



JSC "RIETUMU BANKA"
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CLIENT APPLICATION FORM FOR OPERATIONS ON FINANCIAL INSTRUMENTS MARKET

Date / / 20

Approved by the Board of JSC "Rietumu Banka", Minutes No. 58, 19.12.2018

COMPLETE IN BLOCK CAPITALS

Client (corporate entity: full name / private individual: name, surname)

Current account No.

1. Have you been categorised as a professional client in any other European Union member state or in the member state of the European Economic Area:

No Yes

2. Please mark one choice which is applicable to you:

2.1. A company which holds a licence to conduct transactions on financial markets and is supervised by a competent authority:

- a trade dealer on derivative financial instruments market
- a company which carries out proprietary trading or trading at the expense of other market participants on derivative financial market instruments
- other company, whose principal activity is investing in financial instruments and which carries out such investments in large volumes

2.2. A company which meets at least two of the three parameters:

- shareholders' equity of at least 2 million EUR
- net turnover of at least 40 million EUR
- balance-sheet value of at least 20 million EUR

2.3. A company, whose principal activity is investing in financial instruments and which carries out such investments in large quantities

2.4. Do not comply with any of the above stated criteria

3. Please mark:

3.1. Your assets and liabilities:

ASSETS			
Cash funds and short-term deposits	Financial instruments	Real estate (the only home should not be specified)	Other assets
<input type="checkbox"/> no assets	<input type="checkbox"/> no assets	<input type="checkbox"/> no assets	<input type="checkbox"/> no assets
<input type="checkbox"/> less than 100 000 EUR	<input type="checkbox"/> less than 100 000 EUR	<input type="checkbox"/> less than 100 000 EUR	<input type="checkbox"/> less than 100 000 EUR
<input type="checkbox"/> 100 000 - 500 000 EUR	<input type="checkbox"/> 100 000 - 500 000 EUR	<input type="checkbox"/> 100 000 - 500 000 EUR	<input type="checkbox"/> 100 000 - 500 000 EUR
<input type="checkbox"/> 500 000 - 1 000 000 EUR	<input type="checkbox"/> 500 000 - 1 000 000 EUR	<input type="checkbox"/> 500 000 - 1 000 000 EUR	<input type="checkbox"/> 500 000 - 1 000 000 EUR
<input type="checkbox"/> over 1 000 000 EUR	<input type="checkbox"/> over 1 000 000 EUR	<input type="checkbox"/> over 1 000 000 EUR	<input type="checkbox"/> over 1 000 000 EUR

LIABILITIES			
Short-term cash liabilities (less than 3 years)		Long-term cash liabilities (over 3 years)	
<input type="checkbox"/> no liabilities	<input type="checkbox"/> less than 50 000 EUR	<input type="checkbox"/> no liabilities	<input type="checkbox"/> less than 50 000 EUR
<input type="checkbox"/> 50 000 - 100 000 EUR	<input type="checkbox"/> 100 000 - 500 000 EUR	<input type="checkbox"/> 50 000 - 100 000 EUR	<input type="checkbox"/> 100 000 - 500 000 EUR
<input type="checkbox"/> over 500 000 EUR		<input type="checkbox"/> over 500 000 EUR	

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X

(Client's signature)

3.2. Amount of net incoming payments for the last 12 months (net of all costs):

- no incoming payments 100 000 - 500 000 EUR
 less than 100 000 EUR over 500 000 EUR

3.3. Sources of your regular income:

- wage/salary income from real estate transactions no regular income
 interest income, dividends other regular income

3.4. Unplanned need for assets:

- you don't plan serious withdrawals from the investment account
 you may need up to 10% of assets at any time
 you may need up to 50% of assets at any time
 you may need all your assets at any time

4. Please describe your investment activity:

4.1. Objective of planned transactions with financial instruments:

(mark one or several choices)

- preservation of assets*
 generating income from coupons, dividends in long-term operations
 income from growth in value of the underlying assets
 operations on the financial instruments market for commercial purposes
 use of complex instruments for the gaining of increased income, speculative operations
 provision of investment services to third parties

* if you select the option "storage of assets", other selected options will not be taken into account

4.2. Additional investment services you expect to receive:

(mark one or several choices)

- marginal lending
 trading platforms (Rietumu FX, RB Trader Station, CTS T4 and others)

4.3. An investment option of 100 000 EUR for 3 years, which is the most acceptable for you (considering the potential positive and/or negative cost scenario of the appropriate option):

- safety of investment (indicative profit 0–2% per year), loss is unacceptable
 to gain small profit (indicative profit 3–4% per year), potential loss less than 5% from the initial investment
 to gain average profit (indicative profit 5–7% per year), potential loss less than 10% from the initial investment
 to gain increased profit (indicative profit 8–10% per year), potential loss less than 20% from the initial investment
 to gain maximum profit with high risk investments (indicative profit over 10% per year), potential loss over 20% from the initial investment

4.4. Planned investment time horizon:

- up to 1 year from 1 to 5 years over 5 years

5. Information on the Client's Representative:

5.1. Have you held a position in a financial sector which requires knowledge about transactions and services on financial instruments market which you plan to conduct or receive:

- No Yes (please specify):
 financial market analyst
 portfolio manager or investment fund manager, investment strategist
 deposit advisor
 investment services supervision expert in the regulator of the member state
 broker, dealer, trader

5.2. Please specify your education: primary education secondary education higher education

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5.3. Are you included in a list of holders of internal information of an issuer whose financial instruments are traded on a regulated market:

Yes No

5.4. Your investment experience and financial instruments you are interested in:

Simple instruments	Trading experience	Number of transactions per year	Knowledge level
<input type="checkbox"/> Shares (simple, without embedded derivatives)	<input type="checkbox"/> no experience <input type="checkbox"/> < 2 years <input type="checkbox"/> > 2 years	<input type="checkbox"/> less than 10 <input type="checkbox"/> 10 - 50 <input type="checkbox"/> over 50	<input type="checkbox"/> basic <input type="checkbox"/> intermediate <input type="checkbox"/> advanced
<input type="checkbox"/> Bonds and simple debt instruments (simple bonds and debt instruments with high rating, without embedded derivatives and complex embedded parametres)	<input type="checkbox"/> no experience <input type="checkbox"/> < 2 years <input type="checkbox"/> > 2 years	<input type="checkbox"/> less than 10 <input type="checkbox"/> 10 - 50 <input type="checkbox"/> over 50	<input type="checkbox"/> basic <input type="checkbox"/> intermediate <input type="checkbox"/> advanced
<input type="checkbox"/> Money Market (deposits etc., without instruments with embedded derivatives and complex parametres)	<input type="checkbox"/> no experience <input type="checkbox"/> < 2 years <input type="checkbox"/> > 2 years	<input type="checkbox"/> less than 10 <input type="checkbox"/> 10 - 50 <input type="checkbox"/> over 50	<input type="checkbox"/> basic <input type="checkbox"/> intermediate <input type="checkbox"/> advanced

Complex instruments

<input type="checkbox"/> Shares, ETF, UCITS funds (complex shares, penny stock, ETF and UCITS structured funds etc.)	<input type="checkbox"/> no experience <input type="checkbox"/> < 2 years <input type="checkbox"/> > 2 years	<input type="checkbox"/> less than 10 <input type="checkbox"/> 10 - 50 <input type="checkbox"/> over 50	<input type="checkbox"/> basic <input type="checkbox"/> intermediate <input type="checkbox"/> advanced
<input type="checkbox"/> Bonds (complex bonds and debt instruments with embedded parametres, and junk bonds)	<input type="checkbox"/> no experience <input type="checkbox"/> < 2 years <input type="checkbox"/> > 2 years	<input type="checkbox"/> less than 10 <input type="checkbox"/> 10 - 50 <input type="checkbox"/> over 50	<input type="checkbox"/> basic <input type="checkbox"/> intermediate <input type="checkbox"/> advanced
<input type="checkbox"/> Futures (any type of futures – commodity, currency, financial etc.)	<input type="checkbox"/> no experience <input type="checkbox"/> < 2 years <input type="checkbox"/> > 2 years	<input type="checkbox"/> less than 10 <input type="checkbox"/> 10 - 50 <input type="checkbox"/> over 50	<input type="checkbox"/> basic <input type="checkbox"/> intermediate <input type="checkbox"/> advanced
<input type="checkbox"/> Options (any type of options – both share and future options)	<input type="checkbox"/> no experience <input type="checkbox"/> < 2 years <input type="checkbox"/> > 2 years	<input type="checkbox"/> less than 10 <input type="checkbox"/> 10 - 50 <input type="checkbox"/> over 50	<input type="checkbox"/> basic <input type="checkbox"/> intermediate <input type="checkbox"/> advanced
<input type="checkbox"/> Marginal Forex, CFDs (trading in instruments with leverage, individual trade, using electronic platforms)	<input type="checkbox"/> no experience <input type="checkbox"/> < 2 years <input type="checkbox"/> > 2 years	<input type="checkbox"/> less than 10 <input type="checkbox"/> 10 - 50 <input type="checkbox"/> over 50	<input type="checkbox"/> basic <input type="checkbox"/> intermediate <input type="checkbox"/> advanced
<input type="checkbox"/> Precious metals (XAU, XAG and other) and currency swaps/forwards	<input type="checkbox"/> no experience <input type="checkbox"/> < 2 years <input type="checkbox"/> > 2 years	<input type="checkbox"/> less than 10 <input type="checkbox"/> 10 - 50 <input type="checkbox"/> over 50	<input type="checkbox"/> basic <input type="checkbox"/> intermediate <input type="checkbox"/> advanced
<input type="checkbox"/> Other: CDS, Non-UCITS funds etc.	<input type="checkbox"/> no experience <input type="checkbox"/> < 2 years <input type="checkbox"/> > 2 years	<input type="checkbox"/> less than 10 <input type="checkbox"/> 10 - 50 <input type="checkbox"/> over 50	<input type="checkbox"/> basic <input type="checkbox"/> intermediate <input type="checkbox"/> advanced

Client acknowledges that:

(please mark one of the choices)

- the Client owns assets on the Client's financial instruments account and cash account with JSC "Rietumu Banka"
- the Client will keep and conduct transactions with the assets on the Client's financial instruments account and cash account, held with JSC "Rietumu Banka", in favour of third parties, and these accounts will be nominal within the meaning of the Financial Instrument Market Law of the Republic of Latvia

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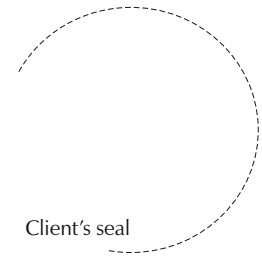
X

(Client's signature)

I hereby certify that all information provided herein is true. The Client undertakes to inform JSC "Rietumu Banka" in due course about any changes in the aforementioned information.

I acknowledge that I have read and agree to the Client Personal Data Protection Notice (available on the website www.rietumu.com).

Client represented by _____
(name, surname)



X _____
(signature)

Client's seal

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TO BE COMPLETED BY BANK EMPLOYEE

I confirm the identity and signature of the Client or the Client's Representative

Passport / Identity document No. _____

_____ X _____ Date ____ / ____ / 20____
(name, surname) (signature)

Based on the information provided the following category has been assigned to the Client:

an eligible counterparty a professional client a retail client

_____ X _____ Date ____ / ____ / 20____
(name, surname) (signature)

I hereby confirm the assigned category

_____ X _____ Date ____ / ____ / 20____
(name, surname) (signature)