By this message we would like to inform you about the appropriateness assessment that we have to conduct. It is our responsibility to perform the appropriateness assessment of our clients/potential clients. Results of the assessment will enable us to act in your best interest.

During the process of assessment you will be asked to provide certain information – it is very important that this information is up-to-date, accurate and complete. We kindly ask you to take it seriously as this is done in your best interest.

All provided information will be carefully assessed by us. Following the results of the assessment, a conclusion as for the appropriateness of the investment service or product that best fits your knowledge and experience will be made. While making a decision we will take into account type and characteristics of the investment products or services – their level of complexity and risk of the investment products or services, together with your knowledge and experience

There are certain situations where no assessment will be done:

* execution or reception and transmission of your orders with or without ancillary services, excluding the granting of credits or loans

We do not provide investment advice to our clients. Main differences between advised and non-advised investment services are:

* ‘investment advice’ means the provision of personal recommendations to a client, either upon their request or at the initiative of the investment firm, in respect of one or more transactions relating to financial instruments;
* non-advised services (i) investment services (within the meaning of Article 4(1)(2) of MiFID II) other than investment advice and portfolio management; and (ii) the selling of structured deposits.

**economic profile for individual**

**part 1. identification**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | True name and/or names used as these are stated on the official identity card or passport | | | |  | | |
| 2. | Full permanent address, including postal code | | | |  | | |
| 3. | Telephone (home and mobile), fax numbers | | | |  | | |
| 4. | E-mail address | | | |  | | |
| 5. | Date and place of birth | | | |  | | |
| 6. | Nationality (and citizenship if different) | | | |  | | |
| 7. | Residency country | | | |  | | |
| 8 | Passport: series and number, date of issue and expiration, authority | | | |  | | |
| 8.1. | Is multiple citizenship applicable to you? | | No | YES\*, please provide details below:   * Reason: * Passport (series and number, date of issue and expiration, authority):   \**Reference letters for each country of citizenship are required* | | | |
| 9. | Official national identity card, issued by competent authority: series and number, date of issue and expiration, authority | | | |  | | |
| 10. | Details of the profession and other occupations including the name of employer / business organization / business address *(i.e. customer business model, activities and operations)* | | | |  | | |
| 11 | Taxation | | | | | | |
| Taxpayer country (please list all) | |  | | | | |
| Taxpayer ID | |  | | | | |
| Are you US citizen or tax resident? | | No | YES, please find details below:   * US citizen * Green card holder * Reside in the USA for over 183 days | | | |
| 12. | Bank account details (full name of the bank, SWIFT, account number) | |  | | | | |
| 13. | Contact details (for account information and general correspondence) | | | | | | |
| Mailing address (if different from permanent) | | |  | | | |
| Telephone number | | |  | | | |
| Fax number | | |  | | | |
| E-mail address | | |  | | | |
| 14. | Are there any individuals that are duly authorised to operate your account and to act on your behalf? | | | | | | |
| No, there are no such persons. I will manage the account by myself | YES, please find details below:   * True name and/or names used as these are sated 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 organisation | | | | | |
| * Document, which confirms the authority | | | | | |
| * Contact details (if different from p. 11) | | | | | |
| 15. | Are you the ultimate beneficial owner of the account? Please confirm you are the actual owner of money/financial instruments to be placed on your account | | | | | | |
| Yes | No, please find UBO details in separate questionnaire form attached | | | | | |
| 16. | Client, authorized person, beneficial owners of the account are politically exposed persons, family members or close associates**\*** | | | | |  | Yes, details: |
|  | No |
| 17. | Client, authorized person, beneficial owners of the account are under Sanctions and Restrictive Measures by UN, EU, Cyprus, USA, HM | | | | |  | Yes, details: |
|  | No |

**part 2. investment profile**

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 1. | Purpose of an account or relationship | | | |  | | Protection of capital | | | | | |
|  | | Capital gradual increase / growth | | | | | |
|  | | Extra regular income | | | | | |
| 2. | Reason of an account or relationship | | | |  | | Start my investment activity/make my first investments | | | | | |
|  | | Form and manage my long term investment portfolio | | | | | |
|  | | Active trade; manage my portfolio of securities | | | | | |
|  | | Perform single operation - *please use this option if you need investment account for technical purposes only (for example entry into inheritance, other legal actions that require account)* | | | | | |
| 3. | Risk tolerance | | | |  | | Don't know | | | | | |
|  | | Minor volatility of the portfolio *(up to 10% of portfolio value change)* | | | | | |
|  | | Medium volatility *(more than 10% of portfolio value change, greater fluctuations are possible)* | | | | | |
|  | | I am ready for speculative investments, which may result in complete loss of capital | | | | | |
| 4. | Nature of an account or relationship | | | |  | | Execution of orders | | | | | |
|  | | Safekeeping and administration of assets / funds | | | | | |
|  | | Research service | | | | | |
| 5. | Regularity or duration of business relationship (please confirm if business relationship are to be conducted on regular base) | | | | | | | | |  | Regular business relationships | |
|  | Other (please clarify) | |
| 6. | Source of funds and wealth | | | | | | | | | | | |
| * Size of annual income | | | | | | | | | |  | |
| * Disposable income | | | | | | | | | |  | |
| * Expected source of income | | | | | | | | | |  | |
| * Size of wealth | | | | | | | | | |  | |
| * Source and further description of funds and wealth | | | | | | | | | |  | |
| 7. | 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 | | | | | | | | |  | BUY AND SELL SECURITIES | |
|  | Other (please specify) | |
| * Expected origin of incoming funds to be credited to the account | | | | | | | | |  | | |
| * Expected destination of outgoing transfers / payments | | | | | | | | |  | | |
| 8. | Suitability and appropriateness test | | | | | | | | | | | |
| 8.1. | Please indicate educational background relating to financial markets/investments | | | | |  | | No education | | | | |
|  | | Specialized courses (provide details on covered topics) | | | | |
|  | | Diploma in financial markets | | | | |
|  | | Degree in financial markets | | | | |
| 8.2. | Do you have financial sector / investment activity experience in the past? | | | | |  | | No | | | | |
|  | | Yes (please provide details below) | | | | |
| * Knowledge & Experience (including authorized persons if any) | | | | | | | | | | | |
| Financial instruments | | Experience (years) | | | Vol. monthly transactions  (EUR) / Quantity | | | | | | Average annual volume  (EUR) / Quantity |
| Nothing | |  | | |  | | | | | |  |
| Stocks | |  | | |  | | | | | |  |
| Bonds | |  | | |  | | | | | |  |
| Collective investment units | |  | | |  | | | | | |  |
| Indices | |  | | |  | | | | | |  |
| ETFs | |  | | |  | | | | | |  |
| Other (if any) | |  | | |  | | | | | |  |
| * Number of trades during past 12 months (frequency) | | | | | | | | |  | | 0-3 per month |
|  | | 3-10 per month |
|  | | 10-50 per month |
|  | | > 50 per month |
| * Size of financial instrument portfolio, including cash deposits and financial instruments, ‘000 (EUR) | | | | | | | | |  | | 0-10 |
|  | | 10<X<100 |
|  | | 100<X<500 |
|  | | 500<X |
| * Trading style / strategies used |  | | Never utilized any | | | | | | | | |
|  | | Buy and hold | | | | | | | | |
|  | | Speculative trading (plain vanilla instruments, derivatives –futures, CFDs) | | | | | | | | |
|  | | Complex strategies involving derivatives (hedging, arbitrage, option positions) | | | | | | | | |
| 8.3. | Number of future trades (frequency) | | | | | | | | |  | | 0-3 per month |
|  | | 3-10 per month |
|  | | 10-50 per month |
|  | | > 50 per month |
| 8.4. | Type of investments | | | | | | | | |  | | Long Term |
|  | | Short Term |
|  | | Capital Gains |
| 8.5. | Financial instruments requested for trading | | | | | | | |  | Stocks | | |
|  | Bonds | | |
|  | Collective investment units | | |
|  | Indices | | |
|  | ETFs | | |
|  | I do not want to receive any investment advice and do not want to receive any advice beyond the legally prescribed minimum | | | | | | | | | | | |
|  | I 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 | | | | | | | | | | | |
|  | I am fully aware and understand the risks connected with financial services/products I intend to work with | | | | | | | | | | | |
|  | I take low risk investments, but in case I have high risk expectations I will accept appropriate higher/high level of risk | | | | | | | | | | | |
|  | Unless I 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 me or enter into with Dragon Capital (Cyprus) Limited or the markets upon which transactions may be effected | | | | | | | | | | | |
|  | 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 in connection with information and marketing communication relating to products, services and events. For more information please review our Privacy Policy (<http://www.dccl.com.cy/mifid.html>). | | | | | | | | | | | |

|  |  |  |  |
| --- | --- | --- | --- |
| Name | position  (in case of authorised person only) | 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.