RIETUMU
JSC "Rietumu Banka" / 7 Vesetas str. / Riga / LV-1013 / Latvia
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CLIENT APPLICATION FORM FOR INDIVIDUAL PORTFOLIO MANAGEMENT SERVICES OR CONSULTATION SERVICES

Date __/__/ **20** __

Approved at JSC "Rietumu Banka" Board Meeting on July 28,2017, Minutes No. 26

COMPLETE IN BLOCK CAPITALS

The information specified therein will be used in order to identify the compliance of individual portfolio management or consultation services of JSC "Rietumu Asset Management" IMF to the Client's interests.
JSC "Rietumu Asset Management" IMF, unified reg. No. 40103753360, registered in the Commercial Register of the Republic of Latvia on 29 January 2014, legal address: 7 Vesetas, Riga, LV-1013, the Republic of Latvia. The licence for the provision of investment management services was reregistered on 17 April 2014 by the Financial Capital and Market Commission. Licences Register No. 06.03.06.512/356.

In case the Client fails to fill out this Appendix, he/she will not receive the individual portfolio management and/or consultation services.

1 Client ______________________________

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

Current account No. ______________________________

2 Please mark:

2.1. What kind of services were provided to the Client before:
(please tick one or several options)

☐ financial instruments portfolio individual management

☐ consultations on investments in financial instruments

☐ investment services

2.2. Client assets:

	no assets	less than 10 000 EUR	10 000 – 500 000 EUR	500 000 – 1 000 000 EUR	over 1 000 000 EUR
Cash funds and short-term deposits	☐	☐	☐	☐	☐
Financial instruments	☐	☐	☐	☐	☐
Real estate (the only home should not be specified)	☐	☐	☐	☐	☐
Other assets	☐	☐	☐	☐	☐

2.3. Amount of monthly income:

☐ no income ☐ less than 10 000 EUR ☐ 10 000–50 000 EUR ☐ over 50 000 EUR

2.4. Amount of payments per month for settlement of current liabilities towards third parties

☐ no liabilities ☐ less than 10 000 EUR ☐ 10 000–50 000 EUR ☐ over 50 000 EUR

2.5. Whether the amount of liabilities is sufficient to cover the expenses and enter into transactions with financial instruments:

☐ insufficient ☐ sufficient

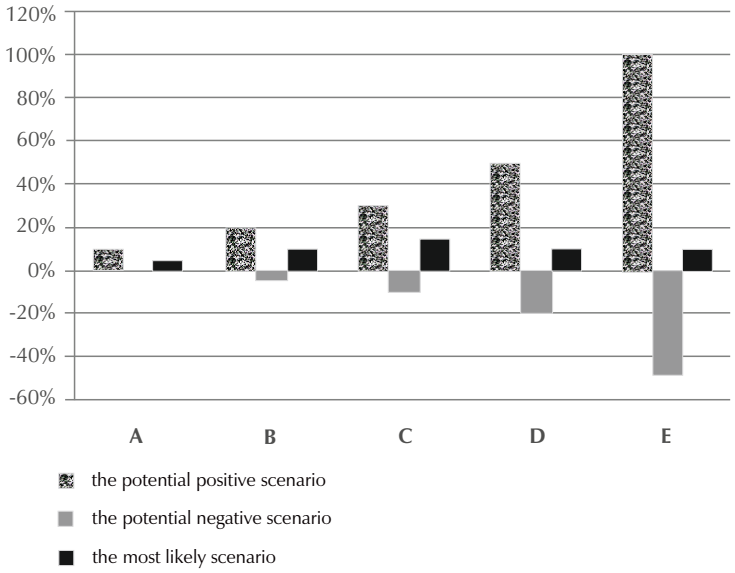
Rietumu ID ________ Test key ________ X ________
(Client's signature)

2.6. Client's unplanned need for assets:

- ☐ all assets may be needed at any time
- ☐ up to 10% of assets may be needed at any time
- ☐ up to 50% of assets may be needed at any time
- ☐ no serious withdrawals are planned

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

- ☐ **Option A** – safety of investment, loss is unacceptable
- ☐ **Option B** – to gain small profit, potential loss less than 5% from the initial investment
- ☐ **Option C** – to gain average profit, potential loss less than 20% from the initial investment
- ☐ **Option D** – to gain increased profit, potential loss less than 20% from the initial investment
- ☐ **Option E** – to gain maximum profit with high risk investments, potential loss over 20% from the initial investment



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.

Client represented by _____
(name, surname)

X _____
(signature)

Client's seal

Rietumu ID ⌊_⌊_⌊_⌊_⌊_⌊_⌊_⌋ **Test key** _____

TO BE COMPLETED BY THE 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)