

ИНФОРМАЦИОННА КАРТА

1. Name of the client	Representative/ Proxy	Place and date of birth:	Telephone и e-mail
Adress:			
2. Bank	BIC	IBAN	Currency
3. Manner to place the orders:			
<input type="checkbox"/> by electronic platform	<input type="checkbox"/> by e-mail	<input type="checkbox"/> at the Investment Centre	<input type="checkbox"/> by telephone

4. Required information. Identification of the funds origin.
4.1. Employment status
☐ Employed; ☐ Self-Employed; ☐ Retired; ☐ Unemployed; ☐ Student

4.2. Economical sector of the professional occupation:
☐ Building and construction; ☐ Pharmacy and Public health; ☐ Arms trade and Defense; ☐ Mining and quarrying; ☐ Public procurement; ☐ precious metals trade; ☐ casino; ☐ sectors related mainly to cash payments; ☐ Other

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4.3. Annual income:
☐ 0-20,000 BGN; ☐ 20,001-100,000; ☐ 100,001-150,000; ☐ 150,001-200,000; ☐ над 200 000 BGN;

4.4. Source of income
☐ Employment payment, management contract and other contractual payments; ☐ Inheritance, Donation; ☐ Freelancing; ☐ Lease, interests, dividends; ☐ Sale of real estate; ☐ Sale of shares or sale of ongoing business; ☐ Other (describe:
.....)

4.5. Value of savings, investment and assets (excluding property)
☐ Under 19 999 BGN; ☐ 20 000 – 49 999 BGN; ☐ 49 999 – 100 000 BGN; ☐ 100 000 – 200 000 BGN; ☐ Over 200 000 BGN

4.6. Approximate amount that you can afford to risk?
☐ Under 1 999 BGN; ☐ 2 000 – 10 000 BGN; ☐ Over 10 000 BGN

5. Assessment for appropriateness of the service.

5.1. Client's refusal to provide information. The client declares that He/She refuses to provide information about his/her experience and knowledge and He/She is aware that with this refusal to provide the information The Investment Intermediary is obliged to offer a limited range of financial instruments and services and The Investment Intermediary will not be able to execute the assessment for appropriateness of the product/service supplied. A client must always be subject to an assessment of appropriateness in relation to trading in a complex instrument. Derivative financial instruments are an example of financial instruments that are generally considered to be complex.

☐ Yes ☐ No

5.2. Appropriateness of the service test (fill in when the client has answered with No to the question № 5.1).

The client has been informed that on the basis of the information provided The Investment Intermediary will assess whether the selected service is appropriate for him/her.

a. Do you have any education, professional qualifications and/or work experience in the financial services industry during the past 3 years which would assist your understanding of the nature and risks of trading investment products?

☐ Yes ☐ No

b. Experience with financial instruments trade: (trades per month):

Shares, Bonds, Collective Investment Schemes, Commodities

☐ never ☐ 1-10 trades per month ☐ more than 10

CFDs, Futures, Forex

☐ never ☐ 1-10 trades per month ☐ more than 10

Spot and forward transactions in foreign currency, currency options

☐ never ☐ 1-10 trades per month ☐ more than 10

5.3 The service/product is provided on the initiative of the client.

☐ Yes ☐ No

**5.4. Assessment for appropriateness of the service, in regards with the information under art.5.2
(fill in by an employee of the investment intermediary)**

☐ The service is considered appropriate ☐ The service is considered inappropriate

6. The connectivity declaration

Related persons – two or more physical persons or legal entities, related through:

- participation, which presents ownership, direct or through control, of 20 or over 20 percent of the rights to vote or of the capital of the company (enterprise);
- exercise of control by the mother company over its subsidiary in all cases, defined by the Law on the Supplementary Supervision over Financial Conglomerates, or a similar relationship between a physical person or a legal entity and a company; every subsidiary of a subsidiary is also considered a subsidiary of its mother company, which is at the top of the group of these subsidiaries

The client is an employee or a member of a management or supervisory body of the investment intermediary ☐ Yes ☐ No

The client has a family relationship with a person, working under contract for the investment intermediary:

- A. spouse or partner, defined as equal to a spouse ☐ Yes ☐ No
- B. other relative, sharing with the employee the same household. ☐ Yes ☐ No

The client (the legal entity) is related* to a person working under contract for the investment intermediary ☐ Yes ☐ No

7.1. Declaration of Politically Exposed Person (Art. 42 of the Law on the Measures Against Money Laundering - LMAML)

The client declares that He/She is holding or He/She has been holding for the last 12 months one of the following positions:

- a head of state, a head of government, a minister, a deputy minister or an assistant minister;
- a member of parliament or of similar legislative bodies;
- a member of a constitutional court, a supreme court or another supreme judiciary authority;
- member of an audit office; a member of a managing body of a central bank;
- an ambassador or a head of a diplomatic mission;
- a supreme officer of the armed forces;
- a member of administrative, managing or supervisory board of state enterprises or of companies wholly owned by the state;
- a mayor, a deputy-mayor of a municipality, a mayor or a deputy-mayor of a district, a chairperson of a municipality council;
- a member of the managing body of a political party;
- a director or a deputy director of an international organisation, a member of the managing or supervisory board of an international organisation or an equivalent function of an international organisation..

The above categories include positions in the Republic of Bulgaria, another Member State or in a third country or (if applicable) an institution or body of the European Union or an international organization.

☐ Yes ☐ No

Position: _____

7.2. The connectivity declaration (Art. 42 of the Law on the Measures Against Money Laundering - LMAML)

The client declares that He/She is related or He/She has been related for the last 12 months to a person specified above in item 7.1. According to Art. 36 of the LMAML “**related to PEPs persons**” are: spouses or cohabiting persons; children and their spouses or persons cohabiting with children; parents and their spouses or persons cohabiting with parents; brothers and sisters and their spouses or persons cohabiting with brothers and sisters; any individual known to be or for whom might be presumed, based on publicly available information, to be the beneficial owner together with a person under item 6.1 above of a legal entity or any individual who has close commercial, professional or other business relations with such person; any individual who is a sole owner of the capital of a legal entity known to be or for which might be presumed, based on publicly available information, to have been established for the benefit of a person under item 6.1 above.

☐ Yes ☐ No

Position: _____

7. Categorization

The Client declares that He/She is aware of the criteria for categorization of the investment intermediary and He/She is advised that He/She will be treated by the investment intermediary as a retail client unless explicitly categorized as a professional client/eligible counterparty according to the investment intermediary procedures.

☐ Yes☐ No

The Client is obliged to immediately notify the investment intermediary of any changes related to his/her legal status and the information provided on this card information by providing the Investment Intermediary with all documents related to the change. The Investment Intermediary shall not be liable for actions taken prior to the notification under the preceding sentence in the course of performing regularly provided services according to the information currently available to the investment intermediary.

For the Client: . _____

For ELANA TRADING INC.: _____

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