

FI account number: _____

_____ 20__ .

CUSTOMER QUESTIONNAIRE

Receipt of Investment Services and Auxiliary Investment Services for Transactions with Financial Instruments

Dear Customer:

Please provide information required below to TRASTA KOMERCBANKA JSC. Your information will be used in compliance with the law of the Republic of Latvia On Financial Instruments Market.

If the Customer refuses to provide information requested by the Bank or provides incomplete or inaccurate information, or does not notify the Bank about changes in the information provided earlier, the Bank shall not be held responsible if it cannot evaluate whether a particular service is appropriate for the Customer and whether the Customer can stand financial losses. If the Customer has not provided additional data, the Bank shall not be held responsible for any consequences caused by Customer's refusal to provide information, or by provision of incomplete information, or by not notifying the Bank about changes in the information provided earlier.

If despite the Bank's warning that a certain transaction is not appropriate for the Customer, he still concludes this transaction, the Customer should realize that he exposes himself to the risks, for adequate evaluation, control and mitigation of which he does not have sufficient knowledge or experience.

If the Customer upon his own initiative submits an order to the Bank in regard to a transaction with financial instruments that are considered simple financial instruments (equities traded in the regulated market of EU member states or listed on foreign stock exchanges, instruments of the money market, bonds or other debt securities (except those bonds or debt securities which include derivatives), with investment certificates of investment funds, and other financial instruments which according to the legislation of the Republic of Latvia are considered simple financial instruments, the Bank will not evaluate whether the respective investment service or offered instrument is appropriate for the Customer, and it is not Bank's responsibility to caution the Customer about inappropriateness of a certain instrument and/or investment service for the Customer.

Information about Customer

Name, surname / Company name	
Personal ID number (date of birth for LR non-residents) / Reg. No.	

Legal entity:

Representation basis (Articles of Association, Power of Attorney, other)	
Proxy's name, surname	
Personal ID number (for LR residents)	
Password number and date of birth (LR non-residents)	

Current account No.	LV__/_/ KBRB __/__/__/ __/__/__/ __/__/__/ __
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Refusal to provide requested information:

TRASTA KOMERCBANKA JSC informs that by refusing to provide the information requested below or data on changes in said information you agree that TRASTA KOMERCBANKA JSC is not responsible for any consequences caused by your refusal to provide the information, or by provision of incomplete information, or by failure to inform of any changes in the information supplied previously.

I hereby confirm that I refuse to furnish the information requested below: _____

signature

1. Information on Holding of Inside Information

Are you included in the list of insiders of any issuer whose Financial Instruments are traded in regulated markets?

Yes No

If you have answered "Yes" to the previous question, please indicate respective issuers:	
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2. Information on Possession of Financial Instruments

- I confirm that I will be the owner of all Financial Instruments in the financial instrument account
- I confirm that I will not own but manage Financial Instruments in the financial instrument account. The financial instrument account will be a nominal account, as constructed by the Republic of Latvia Law *On Financial Instruments Market*

3. Information on Knowledge, Experience and Purposes of Transactions with Financial Instruments

Purpose of Financial Instrument Transactions

- single transaction
- accrual of capital
- short-term investments (for up to 1 year) and speculations in financial markets
- long-term investments (for over 1 year)
- other _____

Experience in Financial Instrument transactions

Equity securities:

- I have no transaction experience
- I have performed transactions with Financial Instruments for _____ years (on average per month _____ transactions)
- I am a professional investor

Debt securities:

- I have no transaction experience
- I have performed transactions with Financial Instruments for _____ years (on average per month _____ transactions)
- I am a professional investor

Investment funds:

- I have no transaction experience
- I have performed transactions with Financial Instruments for _____ years (on average per month _____ transactions)
- I am a professional investor

Other financial instruments:

- I have no transaction experience
- I have performed transactions with Financial Instruments for _____ years (on average per month _____ transactions)
- I am a professional investor

4. Knowledge of Financial Instruments (if at least one box is checked, then APPENDIX TO CUSTOMER QUESTIONNAIRE – Customer’s knowledge of financial instruments – must be filled in)

Knowledge of simple financial instruments

Debt securities:

- Government debentures and bonds
- Corporate bonds and mortgage bonds

Investment funds:

- Bond investment funds
- Share investment funds
- Balanced investment funds
- Stock investment funds
- Exchange traded investment funds (ETF)

Capital securities:

- Ordinary shares
- Preferred shares
- Publicly traded share instruments ADR, GDR, and RDR

Knowledge of complex financial instruments

- Futures
- Options
- Alternative private funds
- Non-public share derivative financial instruments
- Debt securities with embedded derivative
- Other _____

5. Target markets

- Latvia
- Baltic countries
- EU countries
- USA
- Russia
- Other

6. Information on Understanding of Risk

I understand risks related to investments and understand that investments into different types of financial instruments have different degree of risk to incur losses. I am ready to undertake the risks.

- Yes
- No

7. Information on Education

- Secondary
- Secondary vocational
- Higher
- Other _____

8. Information on Financial Condition

For natural persons

Occupation:

Salaried employee (name of the workplace and tel., position)

Entrepreneur (company name, lines of business, nature of obligations)

Secondary school student High school student Pensioner Unemployed

Other _____

Income source

Salary

Revenues from transactions with financial instruments

Scholarship, pension, welfare

Other _____

Income a year (EUR)

under 20,000

from 20,000 to 40,000

above 40,000

Market value of real estate (EUR)

no real estate

under 100,000

from 100,000 to 200,000

from 200,000 to 500,000

from 500,000 to 1,000,000

above 1,000,000

Liabilities to other persons (EUR)

under 100,000

from 100,000 to 200,000

from 200,000 to 500,000

from 500,000 to 1,000,000

above 1,000,000

The value of the existing financial instrument portfolio (financial means and financial instruments) (EUR)

under 100,000

from 100,000 to 200,000

from 200,000 to 500,000

from 500,000 to 1,000,000

above 1,000,000

Please indicate whether the level of your income is sufficient to cover your expenses.

not sufficient

not always sufficient

is sufficient

more than sufficient

To what extent is your financial situation and the ability to pay all liabilities dependent on the assets or money used in transactions with financial instruments?

- not dependent
- partially dependent
- dependent to a large extent

For legal entities

Shareholders' equity (EUR)

- under 100,000
- from 100,000 to 500,000
- from 500,000 to 2,000,000
- above 2,000,000

Net turnover (EUR)

- under 100,000
- from 100,000 to 500,000
- from 500,000 to 2,000,000
- above 2,000,000

Book value (EUR)

- under 100,000
- from 100,000 to 500,000
- from 500,000 to 2,000,000
- above 2,000,000

The value of the existing financial instrument portfolio (financial means and financial instruments) (EUR)

- under 100,000
- from 100,000 to 200,000
- from 200,000 to 500,000
- from 500,000 to 1,000,000
- above 1,000,000

Please indicate whether the level of your income is sufficient to cover your expenses.

- not sufficient
- not always sufficient
- is sufficient
- more than sufficient

To what extent is your financial situation and the ability to pay current and proposed liabilities is dependent on the assets or money used in transactions with financial instruments?

- not dependent
- partially dependent
- dependent to a large extent

9. Planned Average Monthly Volume of Transactions with Financial Instruments (EUR)

- under 100,000
- from 100,000 to 200,000
- from 200,000 to 500,000
- from 500,000 to 1,000,000

10. Information on Used Services

What investment services offered by TRASTA KOMERCBANKA JSC do you plan to use?

- Safekeeping of financial instruments
 De-registration
 Remittance of financial instruments
 Investments and trade:
 Other _____

11. Or, taking into account your experience and knowledge in the financial markets field, do you consider yourself as an Institutional Customer / confirm that you may be classified as an Institutional Customer in accordance with the Republic of Latvia Law *On Financial Instruments Market* or laws of the country of your registration (domicile)?

- I am Institutional Customer I am not Institutional Customer

CONFIRMATION STATEMENT

I hereby confirm that the information I have supplied is true, and I undertake to inform JSC TRASTA KOMERCBANKA JSC of any changes to the information that I have furnished.

TRASTA KOMERCBANKA JSC hereby notifies that should you fail to submit data on changes to the information, which you have provided in this questionnaire, TRASTA KOMERCBANKA JSC shall not be held responsible for any consequences caused by incomplete information or failure to inform of any changes in the information supplied previously.

name, surname

signature

date

12. Information on Customer's status

(to be completed by Bank employee):

Customer is classified as:

- Individual Customer Institutional Customer