

FINANCIAL INSTRUMENT (FI) TRANSACTIONS AGREEMENT APPLICATION FOR RECEIVING BROKERAGE SERVICES ON THE FI MARKET

1. Client Application

1.1. Client information

Client

(For individuals – surname, name, personal code or date of birth; for legal entities – company name, registration No.)

Representative of the Client – for legal entities

(if different from the person specified in the Application for Opening, Restoring and Maintaining a Current Account)

(Surname, name, personal code or date of birth; identification document No.)

Current Account No. (IBAN) in BluOr Bank AS,
hereinafter – the **Bank**:

L V C B B R

LEI Number*

*For all legal entities

The Client represents that:

They will own all funds on their accounts

Funds on accounts will be held but not owned by the Client

The owner of the funds is

The Client hereby requests opening of an Investment Account, Trading Account and FI Account, and provision of investment services to the Client as specified in the Financial Instruments and precious metals transaction terms and conditions. The Client is aware that the Application for receiving brokerage services on the FI market and the FI transaction terms and conditions together constitute the FI transactions agreement (the Agreement) and are integral parts of the Agreement. The Client undertakes to use the FI Account, the Investment Account and the Trading Account solely in accordance with the provisions of the Agreement and to pay the Bank fees for services received in accordance with the provisions of the Agreement and the Pricelist.

1.2. Preferred means of communication and receipt of information/account statements

Internet Bank

E-mail

Phone

2. The Client's Representations

- The Client represents that they wish to use the investment services provided by the Bank in accordance with the provisions of the Agreement, which the Client undertakes to observe. The Client also represents that, prior to signing the Application for receiving brokerage services on the FI market, they have become acquainted with the Bank's Pricelist, and consent to its provisions.
- The Client is aware that the investment (brokerage) services will be available to them following receipt of the Application and Questionnaire (for receiving brokerage services on the FI market) and processing of the information specified therein.
- The Client consents to the Bank's Order execution policy.
- The Client has internet access, and the Client consents to being notified about their assigned status by e-mail or via the Internet Bank.
- Prior to conclusion of the Agreement, the Bank has notified the Client about the risk of using means of communication, particularly the kinds of risks inherent to use of electronic mail for exchanging documents and information.
- The Client consents to the Bank's right to execute the Client's orders outside the regulated market and the multilateral trading system.
- Prior to signing the Agreement, the Bank has, in accordance with the applicable legislation of the Republic of Latvia, provided the necessary information on provided investment services that may be provided on the basis of the Agreement, and related risks.
- There are no legal obstacles to conclusion or execution of the Agreement.
- The source of funds and FIs on the Client's accounts is legal and Client shall not use the Current Account for any illegal transactions, including money laundering or terrorist financing.
- Prior to filling out the Application for receiving brokerage services on the FI market, the Client has become acquainted with the following documents of the Bank, as well as understands and agrees to their provisions:
 - FI transaction terms and conditions;
 - Policy for determining client status;
 - Policy on the management of conflict of interest situations and prevention of corruption;
 - List of execution venues on which the BluOr Bank AS relies primarily during execution of the Client's transactions;
 - Information disclosure statement.
- 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 Privacy Policy. Purpose of data processing: providing the investment services. You can find more detailed information about the Bank's Privacy Policy here: <https://www.bluorbank.lv/en/information-on-processing-of-personal-data>.
- The Client is aware that the Bank will not use financial instruments owned by the Client in securities financing transactions and other transactions that the Bank performs in its own, other person's or other client's interests, but agrees that such actions may be performed by Counterparties or a business partner of those Counterparties with whom the Counterparties hold the assets owned by the Client. The Client is entitled to set special conditions for using the FIs owned by the Client by submitting them to the Bank on the signing day of the Application.
- The Client confirms that he has been informed that he shall not be entitled to submit orders for transactions with Financial Instruments until he has received a notification from the Bank regarding the results of the assessment of the Client's knowledge and experience in transactions with financial instruments.

3. Client (Client's Representative)¹

Surname, name

Signature

Filled out at Code calculator (Digipass) key or Blue KEY (S)

Date
dd/mm/yyyy

¹ Ignore this section if the document has been prepared in accordance with the applicable laws and regulations regarding the execution of electronic documents and signed with a secure electronic signature.
If the document is signed with the authentication tool provided by the Bank, please **fill out** the following section fields: "Surname, name", "Code calculator (Digipass) key or Blue KEY (S)", "Date".

4. Filled in the Bank

FI transactions agreement No.

Investment Account No.

Trading Account No.

FI Account No.