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 legal entity**

**part 1. identification**

|  |  |  |
| --- | --- | --- |
|  | 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.e. business model, activities and operations)*
 |  |
|  | * 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.e. business model, activities and operations)*
 |  |
| 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 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 organization / business address *(i.e. business model, activities and operations)*
 |  |
|  | * 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?
 | [ ]  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* |
|  | * 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.e. business model, activities and operations)*
 |  |
|  | * Source and further description of funds and wealth
 |  |
|  | * Size of wealth
 |  |
|  | * Annual income of the ultimate beneficiary owner
 |[ ]  EUR 20,000 – 50,000  |
|  |  |[ ]  EUR 50,000 – 100,000  |
|  |  |[ ]  EUR 100,000 –500,000  |
|  |  |[ ]  > 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: |[ ]  Not applicable  |
|  |  |[ ]  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. | [ ]  | Confirm, there are no such persons  |
|  |  | [ ]  | 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**\*** |[ ]  Yes, details:  |
|  |  |[ ]  No  |
| 14. | Client, authorized person, directors, beneficial owners of the client 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 of investment activity/ make the first investments |
|  |  |[ ]  Form and manage the 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* |
| 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)* |
|  |  |[ ]  We are 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 |
|  |  |[ ]  Counterparty trading line |
|  |  |[ ]  Research service |
| 5. | Is your account intended for proprietary trading or to facilitate transactions conducted on an agency basis on behalf of your clients? |[ ]  Proprietary Activity |
|  |  |[ ]  Agency Basis |
| 6. | Regularity or duration of business relationship (please confirm if business relationship are to be conducted on regular base) |[ ]  Regular business relationships |
|  |  |[ ]  Other (please clarify)  |
| 7. | Clear description of the main business model, type and nature of main professional activities and operations |  |
| 8. | 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

*(e.g. 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)* |  |
| 9. | 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
 |  |
| 10. | Suitability and appropriateness test |
| 10.1. | * Knowledge & Experience (including directors, managers, authorized persons)
 |
|  | 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) |
| 10.2. | Number of future trades (frequency) |[ ]  0-3 per month  |
|  |  |[ ]  3-10 per month |
|  |  |[ ]  10-50 per month  |
|  |  |[ ]  > 50 per month |
| 10.3. | Type of investments |[ ]  Long Term  |
|  |  |[ ]  Short Term  |
|  |  |[ ]  Capital Gains |
| 10.4. | Financial instruments requested for trading |[ ]  Stocks |
|  |  |[ ]  Bonds |
|  |  |[ ]  Collective investment units           |
|  |  |[ ]  Indices   |
|  |  |[ ]  ETFs |
|[ ]  We do not want to receive any investment advice and we do not want to receive any advice beyond the legally prescribed minimum |
|[ ]  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 |
|[ ]  We am fully aware and understand the risks connected with financial services/products we intend to work with |
|[ ]  We state that we shall be treated as a Professional client in respect of all / some services/ products we will work with (please specify) |
|[ ]  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 |
|[ ]  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 |
|[ ]  We give our express consent to Dragon Capital (Cyprus) Limited to use our 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  | 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.