

Client Investment Profile – Legal Entity

Initial entry of information
 Change of information
 Information update

1. INFORMATION ABOUT THE LEGAL ENTITY

Full name of the legal entity	
Registration number	

2. ORIGIN AND DESTINATION OF FUNDS

The nature of funds (own funds, borrowed funds, brokerage client funds, funds under management, etc.)	
Expected origin of funds (i.e. banks, brokers, third parties and countries of their origin), please specify the particular sources	
Expected destination of withdrawals (i.e. banks, brokers, third parties and countries of their origin), please specify the particular recipients	

3. FINANCIAL PARAMETERS*

Balance sheet total, Euros		<input type="checkbox"/>	Exceeds € 20.000.000 (twenty million Euros)
Net turnover, Euros		<input type="checkbox"/>	Exceeds € 40.000.000 (forty million Euros)
Own funds, Euros		<input type="checkbox"/>	Exceed € 2.000.000 (two million Euros)
Financial instruments portfolio, defined as cash and financial instruments, Euros		<input type="checkbox"/>	Exceeds € 500.000 (five hundred thousand Euros)
Average frequency of transactions carried out per quarter over the previous 4 (four) quarters in significant size on the relevant market		<input type="checkbox"/>	10 (ten) or more

*According to the latest (audited) financial statement

4. INVESTMENT GOALS

Considered Financial Instruments (Products)			
<i>Less complex Products</i>		<i>More complex Products</i>	
<input type="checkbox"/>	Ordinary shares <input type="checkbox"/> Most liquid <input type="checkbox"/> Less liquid	<input type="checkbox"/>	Units in alternative investment funds (AIFs)
<input type="checkbox"/>	Preferred shares <input type="checkbox"/> Most liquid <input type="checkbox"/> Less liquid	<input type="checkbox"/>	Exchange Traded Notes (ETNs)
<input type="checkbox"/>	Corporate bonds <input type="checkbox"/> Most liquid <input type="checkbox"/> Less liquid	<input type="checkbox"/>	Futures
<input type="checkbox"/>	Government or municipal bonds	<input type="checkbox"/>	Purchasing exchange traded options
<input type="checkbox"/>	Medium-term bank notes	<input type="checkbox"/>	Selling (writing out) exchange traded options
<input type="checkbox"/>	Units in regulated collective investment undertakings (UCITS)	<input type="checkbox"/>	Structured financial instruments (Structured Notes)
<input type="checkbox"/>	Other less complex Product, please specify:	<input type="checkbox"/>	Lower Risk Reversed REPO transactions with shares
<input type="checkbox"/>	Other less complex Product, please specify:	<input type="checkbox"/>	Higher Risk Reversed REPO transactions with shares
<input type="checkbox"/>	Other less complex Product, please specify:	<input type="checkbox"/>	Lower Risk REPO transactions (<i>only for professional clients</i>)

Signature of the person signing on behalf of the entity

<input type="checkbox"/>		<input type="checkbox"/>	Higher Risk REPO transactions (<i>only for professional clients</i>)
<input type="checkbox"/>		<input type="checkbox"/>	Other more complex Product, please specify:
<input type="checkbox"/>		<input type="checkbox"/>	Other more complex Product, please specify:
Main objectives and risk tolerance			
<input type="checkbox"/>	Asset protection with minimal risk of loss (operational funds short-term placement, pending business project, etc.)	<input type="checkbox"/>	Aggressive asset growth with high loss acceptable (investing spare capital with the loss of all amount invested not sensitive)
<input type="checkbox"/>	Moderate asset growth with moderate loss acceptable (increase of capital with potential loss covered from regular business activity, etc.)	<input type="checkbox"/>	Venture investments, speculation with leverage (loss significantly exceeding the invested amount acceptable and bearable)
Planned term of investment (investment horizon)			
<input type="checkbox"/>	Short-term (up to 1 year)	<input type="checkbox"/>	Medium-term (3-5 years)
<input type="checkbox"/>	Medium-term (1-3 years)	<input type="checkbox"/>	Long-term (> 5 years)
Ability to absorb losses on investment (assets owned)			
<input type="checkbox"/>	The latest annual financial statement provided	<input type="checkbox"/>	Possible losses according to the stated risk tolerance covered

Intended financial markets (geographic areas)			
<i>Developed and EU markets</i>		<i>Emerging markets (other than EU)</i>	
<input type="checkbox"/>	Europe (EU)	<input type="checkbox"/>	Russia
<input type="checkbox"/>	Europe (other than EU)	<input type="checkbox"/>	Ukraine, Kazakhstan and other CIS states
<input type="checkbox"/>	USA and Canada	<input type="checkbox"/>	Latin America
<input type="checkbox"/>	Japan	<input type="checkbox"/>	Middle East and Asia
<input type="checkbox"/>	Other developed markets _____	<input type="checkbox"/>	Other emerging markets _____

5. EXPECTED ACCOUNT ACTIVITY

Expected monthly volume of transactions (in US\$)	
Expected monthly volume of Assets deposits and withdrawals (in US\$)	
Expected monthly frequency of transactions	
Expected investment amount (in US\$)	From To

6. PERSON WHO WILL MAKE INVESTMENT DECISIONS FOR THE CLIENT (ORIGINATOR)

Full name	
Position	
Education	<input type="checkbox"/> in finance, economics, management, accounting, or related field <input type="checkbox"/> Higher <input type="checkbox"/> in computational/technical sciences, engineering, or related field <input type="checkbox"/> in law, taxation, or related field <input type="checkbox"/> other <input type="checkbox"/> Incomplete higher <input type="checkbox"/> Secondary education <input type="checkbox"/> Specialized secondary <input type="checkbox"/> Other (please specify)
Professional certificates (if any)	

Signature of the person signing on behalf of the entity

Previous professional activity	<input type="checkbox"/> Employed	Industry	Employer	Role
	<input type="checkbox"/> Employed	Industry	Employer	Role
				Time period

7. ORIGINATOR'S EXPERIENCE IN DEALING WITH FINANCIAL INSTRUMENTS

What types of financial instruments have been used previously?

Financial instrument	Experience in years

Average annual frequency of past transactions in significant size for the previous four quarters

<input type="checkbox"/>	1-3	<input type="checkbox"/>	4-10	<input type="checkbox"/>	11-50	<input type="checkbox"/>	50-99	<input type="checkbox"/>	100+
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The size of the financial instrument portfolio as of the date of this document (in US\$)

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Password (/digit code) for placing instructions and requesting information by fax, e-mail or phone	
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Name of person signing on behalf of the entity

Date

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Signature

Stamp

Signature of the person signing on behalf of the entity