

APPLICATION FOR CHANGING CLIENT STATUS

Client Information

Client _____
 (For individuals – surname, name; for legal entities – company name)

For individuals:

Identity code/Date of birth _____

For legal entities:

Registration No. _____

Registered office _____
 (Full address - office, street, city, postal code, country)

Actual address/
 place of residence _____
 (Full address - office, street, city, postal code, country)

Phone _____ Mobile _____ Fax _____

E-mail _____ Internet address _____

On the basis of Republic of Latvia Law on the Financial Instruments Market section 124¹ Clause 4, I hereby request for my client status to be changed from _____ to _____

for all types of investment services, non-core investment services and financial instruments

or

for the following types of investment services, non-core investment services and financial instruments (mark as applicable):

	Types of FI/transactions	Desired status
Non-complex instruments	Stocks, Exchange Traded funds/notes (regulated market)	<input type="checkbox"/>
	Bonds, non-complex fixed income securities	<input type="checkbox"/>
	Investment funds (UCITS)	<input type="checkbox"/>
Complex financial instruments	Margin Forex	<input type="checkbox"/>
	Contract for difference (CFD)	<input type="checkbox"/>
	Currency SWAP and FORWARD	<input type="checkbox"/>
	Complex Exchange Traded Funds (leveraged, derivative based etc.)	<input type="checkbox"/>
	Futures	<input type="checkbox"/>
	Options	<input type="checkbox"/>
	Depository receipts (ADR, GDR)	<input type="checkbox"/>
	Complex Fixed income instruments (with put/call options, convertible, subordinated etc.)	<input type="checkbox"/>
	OTC commodity derivatives (SWAP)	<input type="checkbox"/>
	Alternative investment funds and hedge funds	<input type="checkbox"/>
	Structured products (notes, certificates)	<input type="checkbox"/>
Complex transactions	Short selling (bonds, stocks)	<input type="checkbox"/>
	Securities financing transactions (REPO, REVERSE REPO)	<input type="checkbox"/>

* for derivatives – nominal value of a contract

APPLICATION FOR CHANGING CLIENT STATUS**Enclosed (these documents are necessary for changing the status from private client to professional client)**

1. The Client's Questionnaire for Investment Services on Financial Instrument Markets.
2. Other documents justifying change of the client's status.
3. _____
4. _____
5. _____

Filled in by the ClientSurname, name of the Client
(Client's representative) _____Signature _____ Date

d	d	m	m	y y y y

 L.S.**Filled in by the Bank**

Special references _____

Surname, name _____

Signature _____ Date

d	d	m	m	y y y y

 L.S.