

BluOr Bank AS	Ι	Smilšu iela 6, Rīga, LV-1050,	, Latvija	1	Registration	No.	40003551060		SWIFT code: CBBRLV22
		Phone: +371 67 031 333	E-mai	il: info@	bluorbank.lv		www.bluorbank	c.lv	

QUESTIONNAIRE (FOR RECEIVING BROKERAGE SERVICES ON THE FINANCIAL INSTRUMENT (FI) MARKET)

1. Client

1.1. Client information

Client		
	(For individuals – surn	name, name, personal code or date of birth; for legal entities – company name, registration No.)
•	e of the Client – for legal e the person specified in the A	entities pplication for Opening, Restoring and Maintaining a Current Account)
	(Surnar	me, name, personal code or date of birth; identification document No.)
	int No. (IBAN) in , hereinafter – the Bank :	
Is the Client or	n the list (register) of hold	ders of inside information of any issuer whose FIs are traded on a regulated market?
No	Yes	
		(If so, please specify the relevant issuers)

2. Client questionnaire

Please fill out this Questionnaire for Receiving Brokerage Services on the FI Market. The information provided by the Client will allow the Bank to evaluate the appropriateness and suitability of investment services to the Client's interests. If the questionnaire is filled out incompletely or inaccurately, or up-to-date information is not provided, we will be unable to evaluate the appropriateness and suitability of a requested investment service to the Client's interests.

2.1. Filled in by a legal entity

Core line of business:		
	is to invest in financial instruments	Alternative investment fund or alternative investment fund manager
	firm inancial institution e specify)	Insurance company State or international financial institution Pension fund Commodity dealer Other institutional investor
Investment fund or investme	nt fund manager	(Please specify)
Equity (EUR): Annual net turnover (EUR): Balance sheet value (EUR):	Less than 2,000,000 Less than 40,000,000 Less than 20,000,000	2,000,000 or more 40,000,000 or more 20,000,000 or more
The Client confirms that investme Surname, name	-	Personal code/date of birth
Education:		·
College/university (econom	nics or finance)	
Other college/university		(Please specify)

Has the individual who will be making investment decisions been employed in any position that required knowledge of the FI market?

Yes

Other

(Position, employer, work experience)

(Please specify)



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				CONTINUATION
2.2. Filled ou	ıt by	an i	ndividual	
Education:				
Colle	ge/u	nive	rsity (economics or finance)	
Other	r coll	lege,	/university(Please specify)	
Other	r			
			(Please specify)	
Have you be	en e	mplo	oyed in any position that required knowledge of the FI market?	
Yes				No
_			(Position, employer, work experience)	

Average portfolio value during the last 12 months (EUR equivalent):Less than 500,000More than 500,000

2.3. Experience in transactions with non-complex FIs

The Client represents that transactions with FIs will be made exclusively upon the Client's initiative. The Client confirms being informed that the Bank does not evaluate the Client's experience with non-complex FI transactions to determine their appropriateness for the Client; the Client is therefore aware that they will not receive adequate protection against losses that might arise from transactions with non-complex FI.

2.4. The Client's expertise and experience in services related to FIs

Type of Investment services	Are you aware of the investment se		Do you have experience of using such investment services?			
Brokerage	Yes	No	Yes	No		
Portfolio management	Yes	No	Yes	No		
Margin trading	Yes	No	Yes	No		

2.5. The Client's expertise in FI and experience with FI transactions

Please put an "X" where appropriate and select one or more options

Types of Fls/transactions		When did you begin executing transactions with the following FIs?			How often did you execute transactions with these FIs during the previous year?			Are you aware of the nature of these Fls and	Average volume of each transaction (KEUR)*	
		No expe- rience a year ago Vver a		1-10 10-50 >50		applicable risks?				
	Stocks, Exchange Traded funds/notes (regulated market)							Yes No	<50 200-1000	50-200 1000+
Non-complex instruments								Yes	<50 200-1000	50-200 1000+
	Investment funds (UCITS)							Yes	<50 200-1000	50-200 1000+
	Margin Forex							Yes	<50 200-1000	50-200 1000+
Complex FIs	Contract for difference (CFD)							Yes	<50 200-1000	50-200 1000+
	Currency SWAP and FORWARD							Yes No	<50 200-1000	50-200 1000+
	Complex Exchange Traded Funds (leveraged, derivative based etc.)							Yes No	<50 200-1000	50-200 1000+



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BluOr Bank AS

Smilšu iela 6, Rīga, LV-1050, Latvija

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Types o	Types of FIs/transactions		When did you begin executing transactions with the following FIs?		How often did you execute transactions with these FIs during the previous year?			Are you aware of the nature of these	Average volume of each transaction (kEUR)'	
		No expe- rience	Less than a year ago	Over a year ago	1-10	10-50	>50	FIs and applicable risks?		
	F. J.							Yes	<50	50-200
	Futures							No	200-1000	1000+
	Ontiona							Yes	<50	50-200
	Options							No	200-1000	1000+
	Depository receipts							Yes	<50	50-200
	(AḋR, GDŔ)							No	200-1000	1000+
	Complex Fixed income instruments (with put/							Yes	<50	50-200
	call options, convertible, subordinated etc.)							No	200-1000	1000+
	OTC commodity							Yes	<50	50-200
	derivatives (SWAP)							No	200-1000	1000+
	Alternative investment							Yes	<50	50-200
	funds and hedge funds							No	200-1000	1000+
	Structured products							Yes	<50	50-200
	(notes, certificates)							No	200-1000	1000+
	Short selling (bonds,							Yes	<50	50-200
mplex	stocks)							No	200-1000	1000+
nsactions	Securities financing transactions (REPO,							Yes	<50	50-200
	transactions (REPO, REVERSE REPO)							No	200-1000	1000+

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* for derivatives - nominal value of a contract

3. The Bank's warnings

The Client shall be liable for the authenticity and completeness of data and documents submitted to the Bank. The Client shall immediately notify the Bank about any changes in the data supplied to the Bank in writing.

In cases where the Client refuses to supply the Bank with the information requested or fails to provide complete and precise information, or to notify the Bank about changes in any information previously supplied, the Bank shall not be responsible for its inability to make an assessment of whether the Client has sufficient knowledge and experience to understand the risks associated with a certain product or service, whether the Client is able to cover financial losses that might be caused by such a product or service, and cannot warn the Client about cases where a product or service does not meet the Client's investment objectives.

In cases where the Client fails to take the Bank's warning into account and executes any transaction that is considered by the Bank to be not appropriate for the Client, the Client is to be aware that they are exposed to risks and they cannot assess, control, or mitigate appropriately due to lack of sufficient knowledge and experience. In cases where the Client submits to the Bank an order for a transaction with FIs which are considered non-complex FIs under the law, the Bank shall not be obliged to assess the Client's knowledge and experience in transactions with such non-complex FIs or to warn the Client in cases where a product/service is not appropriate for the Client. All other FIs that is not non-complex shall be considered complex.

The Client is aware that, as part of the provision of the investment services, the Bank and the personal data Processors involved in the provision of the relevant services will carry out the processing of personal data.

The Client is informed that the Bank carries out the processing of personal data of individuals pursuant to the procedures laid down in the applicable data protection laws of the Republic of Latvia and the European Union, the General Terms of Business and the Personal Data Processing Policy. Purpose of data processing: providing the investment services. Detailed information on the Bank's policy on personal data processing is available in the Bank's website: https://www.bluorbank.lv/en/information-onprocessing-of-personal-data.

4. Signature of the Client (Client's representative)

Surname, name of the Client (Client's representative) ——	Signat	ure		
Filled out at	Digipass key (S)	Date		L.s.
	(Please specify the key if this document will be signed and sent to the Bank electronically)	d	d/mm/yyyy	

SWIFT code: CBBRLV22



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CONTINUATION

5. Filled in by the Bank

FI Transactions Agreement No.:

The Client is hereby assigned the following status for all investment services/products:

Substantiation for assigned status

Special comments:

If the Client is assigned the status of a Private Client, define the correspondence of the following FI to the Client's interests:

	Types of FIs Non-complex instruments Stocks, Exchange Traded funds/notes (regulated market) Bonds, non-complex fixed income securities Investment funds (UCITS) Investment funds (UCITS) Investment funds (UCITS) Contract for difference (CFD) Contract for difference (CFD) Currency SWAP and FORWARD Complex Exchange Traded Funds (leveraged, derivative based etc.) Futures Futures		ent's experie	ence	Appropriateness of FI to the Client's interests			
			Average	High	Appropriate	Not appropriate	Not enough information	
	Stocks, Exchange Traded funds/notes (regulated market)							
	Bonds, non-complex fixed income securities							
	Investment funds (UCITS)							
	Margin Forex							
	Contract for difference (CFD)							
	Currency SWAP and FORWARD							
	Complex Exchange Traded Funds (leveraged, derivative based etc.)							
	Futures							
Complex Fl	Options							
	Depository receipts (ADR, GDR)							
	Complex Fixed income instruments (with put/call options, convertible, subordinated etc.)							
	OTC commodity derivatives (SWAP)							
	Alternative investment funds and hedge funds							
	Structured products (notes, certificates)							
Complex	Short selling (bonds, stocks)							
transactions	Securities financing transactions (REPO, REVERSE REPO)							

Please be warned that any service (transaction) checked in the "**Not appropriate**" column is not considered appropriate for you. Therefore, your decision to effect a transaction with such FIs shall mean that you are aware of and undertake all possible risks regarding the transaction, and the Bank shall not be responsible for the consequences of such transaction or any damages you may suffer as a result of it.

The Bank has not sufficient information from you concerning your experience and knowledge in transactions with the FIs checked in the "**Not enough information**" column, the Bank is unable to evaluate whether the provided service (transaction) is suitable for you. Therefore, the Bank hereby warns you that your decision to effect transaction with such FIs shall mean that you are aware of and undertake all possible risks regarding the transaction and the Bank shall not be responsible for the consequences of such transaction or any damages you may suffer as a result of it.

Additionally, the Bank warns you that, taking into consideration the aforementioned circumstances, the Bank is unable to provide you with any kind of advice regarding FI transactions.

Surname, name	Signature	Date	L.s.
The Client has b	en notified about the assigned status and about appropriate	dd/mm/yyyy ness of investment services.	
Notification sent	ria		
Bank employee			
Surname, name	Signature	Date dd/mm/yyyy	L.s.