

3. A country, a local government or a public institution that services public debt, a national central bank, the World Bank, the International Monetary Fund, the European Central Bank or another international financial institution
4. A company, whose principal activity is investing in financial instruments and it carries out such investments in large quantities

3 Please complete this section only if you have not marked any of the choices under Section 2, however, you wish to be recognised as a professional client.

I hereby apply for the status of a professional client. I hereby acknowledge the following:

- I have carried out at least 10 substantial transactions in financial markets per quarter during the past four quarters (a substantial transaction is a transaction involving at least 50 000 EUR)
- the value of my portfolio of financial instruments, which includes financial instruments and funds, exceeds 500 000 EUR
- my professional experience in the financial sector, holding an office, which requires the knowledge of transactions and services in financial markets, is at least 1 year

Signature: _____

To be completed by an authorised officer of JSC "Rietumu Banka"

According to the results of the interview of the Client and the additional information provided by the Client, Client's statements in the section 3 of the Client Application Form

- are correct are not correct

(name, surname)

(signature, seal)

Date / /20

4 Please specify the objective of your expected transactions with financial instruments (mark one or several choices):

- capital increase long-term investments in financial instruments
- speculative transactions in financial markets other _____

Please specify the volume of transactions with financial instruments you expect to conduct per year:

- 50 000 – 200 000 EUR 500 000 – 1 000 000 EUR
- 200 000 – 500 000 EUR over 1 000 000 EUR

Please specify the types of financial services you expect to receive (mark one or several choices):

- buying / selling financial instruments on regulated and OTC markets buying / selling futures, options and other derivative financial instruments
- buying / selling shares in investment funds margin transactions
- FOREX market transactions transactions with financial instruments by means of electronic platforms
- other transactions _____

Please describe your current activity in financial markets:

number of transactions during the past year from _____ to _____

total volume of transactions during the past year from _____ to _____ EUR

average frequency of transactions per month from _____ to _____

principal types of transactions _____

- I have not conducted any transactions with financial instruments yet

Please mark the principal financial instruments you currently work with (mark one or several choices):

- shares bonds options futures investment funds

other (please specify): _____

- I have not conducted any transactions with financial instruments yet

Please specify how long you have been conducting transactions in financial markets:

- for less than 1 year for 1-3 years for 3-5 years for over 5 years
 I have not conducted any transactions with financial instruments yet

Please specify the principal financial markets, where you currently conduct transactions:

- OTC markets FOREX market
 regulated markets (please specify) _____
 I have not conducted any transactions with financial instruments yet

To be completed by legal entities

Main area of activity _____

Equity capital* _____

Balance-sheet assets* _____

*As of the latest reporting date

To be completed by natural persons

Education: secondary or specialised secondary education higher education (please specify) _____
 other (please specify) _____

Occupation: profession/speciality _____
 current place of employment _____
 position _____

Is your current occupation related to transactions in financial markets: Yes No

Representations and acknowledgments

I hereby acknowledge the following (please mark one of the choices)

- I am and will remain the owner of the financial instruments in my financial instruments account
 the financial instruments account will be a nominal account (within the meaning of the Financial Instrument Market Law of the Republic of Latvia)

I would like to receive the notification regarding my status and any other information and documents related to the opening of a financial instruments account with JSC "Rietumu Banka" as follows:

- in person by e-mail _____
 by mail _____

I hereby certify with my signature that all information provided herein is true and I undertake to inform JSC "Rietumu Banka" in due course about any significant changes in the aforementioned information.

Client _____ (represented by: name, surname) _____ (signature, seal)

Rietumu ID _____ **Test Key** _____

To be completed by an authorised officer of JSC "Rietumu Banka"

Based on the information provided by the client the following status has been assigned to the client:

- an eligible counterparty a professional client a private client

_____ (name, surname) _____ (signature, seal) Date ____/____/20__

I hereby confirm the assigned status

_____ (name, surname) _____ (signature, seal) Date ____/____/20__