
**REQUEST TO OPEN A CAPITAL MARKETS ACCOUNT FOR
Legal entities**

New Request Modified Request

1. CUSTOMER IDENTIFICATION DATA

Name of the company:

Type of company:

Sole Identification Code/Tax Registration Code (or its equivalent for foreigners)

Country of origin **Tax Residence**

Registration certificate with the Trade Register (or other equivalent authorities)

Number..... Series Date

Set up authority – Court of Justice Government others

Set up document – Memorandum and Articles of Association Court Decision others

Date of Set-up

Address of the Registered Office:

Type and Name of the Street No. Block Entry Floor

Apt. District/county Locality.....

Postal Code Country

Address of business correspondence – where transaction confirmations, account statements or current information will be sent (to be filled in if different from the address of the registered office)

Type and Name of the Street No. Block Entry Floor

Apt. District/county Locality

Postal Code Country

Contact Data:

Fixed Phone number..... Mobile Fax

E-mail Web page

(The fax or e-mail will be indicated for the confirmation of the transaction or for the transmission of other bank information)

Structure of Shareholders / Associates:

(name and percentage of shares)

.....

The customer declares having been informed on the specificity and characteristics of this account, the most important being the following:

- *The Dedicated Account is a cash account;*
- *The Dedicated Account is a special account which will be used exclusively for transactions related to financial investment and related services;*
- *The Dedicated Account shall be debited with tariffs and fees corresponding to the performed operations, its quantum being mentioned in the bank's List of rates and fees. The modification of such tariffs and fees may be allowed as per art.10.2 of the Contract.*
- *The holder of the account shall not be allowed to directly debit the account, neither by cash withdrawals, nor by ordering transfers to other accounts.*
- *The funds in this account are mainly destined to settle the amounts resulting from the transactions performed for the financial investment services;*
- *The available funds in the account will be remunerated with interest at sight for the current account, the quantum of which is mentioned in the bank's List of interest rates and fees.*
- *The account shall only be debited by the Customer's ordering transfers to other accounts which he holds (opened with the Intermediary or with another bank), within the limits of the amounts not assigned to transactions and only via the Intermediary, as follows:*
 - a) *By transfer to the account mentioned in this Annex. In order to make each transfer, the Customer shall have to inform the Intermediary with regard to the amounts he wishes to transfer, by using the means of communication agreed upon in the Contract (in writing, by phone, by email (only if the Customer has the right to use an electronic signature, after prior transmission to the Intermediary of the electronic signature specifications), by accessing the Bloomberg/Reuters applications, or any other secured system used by the Intermediary, by fax (also backed by sending the order by phone, within one hour as of the time the fax was sent);*
 - b) *By transfer to another account which he holds. In this case, in order to make each transfer, the Customer shall have to inform the Intermediary, using the means of communication mentioned at point a), with regard to the amounts he wishes to transfer, as well as the account number where he wishes the transfer to be made (IBAN account, and the name of the bank/subsidiary where the account has been opened).*

The Customer may consult the bank's List of rates and fees and List of interest rates, displayed in the bank agencies, and on the institutional website, www.brd.ro.

The customer authorizes the Intermediary to debit this account with the amounts to be settled as a consequence of ordered transactions, including with the related fee, charges and other costs.

4. MEANS OF COMMUNICATION BETWEEN THE CUSTOMER AND THE INTERMEDIARY

The customer may transmit transaction orders in writing, by fax, by phone or by e-mail (only if the Customer has the legal right to use the electronic signature, after prior transmission to the Intermediary of the electronic signature specifications), *by accessing the Bloomberg/Reuters applications, or any other secured system used by the Intermediary.*

The customer can choose to receive from the Intermediary the confirmation of carried out transactions, the statements of account as well as other documents:

- by registered mail with acknowledgement of receipt
- by fax
- by e-mail (at the e-mail address indicated at the Contact Data section).

Communication Language Romanian English

5. INFORMATION REGARDING THE INVESTING KNOWLEDGE AND EXPERIENCE

Level of knowledge in the financial field

Poor Sufficient Good Very good

Level of risk taken

Low Average High

Estimate of the duration of the investment

< 1 year 1-3 years > 3 years

Estimate of the value of the investment

< € 5,000 € 5,000-50,000 > € 50, 000

Total asset

< € 1,000,000 € 1,000,000-5,000,000 > € 5,000,000

Turnover

< € 2,000,000 € 2,000,000-5,000,000 > € 5,000,000

Own capital

< € 500,000 € 500,000-2,000,000 > € 2,000,000

Investment experience

No experience Bank deposits Investment funds Other (to be mentioned).....
 Investments in shares Investments in bonds Derivative Instruments

Investment objectives

Speculation Increase Income

Speculation: maximizing profits by making investments in the high risk financial instruments

Increase: long term appreciation of the assets

Income: maximizing current income mainly by buying bonds and other similar instruments or by buying financial instruments with a high rate of return from dividends

List the traded companies where you hold directly or indirectly, alone or together with other natural or legal persons with which you act jointly at least 5% of the vote rights or of the shares of the concerned companies:

Company	Symbol	Number of shares	Percentage

Important: If by operations of buying or selling of shares or by any other operation following which your vote rights reach, exceed or decrease one of the thresholds of 5%, 10%, 15%, 20%, 25%, 33%, 50%, 75 % or 90% of the total vote rights, you are under the obligation to inform within maximum 3 business days, at the same time, the company, the National Securities Commission and the regulated market on which the concerned securities have been traded. The vote rights are computed based on all the owned shares with vote rights, even though the use of some or all the vote rights is suspended. The notification must also be made in reference to all the actions of the same type with vote rights.

Have you had or have an account opened with other Intermediaries?

- No Yes (please, specify)

Do you intend to trade through multiple Intermediaries in Romania at the same time?

- No Yes

On what markets have you traded before (including the external markets)?

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What is the main source of the funds invested by means of the account for financial instruments opened with BRD Piețe de capital?

- Financial investments (capital earnings, dividends) Real estate investment/ rents
 Other (please, specify)

Orders regarding the funds after sale, dividends transfers and interests

- Keep them in the dedicated BRD account
 Send them in the customer's account, IBAN.....
opened with the Bank/branch.....

6. CLASSIFYING THE CUSTOMER ACCORDING TO THE MIFID PROVISIONS

Value of your current portfolio (money and financial instruments)

- < € 50,000 € 50,000-250,000 > € 250,000-500,000 ≥ € 500,000

Your average trading volume

- <10 transactions/quarter ≥ 10 transactions/quarter

Have you conducted or conduct for more than 1 year the activity in the financial field or in another field closely related to the financial one?

- No Yes

I have been informed on the provisions of the Presentation Document regarding the categories of investors and I request the classification in the category:

- Retail customer
 Professional customer:
 Generally
 For the following services/ transactions/ products:
.....
 Eligible counterparty

If, meeting the conditions mentioned in the Presentation document, I decide to be treated as a professional customer, I declare having been informed on the consequences following the loss of the protection rights provided for by the legislation in the benefit of the retail customers and I undertake to inform BRD on any change which could affect my current classification.

To be filled in by the Intermediary

The customer meets the conditions in order to be classified as:

Retail customer

Professional customer:

Generally

For the following services/ transactions/ products:

.....

Eligible counterparty

We hereby inform you that if you refuse to provide any of the information regarding your investment knowledge and experience, it will be impossible for us, the Intermediary, to decide whether the financial instrument or investment service considered is appropriate for you.

„ I, the undersigned refuse to provide any information related to the unfilled fields of this form.”

Date..... Customer’s signature (To be signed only if the customer refuses to provide the minimum information required).

7. CUSTOMER’S STATEMENTS

By signing this Request in my capacity as representative of the customer, I state that:

- I have read and understood this form, I have indicated the investment objectives and the accepted risk level; I confirm having been informed by the Intermediary on the investment risks on the capital market, as well as on the fact that the Intermediary does not take any responsibility for the portfolio returns and that the past performance of the marketable securities is not a guarantee for their future performance;

- I do not know any reason likely to affect the validity of the transfer of the property right over the Customer’s financial instruments or any attribute of such right. Should this occur in the future, I undertake to inform the Intermediary as soon as possible, not later than 1 working day following the incident;

- The juridical person operates legally, holds all the authorizations required by the Romanian legislation and the company carries out the activity stipulated in the articles of incorporation in accordance with the legal provisions in force. I also declare that the decision of the statutory body regarding the signing of this Contract has been taken according to the law and that I will notify the Intermediary regarding the termination of the contract when the decision will expire.

- I am aware of the regulations concerning the prevention and fight against money laundering and the financing of terrorism and I undertake to inform the Intermediary and to send all documentary evidence whenever there will be any modification of identification data, information and documents herein mentioned. In addition, I agree to respond immediately, whenever necessary, to your requests of confirmation/revision of identification data, being aware that the lack of immediate response to the Intermediary’s requests leads to deferred transactions.

- The information herein is real, complete and is not subject to any omission. I will immediately inform the Intermediary regarding any modification of these data and information and I will duly replace the documents presented initially within 3 business days following the date of such modification. By the date the Intermediary receives these modifications from the Customer, the Intermediary is entitled to consider the data and information it has as valid. The Intermediary cannot be held responsible for any potential prejudices occurred as a result of the Customer’s failure to communicate in due time and in safety conditions the modifications/additions arisen or of the Customer’s failure to provide any documentary evidence when communicating them to the Intermediary.

