox"/> investment brokerage company | |
| <input type="checkbox"/> other licensed or regulated financial institution | |
| <input type="checkbox"/> investment fund or asset management company | |
| <input type="checkbox"/> insurer | <input type="checkbox"/> other company the main activity of which is to invest in financial instruments and which makes such investments on a large scale |
| <input type="checkbox"/> pension fund | |
| <input type="checkbox"/> commodity dealer | |

A commercial company meeting at least two of the following requirements:

- | | | |
|---|---|--|
| <input type="checkbox"/> own funds of EUR 2 000 000 or more | <input type="checkbox"/> net turnover of EUR 40 000 000 or more | <input type="checkbox"/> balance sheet total of EUR 20 000 000 or more |
|---|---|--|

National or regional government, public body that manages public debt, central bank, or other international financial institution

A commercial company the main activity of which is to invest in financial instruments and which makes such investments on a large scale, namely, volume of one transaction in shares and mutual funds of at least EUR 50 000 or equivalent in another currency, transaction in bonds — at least EUR 200 000 or equivalent in another currency, and derivative transaction — at least EUR 1 000 000 or equivalent in another currency

client's or client representative's signature

¹ A client having appropriate experience, knowledge and competence to make independent investment decisions and assess investment risks properly.

Information on the Person Making Investment Decisions (this section is mandatory)

I hereby confirm that investment decisions will be made by the following person:

name, surname, date of birth / identity No. _____

Education

higher education in Economics or Finance

other higher education _____ specify

other _____ specify

Has the mentioned person held a position which required knowledge of financial markets for more than one year?

no

yes,

_____ position and place of work

Does the mentioned person follow the situation in financial markets?

no

yes

Information on Experience in Non-complex Financial Instruments Transactions

The following are non-complex financial instruments, which are considered appropriate for all client, regardless their knowledge and experience of using financial instruments, and appropriateness of these financial instruments is not assessed by the Bank under rendering investment services:

- Bonds or other debt securities admitted to a regulated market¹ (regardless the place of order execution) that do not have embedded derivative financial instruments or the structure which hinder the recognition of associated risk;
- Shares and depositary receipts (ADR, GDR, RDR) admitted to a regulated market¹ (regardless the place of order execution);
- Investment certificates of mutual funds (except investment certificates of alternative mutual funds).

Information on Experience in Complex Financial Instruments Transactions (do not complete this section if you are a professional client)

Please specify complex financial instruments or transactions that person making investment decisions has experience of dealing with:

Financial instrument / transaction	I have knowledge about this instrument and realize risks associated with it	Number of transactions over the past six months	Experience of making transactions	
			Average volume of one transaction (equivalent in EUR)	Period of dealing with the instrument

Complex financial instruments:

Bonds and other debt securities that embed derivative instruments, subordinated, convertible, exchangeable, with put / call option, and other debt securities equivalent in terms of their complexity, as well as those not admitted to a regulated market¹ no yes <5 ≥5 _____ <than 1 year ≥than 1 year

Structured instruments, incl. CLN no yes <5 ≥5 _____ <than 1 year ≥than 1 year

Shares not admitted to a regulated market¹ no yes <5 ≥5 _____ <than 1 year ≥than 1 year

client's or client representative's signature

¹ Regulated market – regulated markets or multilateral trading facilities (MTF) maintained by licensed market makers of the EU and OECD member states, as well as of Norway, Russian Federation, and Hong Kong SAR that are subject to state supervision.

Convertible shares	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> <5	<input type="checkbox"/> ≥5	_____	<input type="checkbox"/> <than 1 year	<input type="checkbox"/> ≥than 1 year
Investment certificates of alternative investment funds (AIF)	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> <5	<input type="checkbox"/> ≥5	_____	<input type="checkbox"/> <than 1 year	<input type="checkbox"/> ≥than 1 year
Options (purchase)	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> <5	<input type="checkbox"/> ≥5	_____	<input type="checkbox"/> <than 1 year	<input type="checkbox"/> ≥than 1 year
Options (short selling)	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> <5	<input type="checkbox"/> ≥5	_____	<input type="checkbox"/> <than 1 year	<input type="checkbox"/> ≥than 1 year
Futures, CFD	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> <5	<input type="checkbox"/> ≥5	_____	<input type="checkbox"/> <than 1 year	<input type="checkbox"/> ≥than 1 year
Foreign exchange transactions Forward / Swap	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> <5	<input type="checkbox"/> ≥5	_____	<input type="checkbox"/> <than 1 year	<input type="checkbox"/> ≥than 1 year
ETF / ETP (Exchange Traded Funds / Products)	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> <5	<input type="checkbox"/> ≥5	_____	<input type="checkbox"/> <than 1 year	<input type="checkbox"/> ≥than 1 year
Complex transactions:							
Short positions	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> <5	<input type="checkbox"/> ≥5	_____	<input type="checkbox"/> <than 1 year	<input type="checkbox"/> ≥than 1 year
Transactions using borrowed funds / margin trading	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> <5	<input type="checkbox"/> ≥5	_____	<input type="checkbox"/> <than 1 year	<input type="checkbox"/> ≥than 1 year

Client's Representation

I hereby confirm that I will be the owner of all financial instruments held in the financial instruments' account.

I hereby confirm that I will be the person having the actual right to receive income from all financial instruments in the account, as well as having an unlimited right to use and dispose income in my own interests.

I hereby confirm that I do not have any obligation to transfer the income amounts (or part of those) to any third party, I am not an agent of any third party and I am acting on my own behalf and at my own expense.

I hereby confirm that all the information provided in this questionnaire is true and undertake to immediately notify ABLV Bank, AS and ABLV Capital Markets, IBAS of any change in the information, including change of the person making investment decisions.

I have been warned that filling in the questionnaire incorrectly or incompletely, as well as not providing current information, will make the investment service provider unable to assess the appropriateness of the requested service and its compliance with my interests.

I have read ABLV Bank, AS and ABLV Capital Markets, IBAS General Terms of Business, as well as Terms and Conditions for Orders for Financial Instruments Transactions, fully understand them and undertake to comply with them.

Client representative _____
name, surname

Date _____
day month year client's or client representative's signature

Place _____
city, country

Notes by the Investment Service Provider / Bank's Officer

Checked

Client is assigned the following status retail client

professional client:

for all types of financial instruments

for specific types of instruments _____
specify

_____ specify

eligible counterparty

ABL V Capital Markets,
IBAS authorized officer

signature of the authorized officer and name, surname

ABL V Bank, AS
authorized officer

signature of the authorized officer and name, surname

Date

<input type="text"/>						
day		month		year		