

ECONOMIC PROFILE FOR LEGAL ENTITY

PART 1. IDENTIFICATION

1.	Registered corporate name (further - "Client or Counterparty"):			
2.	Trading name (if any):			
3.	Country of incorporation:			
4.	Full addresses of the registered office and the head offices (if any):			
5.	Registered number:			
6.	LEI:			
7.	VAT:			
8.	Contact details:	Compliance	Trading	Back-office and settlements
	Name:			
	Telephone number:			
	Fax number:			
	E-mail address			
9.	Members of the board of directors			
	• True name and/or names used as these are stated on the official identity card or passport			
	• Date and place of birth			
	• Nationality (and citizenship if different)			
	• Passport series and number, date of issue and expiration, authority			
	• Full permanent address, including postal code			
	• Telephone (home and mobile), fax numbers, e-mail address			
	• Details of the profession and other occupations including the name of employer / business organization / business address (<i>i.e. business model, activities and operations</i>)			
	• True name and/or names used as these are stated on the official identity card or passport			
	• Date and place of birth			
	• Nationality (and citizenship if different)			
	• Passport series and number, date of issue and expiration, authority			
	• Full permanent address, including postal code			
	• Telephone (home and mobile), fax numbers, e-mail address			
• Details of the profession and other occupations including the name of employer / business organization / business address (<i>i.e. business model, activities and operations</i>)				
10.	Identification information of the persons, that are duly authorised to operate the account and to act on behalf of the legal person			
	• True name and/or names used as these are stated on the official identity card or passport			
	• Date and place of birth			
	• Nationality (and citizenship if different)			
	• Passport series and number, date of issue and expiration, authority			
	• Full permanent address, including postal code			
	• Telephone (home and mobile), fax numbers, e-mail address			
	• Details of the profession and other occupations including the name of employer / business organization / business address (<i>i.e. business model, activities and operations</i>)			
• Document, which confirms the authority				

11.	Identification information of ultimate beneficial owners			
	• True name and/or names used as these are stated on the official identity card or passport			
	• Date and place of birth			
	• Nationality (and citizenship if different)			
	• Tax residency country			
	• Residency country			
	• Passport series and number, date of issue and expiration, authority			
	• Is multiple citizenship applicable to ultimate beneficial owner/-s?	<input type="checkbox"/> NO	<input type="checkbox"/> YES*, please provide details below: <ul style="list-style-type: none"> • Reason: • Passport (series and number, date of issue and expiration, authority): <i>* Reference letters for each country of citizenship are required</i>	
	• Full permanent address, including postal code			
	• Telephone (home and mobile), fax numbers, e-mail address			
	• Details of the profession and other occupations including the name of employer / business organization / business address (<i>i.e. business model, activities and operations</i>)			
	• Source and further description of funds and wealth			
	• Size of wealth			
	• Annual income of the ultimate beneficiary owner	<input type="checkbox"/>	EUR 20,000 – 50,000	
	<input type="checkbox"/>	EUR 50,000 – 100,000		
	<input type="checkbox"/>	EUR 100,000 – 500,000		
	<input type="checkbox"/>	> EUR 500,000		
12.	Beneficial ownership and control structure (to be provided separately)			
12.1.	In case the company is a part of the group, please provide:	<input type="checkbox"/>	Not applicable	
		<input type="checkbox"/>	Yes, details:	
	• Ownership structure of the group			
	• Name and country of incorporation of the parent company			
	• Name and country of incorporation of subsidiary companies and associate companies			
	• Clear description of the main business model, type and nature of main professional activities and operations of parent company			
• Financial information of the parent company (if publically available, please provide the link)				
12.2.	Please confirm there are no registered shareholders who act as Nominees of the beneficial owner/-s.	<input type="checkbox"/>	Confirm, there are no such persons	
		<input type="checkbox"/>	There are such persons and we agree to provide details on the Nominee shareholders and disclose the identity of the BO upon further request.	
13.	Client, authorized person, directors, beneficial owners of the client are politically exposed persons, family members or close associates*	<input type="checkbox"/>	Yes, details:	
		<input type="checkbox"/>	No	
14.	Client, authorized person, directors, beneficial owners of the client are under Sanctions and Restrictive Measures by UN, EU, Cyprus, USA, HM	<input type="checkbox"/>	Yes, details:	
		<input type="checkbox"/>	No	

PART 2. INVESTMENT PROFILE

1.	Purpose, reason and nature of an account or relationship	<input type="checkbox"/>	Counterparty trading line
		<input type="checkbox"/>	Custody account
		<input type="checkbox"/>	Execution only account
2.	Is your account intended for proprietary trading or to facilitate transactions conducted on an agency basis on behalf of your clients?	<input type="checkbox"/>	Proprietary Activity
		<input type="checkbox"/>	Agency Basis
3.	Regularity or duration of the business relationship (please confirm if business relationship are to be conducted on regular base)	<input type="checkbox"/>	Regular business relationships
		<input type="checkbox"/>	Other (please clarify)
4.	Clear description of the main business model, type and nature of main professional activities and operations		
5.	Source of funds and wealth		
	• Size of annual income		
	• Disposable income** (if available in financial statements please refer to specific balance sheet item)		
	• Expected source of income		
	• Size of wealth		
	• Source and further description of funds and wealth (e.g. <i>For trusts, how did settler accumulate wealth? For inheritance, how did family accumulate wealth? For business owners, the business profile (securities transactions, real estate, etc), how long in business, how many employees, level of profitability</i>)		
6.	Expected pattern and level of transactions		
	• Anticipated account turnover (size of transactions undertaken)		
	• Level of assets to be deposited (anticipated annualized amount to be invested)		
	• Nature of transactions	<input type="checkbox"/>	BUY AND SELL SECURITIES
		<input type="checkbox"/>	Other (please specify)
	• Expected origin of incoming funds to be credited to the account		
	• Expected destination of outgoing transfers / payments		
7.	Suitability and appropriateness test		
	• Number of trades during past 12 months (frequency)	<input type="checkbox"/>	0-3 per month
		<input type="checkbox"/>	3-10 per month
		<input type="checkbox"/>	10-50 per month
		<input type="checkbox"/>	more than 50 per month
	• Number of future trades (frequency)	<input type="checkbox"/>	0-3 per month
		<input type="checkbox"/>	3-10 per month
		<input type="checkbox"/>	10-50 per month
		<input type="checkbox"/>	more than 50 per month
	• Size of financial instrument portfolio, including cash deposits and financial instruments, '000 (EUR)	<input type="checkbox"/>	0-10
		<input type="checkbox"/>	10<X<100
		<input type="checkbox"/>	100<X<500
		<input type="checkbox"/>	500<X
	• Type of investments	<input type="checkbox"/>	Long Term
		<input type="checkbox"/>	Short Term

		<input type="checkbox"/>	Capital Gains
<ul style="list-style-type: none"> Trading style / strategies used 	<input type="checkbox"/>	Never utilized any	
	<input type="checkbox"/>	Buy and hold	
	<input type="checkbox"/>	Speculative trading (plain vanilla instruments, derivatives –futures, CFDs)	
	<input type="checkbox"/>	Complex strategies involving derivatives (hedging, arbitrage, option positions)	
<ul style="list-style-type: none"> Risk Tolerance 	<input type="checkbox"/>	Don't know	
	<input type="checkbox"/>	Minor volatility (<i>up to 10%p.a. while stronger fluctuations are possible</i>)	
	<input type="checkbox"/>	Medium volatility (<i>greater than 10%p.a. while stronger fluctuations are possible</i>)	
	<input type="checkbox"/>	Speculative investments which may result in complete loss of capital and or additional requirement of funds	
<ul style="list-style-type: none"> Knowledge & Experience (including directors, managers, authorized persons) 			
Financial instruments		Experience (years)	Vol. monthly transactions (EUR) / Quantity
Nothing			
Stocks			
Bonds			
Collective investment units			
Indices			
ETFs			
<ul style="list-style-type: none"> Financial instruments requested 	<input type="checkbox"/>	Stocks	
	<input type="checkbox"/>	Bonds	
	<input type="checkbox"/>	Collective investment units	
	<input type="checkbox"/>	Indices	
	<input type="checkbox"/>	ETFs	
<input type="checkbox"/>	We do not want to receive any investment advice and we do not want to receive any advice beyond the legally prescribed minimum		
<input type="checkbox"/>	We will give instructions concerning investments via electronic mediums or telephone, and as such do not require to receive investment advice pursuant to a separate agreement		
<input type="checkbox"/>	We are fully aware and understand the risks connected with financial services/products we intend to work with		
<input type="checkbox"/>	We state that we shall be treated as a Professional client in respect of all / some services/products we will work with (please specify)		
<input type="checkbox"/>	We receive warning of the protections and investor compensation rights we can lose and we are fully aware of the consequences of losing such protection		
<input type="checkbox"/>	Unless we notify Dragon Capital (Cyprus) Limited in writing it is assumed that there are no restrictions on the type of transaction Dragon Capital (Cyprus) Limited recommends to us or enter into with Dragon Capital (Cyprus) Limited or the markets upon which transactions may be effected		
<input type="checkbox"/>	I give my express consent to Dragon Capital (Cyprus) Limited to use my personal data (name, contact details, etc.) for its own purposes including but not limited to keeping, processing and transferring to third parties as required by current legislation. <i>For more information, please review our Privacy Policy (http://www.dcc.com.cy/mifid.html).</i>		

NAME	POSITION	DATE	SIGNATURE

* "**Politically exposed persons**" means a natural person who holds or has held an important public office in the Republic or in another country, a close relative of such a person, as well as a person known to be a close associate of such a person:

Provided that, for the purpose of the present definition, 'prominent public function' means any of the following public functions:

- (a) heads of State, heads of government, ministers and deputy or assistant ministers;
- (b) members of parliament or of similar legislative bodies;
- (c) members of the governing bodies of political parties;
- (d) members of supreme courts, of constitutional courts or of other high-level judicial bodies, the decisions of which are not subject to further appeal, except in exceptional circumstances;
- (e) members of courts of auditors or of the boards of central banks;
- (f) ambassadors, chargés d'affaires and high-ranking officers in the armed forces;
- (g) members of the administrative, management or supervisory bodies of State-owned enterprises;
- (h) directors, deputy directors and members of the board or equivalent function of an international organisation;
- (i) mayor:

Provided further that no public function referred to in points (a) to (i) shall be understood as covering middle-ranking or more junior officials;

Provided furthermore that "**close relatives of a politically exposed person**" includes the following:

- (a) the spouse, or a person considered to be equivalent to a spouse, of a politically exposed person;
- (b) the children and their spouses, or persons considered to be equivalent to a spouse, of a politically exposed person;
- (c) the parents of a politically exposed person;

Provided even furthermore that '**persons known to be close associates of a politically exposed person**' means natural person:

- (a) who is known to have joint beneficial ownership of legal entities or legal arrangements, or any other close business relations, with a politically exposed person;
- (b) who has sole beneficial ownership of a legal entity or legal arrangement which is known to have been set up for the de facto benefit of a politically exposed person.