

Paperwork instructions

Dear Client!

You will need to fill out the Client Application Form, one copy, and forward it to JSC “Rietumu Banka” (hereinafter referred to as “the Bank”). On the basis of the information supplied by you in the Client Application Form Bank will assign one of the three statuses as defined by the Financial Instrument Market Law of the Republic of Latvia.

After the Bank will assign one of the statuses and notify you about that you will receive the Status Identification, which will be included in the documents pack, which you will have to read through carefully, and afterwards you will need to fill out and sign certain documents. We would like to pay your attention that in accordance with Bank’s policy we do not provide services to persons who have been assigned with the status of private client.

Attention! If you choose to fill out part 3 of the Client Application Form, where you state your free will to become a professional client, you need to mark at least 2 out of 3 criteria provided as a choice in part 3.

After you will be assigned with the relevant status Bank will provide you with the Status Assignment Notification with the following attachments for your revision:

- Status Identification;
- An Excerpt from JSC “Rietumu Banka” Client Order Execution Policy for Operations on Financial Markets;
- Status Assignment Confirmation;
- Declaration of Understanding Risks Involved in Transactions on Financial Markets;
- Procedure for Out-Of-Court Settlement of Client Complaints and Claims;
- General Conditions of the Opening and Maintenance of Financial Instruments Account (with applicable appendices);
- Statement of Acceptance of General Conditions of the Opening and Maintenance of Financial Instruments Account.

If you agree with contents and terms of all the above listed documents you will have to sign and forward to the Bank the following:

- Status Assignment Confirmation;
- Declaration of Understanding Risks Involved in Transactions on Financial Markets (**Attention**, this document does not have to be signed if you were assigned with the status of an eligible counterparty);
- Procedure for Out-Of-Court Settlement of Client Complaints and Claims;
- Preferred Communication Method Form;
- Signature and Seal Specimen Card (legal entities) / Signature Specimen Card (natural persons);
- Statement of Acceptance of General Conditions of the Opening and Maintenance of Financial Instruments Account.

We would like to pay your attention that the documents listed in the Status Assignment Notification with the mark “2 copies” next to them have to be signed in 2 copies and both copies have to be sent to the Bank.

After you have gone through, signed and sent the documents to the Bank everything will be checked by the Bank in accordance with the requirements. After the Bank will finish checking and there will be no errors and inconsistencies found we will send you the Account Confirmation. After you will receive the Account Confirmation you may start to conduct transactions on financial markets.

Should you have any queries regarding the paperwork please do not hesitate to turn to the Bank using the following contact information:

**JSC “Rietumu Banka”
Securities and Financial Markets Department, Sales Division**

Tel: +371 6 702 5284

Fax: +371 6 702 5226