

INVESTMENT QUESTIONNAIRE – LEGAL ENTITY

Corporate name	
Identification no.	
Company's registered office	
Street	
Town	
Postal code (or other similar postal code number)	
Country	
Client's internal number (NDG)	
(the „Client“)	
Date	
Processed by	
Processor's ID	

UniCredit Bank Czech Republic, a.s. registered office Praha 1, Na Příkopě 858/20, postal code 111 21, identification no.: 649 48 242, entered in the Commercial Register maintained by the Metropolitan Court in Prague, Part B, entry 3608 (the „Bank“)

is obliged under the provisions of Act No. 256/2004 Sb., the Act on Business Activities on the Capital Market as amended (the „Act“), especially the provisions of Section 15h and Section 15i of the Act to obtain information about the Client's necessary professional knowledge and experience in investments (or his financial background and investment objectives). The Bank is doing so based on this Investment Questionnaire. Information required from the Client in this Investment Questionnaire will help the Bank proceed in a highly qualified, honest and just manner and in the Client's best interest in case of providing investment services and offering financial instruments.

Investment Questionnaire questions

Referring to the above given reasons, the Bank hereby asks for full, exact and true answers to the following questions. If the Client does not fully understand any question or if he is not certain of its sense or formulation, the Bank will provide him with all necessary explanations.

Question 1

Level of education, professional experience in finances

Is there any organizational unit in the company/organization focused on financial activities with experience in financial instruments and/or portfolio management?

YES

NO

Does the person authorized to give orders for the company/organization perform working activities in the financial area or has this person performed such activities recently?

Note: In case of more authorized persons give the positive answer only if all authorized persons answer positively

Question 2

Knowledge and experience in investments	Knowledge	Experience	Is this financial instrument currently contained in your portfolio?
	What do you think is the level of your knowledge with respect to the below given financial instruments? (0 = none, 1 = low, 2 = medium, 3 = high)	How many purchases/subscriptions did you make with the below given financial instruments in the last five years?	
If any questions are not answered, the Bank will designate the answers 0 and NO			

Typology 1

- a) Money market funds
- b) Bonds and bond funds
- c) Structured bonds and hedged funds

0	1	2	3	0	1-3	4-6	>6	YES	NO

Typology 2

- a) Balanced (mixed) funds
- b) Structured certificates (bonus certificates, express certificates, etc.)

0	1	2	3	0	1-3	4-6	>6	YES	NO

Typology 3

- a) Shares and share funds
- b) Index certificates, ETF
- c) Financial products issued by insurance companies (capitalization unit)
- d) Warrants
- e) Alternative investments (hedge funds, etc.)
- f) Other funds (commodity, real property, etc.)

0	1	2	3	0	1-3	4-6	>6	YES	NO

Typology 4

- a) FX swaps, FX forwards
- b) FX options
- c) Interest rate swaps, forward rate agreements (FRA)
- d) Interest rate options (Caps, Floors, Swaptions)
- e) Cross currency swaps
- f) Repo operations, BS/SB (all underlying assets)
- g) Futures, margin trades (all underlying assets)
- h) Commodity derivatives (including weather, energy, etc.)
- i) Equity derivatives (except for Futures)
- j) Credit derivatives

0	1	2	3	0	1-3	4-6	>6	YES	NO

Notes