

QUESTIONNAIRE FOR CLIENTS – LEGAL ENTITY

I. GENERAL DATA

Name of Legal Entity: _____

Registration number : _____ Trade Register Number: _____

Personal identification number in Croatia (OIB) of Legal Person: _____

Legal entity main activity: _____

LEI (Legal entity identifier) and valid until: _____

Headquarters address: _____

Correspondence address: _____

Contact Person : _____

Bank (name), BIC, SWIFT: _____

Bank account number IBAN: _____

Legal entity account number in Croatian Depository/ Custody: _____

Phone : _____ Fax: _____

Mobile phone: _____ E-mail address: _____

Data on tax residency:

Is the legal entity a taxpayer in Republic of Croatia: A. YES B. NO Is the legal entity a taxpayer in USA: A. YES B. NO

Country/s of which legal entity is a taxpayer and tax number (CRS): _____

Is the country of incorporation of the legal entity USA? A. YES B. NO FATCA status ? A. YES B. NO

II. INFORMATION ABOUT LEGAL REPRESENTATIVES/ BOARD MEMBERS -DIRECTORS

1.

First name: _____ Last name: _____

Personal identification number (OIB) : _____

Position: _____ Represents: Individually Collectively

Residence address and country: _____

Number: _____
ID Card / Passport (encircle) Issued by and date of issue

Citizenship: _____ Document valid until (date): _____

Place of Birth (City and Country): _____ Date of Birth: _____

2.

First name: _____ Last name: _____

Personal identification number (OIB) : _____

Position: _____ Represents: Individually Collectively

Residence address and country: _____

Number: _____
ID Card / Passport (encircle) Issued by and date of issue

Citizenship: _____ Document valid until (date): _____

Place of Birth (City and Country): _____ Date of Birth: _____

III. INFORMATION ABOUT PERSON AUTHORISED BY THE MANAGEMENT OF THE ENTITY/ ATTORNEY

First name: _____ Last name: _____

Personal identification number (OIB) : _____

Position: _____ Represents: Individually Collectively

Residence address and country: _____

Number: _____
ID Card / Passport (encircle) Issued by and date of issue

Citizenship: _____ Document valid until (date): _____

Place of Birth (City and Country): _____ Date of Birth: _____

Has any person authorized to represent the company acted (in the last 12 months) or is acting in a prominent public position (member of the government, minister, state secretary, assistant minister, member of the legislative body, member of the administrative body of a political party)/ member of the board and supervisory board of legal entities majority-owned by the state/judge of the supreme, constitutional or audit court/member of the council of central banks/ambassador or chargé d'affaires/director in an international organization/municipal head, mayor, prefect and their deputies/high-ranking officer of the armed forces...? (if the answer is YES, you need to fill out a Questionnaire for the politically exposed persons)

YES NO

IV. ADDITIONAL INFORMATION – CUSTOMER DUE DILIGENCE

1. The purpose of establishing a business relationship **A.** Trading financial instruments by order
B. Portfolio management
C. Subscription of securities in the public offering
D. Custody / Else: _____

2. (*) Planned annual investments: **A.** up to 15.000 EUR
B. up to 70.000 EUR
D. up to 550.000 EUR
C. up to 150.000 EUR
E. above 550.000 EUR

* Investment refers to the initial investment and any new investment of financial instruments or money

3. Sources of funds that are subject to business relationship and source of funds that are the subject to the transaction:

Own funds Credit Sale of financial assets
 Other _____

V. CLIENT CLASSIFICATION - INVESTMENT PROFILE - ASSESSMENT OF APPROPRIATENESS

1. Do you have a minimum balance sheet of 20 million EUR? YES NO
2. Is the annual net income at least 40 million EUR? YES NO
3. Is the capital is at least 2 million EUR? YES NO
4. Are you a financial institution that has the approval of the competent regulatory authority, or do you meet other conditions in accordance with the Capital Market Act? YES NO

An investment company pursuant to Article 100. of the Capital Market Act and the Regulations on the classification of clients, has classified the client in category:

Retail Client Professional Client Eligible counterparty

(filled out by employee of investment company)

5. Indicate what services of investment company you know: (mark one or more)

- orders execution portfolio management margin account trading investment counseling
 custody investment research and financial analysis none of the above

6. Specify financial instruments you traded with :

Financial instruments	Amount (in EUR per year)	Frequency of transactions annually (No.)	Years of trading experience	Knowledge from 1-5
Stocks, bonds, shares in the funds, instruments of money market	<input type="checkbox"/> 0 <input type="checkbox"/> to 70.000 <input type="checkbox"/> above 70.000	<input type="checkbox"/> Never <input type="checkbox"/> 1-5 <input type="checkbox"/> 6 and more	<input type="checkbox"/> None <input type="checkbox"/> 1-3 <input type="checkbox"/> 3 and more	
Complex financial instruments (certificates, derivatives, options, futures, swaps, forward rate agreements, CFD-s, warrants, ETF-s ...)	<input type="checkbox"/> 0 <input type="checkbox"/> to 700.000 <input type="checkbox"/> above 700.000	<input type="checkbox"/> Never <input type="checkbox"/> 1-5 <input type="checkbox"/> 6 and more	<input type="checkbox"/> None <input type="checkbox"/> 1-3 <input type="checkbox"/> 3 and more	

7. What level of risk and target duration of investments are most acceptable to you: (mark only one)

- Low – I am a conservative investor, I prefer safe and long investments (over 5 years)
 Medium – I am moderate investor in the medium term (1-5 years), I'm willing to risk part of the capital invested
 High – I am speculative investor in the short term (under 1 year), I am willing to risk all of the capital invested

VI. INFORMATION ON THE BENEFICIAL OWNERS OF THE CLIENT

In accordance with Article 28 of the Law on Prevention of Money Laundering and Financing of Terrorism (AML), the investment company is required to obtain information on the beneficial / actual owners of legal entities.

The beneficial owner of a legal entity is considered to be any natural person(s) who ultimately owns or controls the party or on whose behalf the transaction is carried out and includes at least:

- a natural person (persons) who is the owner of a legal entity and who controls the legal entity through direct ownership over a sufficient percentage of shares, including bearer shares, or voting rights or business shares in that legal entity
- a natural person (persons) who controls a legal entity through indirect ownership through a sufficient percentage of shares, including bearer shares, or voting rights or business shares in that legal entity or
- natural person (persons) who has a controlling position in the management of the property of a legal entity through other means

The beneficial owner is a natural person (persons) which controls another natural person and/or a natural person (persons) on whose behalf the transaction is performed.

The indicator of direct ownership that a natural person has in a legal entity is the ownership of more than 25% of the business share, voting or other rights based on which he/she exercises the right to manage the legal entity, or ownership of 25% plus one share.

An indicator of indirect ownership is the ownership or control of the same natural person (persons) over one or more legal entities that individually or together have more than 25% of business shares, voting or other rights based on which they exercise the right to manage or 25% plus one share in a legal entity.

Is the Ownership of legal entity divided into parts greater than 25% YES NO
 (if the answer is YES, please continue filling out the form, if the answer is NO, the client is obliged to write and sign the list of the 10 largest owners and attach it)

Whether the Client is a commercial company whose financial instruments are traded on a stock exchange or a regulated market in one or more member states in accordance with the regulations in the European Union, or whether the Client is a company based in a third country whose financial instruments are traded on a stock exchange or a regulated market in the country member state or in that third country, provided that the requirements for the publication of data in accordance with the regulations in the European Union that ensure adequate transparency of data on the beneficial owners of the party are valid in that third country. YES NO

Name of the stock exchange: _____ ISIN share code: _____
 (if the answer is YES, it is not necessary to determine the real owner of the party)

Beneficial owner 1: Percentage of ownership: _____ The person is: direct / indirect owner (circle the correct answer)

 First and last name Date of birth Citizenship Country of residence

Beneficial owner 2: Percentage of ownership: _____ The person is: direct / indirect owner (circle the correct answer)

 First and last name Date of birth Citizenship Country of residence

Beneficial owner 3: Percentage of ownership: _____ The person is: direct / indirect owner (circle the correct answer)

First and last name Date of birth Citizenship Country of residence

Beneficial owner 4: Percentage of ownership: _____ The person is: direct / indirect owner (circle the correct answer)

First and last name Date of birth Citizenship Country of residence

Beneficial owner 5: Percentage of ownership: _____ The person is: direct / indirect owner (circle the correct answer)

First and last name Date of birth Citizenship Country of residence

Has any beneficial owner of the legal entity acted (in the last 12 months) or is acting in a prominent public position (member of the government, minister, state secretary, assistant minister, member of the legislative body, member of the administrative body of a political party)/ member of the management and supervisory board of legal entities majority-owned by the state/ judge of the supreme, constitutional or auditor's court/ member of the council of central banks/ ambassador or chargé d'affaires/ director in an international organization/ municipal head, mayor, prefect and their deputies/ high-ranking officer of the armed forces?

YES

NO

(if the answer is YES, you need to fill out a Questionnaire for the politically exposed persons)

IMPORTANT NOTES AND WARNINGS

If the client does not want to give enough information HITA-VRIJEDNOSNICE Inc. is not able to determine whether a particular investment service or products are suitable for the client.

If HITA VRIJEDNOSNIC Inc. doesn't collect enough information about the client required for assessment of appropriateness or after assessment determines that the client does not have the knowledge and experience necessary for trading complex financial instruments, the client will be sent a written warning, and will not be allowed to trade them.

If the client wants to trade with complex financial instruments despite of the warning the Client is required to sign a statement confirming that he/she was warned that trading with complex financial instruments is not suitable for the Client, and that the Client assumes all the risks of trading with the complex financial instruments.

The client is warned that when providing the service of receiving and transferring and / or executing orders for the Client's account related to simple financial instruments (shares, bonds...) that are listed on regulated markets and MTF, and are provided at the Client's initiative, HITA-VRIJEDNOSNIC Inc. is it is not required to collect data, nor is it required to assess whether the same financial instruments and/or services are suitable for the Client, and that the Client therefore does not enjoy protection under the relevant rules of business conduct..

It is believed that a professional Client has the necessary knowledge and experience, and that can handle all the associated financial risks in accordance with the investment objectives. This questionnaire can be filled out electronically in accordance with the bylaws of the HITA-VRIJEDNOSNIC Inc.

By signing this Questionnaire, I confirm that the information provided in this Questionnaire is true, and I authorize the investment company HITA-VRIJEDNOSNIC Inc. to check all the information provided here.

I commit to inform HITA-VRIJEDNOSNICE Inc. if there are any changes related to previously reported data and details, especially residence address, e-mail address, identity card number/ passport number, IBAN, Politically Exposed Person status.

By signing this Questionnaire, I give my explicit consent to the investment company HITA-VRIJEDNOSNIC Inc. to take all actions related to the processing and exchange of my personal data specified in this Questionnaire, including information about personal identification number - OIB, which includes the investment company's right to collect, store, record, organize, view and transfer personal data for the purpose of performing the regular business of the investment company, all in accordance with applicable regulations.

I agree that investment company may undertake all actions related to the processing and exchange of my personal information provided in this questionnaire, including information on the OIB, which covers the right of investment firms to collect, store, capture, organize and transfer of personal data for the purpose of conducting regular business of the investment company.

Date: _____ Signature: _____

ATTACHMENTS:

1. Original or certified copies of documents from the court registry (not older than 3 months) and official translation to Croatian
- 2. Copy of Personal identification number in Croatia (OIB) for the Legal person ● 3. Copy of passport/ ID Cards of persons authorized to represent the entity ● 4. Extract from the register of beneficial owners ● 5. Act of incorporation ● (6. A notary certified Power of attorney of persons authorized to represent the entity)

Signature of employee of investment company: _____ Organizational unit: _____

Comment: _____