

Individual Investor Questionnaire

Information about Investor

Investor

name, surname of individual (complete according to the identification document)

Date of birth

for non-residents of Latvia only

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
day	month	year			

Personal number

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
								-	<input type="text"/>	<input type="text"/>
for the residents of Latvia only										

Identification document

series and number

Issuing authority, date and country of issue, date of expiry

Other citizenship (excluding what is mentioned in Identification document)

please specify

Declared address

Country, region

city

street, house No., office / flat No., zip code

Actual address

(if different from declared address)

Country, region

city

street, house No., office / flat No., zip code

Correspondence address

(if different from declared address)¹

Country, region

city

street, house No., office / flat No., zip code

Contact information

telephone

e-mail

I agree to use the specially developed Online Office system for secure information exchange with Signet Pensiju Pārvalde IPAS. I agree that the registration invitation for Online Office will be sent to the contact email specified in this questionnaire.

Preferred communication language

Latvian

English

Russian

Are you the ultimate beneficiary owner acting in your own interest and for your own benefit in transactions with Signet Pensiju Pārvalde IPAS?

yes

no

If the answer is "no", please submit the "Ultimate Beneficial Owner Application".

¹ Notifications, decisions, requests and other information will be sent to the correspondence address and/or email address specified in this questionnaire and/or Signet Pensiju Pārvalde IPAS system Online Office.

Information on investment certificates owned by the Investor

Account holder, where investment certificates are safe-kept (document confirming the information should be enclosed)

Name of the institution, registration number, country

Name of the institution, registration number, country

Investment certificates of the mutual funds were obtained in one / several of the following ways:

Issuance of investment certificate by Signet Pensiju Pārvalde IPAS

Transfer by the third party:

Transfer based on the agreement

Gift

Inheritance

Other _____

If the transfer was made after 18.02.2018., a document confirming the legality of the transaction must be attached.

Origin of the funds used for the purchase of investment certificates

Salary / Royalties

Sale of real estate

_____ details of the transaction - price of the property sold, address, date

Inheritance

_____ amount inherited (if received in money)

Sale of securities

_____ value and description of the securities sold, date of sale

Dividends / Interest

_____ securities quantity and description, dividend amount, payment date

Borrowed funds

_____ loan amount, lender's data, date

Sale of equity

_____ share of equity sold

Sale of personal property

_____ details of the transaction - price of the property sold, date

Income from personal property rental

_____ type and location of property

Other

_____ specify income source, amount, date or period of receipt

Information about Investor's occupation and income structure

Employee
 please specify the employer, country and job position _____

Self-employed person
 please, specify the type of business and country of operations _____

Sole trader
 please, specify NACE code and economic area of business _____

please, specify the country of registration of the main business partners _____

Other
 please, specify _____

License / permission / special registration for the activity is not required required

Annual income (EUR) up to 15 000 up to 50 000 up to 100 000

up to 500 000 up to 1 000 000 above 1 000 000

Information on politically exposed person status

Are you or any of your representatives is or has been a politically exposed person², a family member of a politically exposed person³ or a close associate of a politically exposed person⁴ or holds another prominent office / public position⁵?

no yes

PEP family member of a PEP

close associate of a PEP person who holds another prominent office / public position

Politically exposed person No. 1

_____ full name, surname _____ country

_____ position held, period

_____ additional information (relationship / family relationship with PEP)

Politically exposed person No. 2 (if applicable)

_____ full name, surname _____ country

_____ position held, period

² Politically exposed person (PEP) - a person who in the Republic of Latvia, other Member State or third country holds or has held a prominent public office, including a higher official of the public authority, a head of the state administrative unit (local government), the head of the government, the minister (the deputy minister or assistant deputy minister if there is such an office in the relevant country), the state secretary or other official of high level in the government or state administrative unit (local government), a member of parliament or a member of similar legislation entity, a member of the management entity (board) of a political party, a judge of the constitutional court, a judge of the supreme court or of the court of other level (a member of the court authority), a council or board member of the supreme audit institution, a council or board member of the central bank, an ambassador, a chargé d'affaires, a high-ranking officer of the armed forces, a council or board member of a state capital company, a head (a director, a deputy director) and a board member of an international organization, or a person who holds equal position in such organization.

³ Family member of PEP - a person who is the following for PEP: 1) a spouse or a person equivalent to a spouse. A person shall be considered a person equivalent to a spouse only if he or she is given such a status pursuant to the legislation of the relevant state; 2) a child or a child of a spouse or a person equivalent to a spouse of a PEP, his or her spouse or a person equivalent to a spouse; 3) a parent, grandparent or grandchildren; 4) a brother or a sister.

⁴ Person closely associated to PEP – an individual regarding whom it is known that he or she has business or other close relations with a PEP or he or she is a stockholder or shareholder in the same commercial company with a PEP, and also an individual who is the only owner of a legal entity which is known to have been actually established in the favor of PEP.

⁵ Person who holds another prominent office / public position – a person who isn't PEP, but holds another prominent office / public position, for example, which enables a person to influence the decisions of the state, local governments (or state / local government corporations), to conclude agreements, to make decisions in high-profile sports organizations, to implement lobbying activities, etc.

additional information (relationship / family relationship with PEP)

Person who holds
another prominent
office / public position
(if applicable)

full name, surname

country

position held, period

additional information (relationship / family relationship with person)

Investor's confirmation

I hereby confirm that all the information provided in this questionnaire is true and undertake to immediately notify Signet Pensiju Pārvalde IPAS (hereinafter – the Company) of any change in the information.

I hereby allow the Company to process (collecting, storage, recording, use, disclosure by transmission or dissemination etc.) my personal data, and data of other natural persons submitted by me, as well as request and receive mentioned data and other information from third parties in accordance with the applicable legal acts. I confirm that I have the right to transmit data of other natural persons.

I hereby confirm that I have read and agree to the Company's Regulations on processing personal data.

I undertake not to use the Company's services in transactions that would result in violation of the laws of the Republic of Latvia, the European Union or the United Nations or decisions of international organizations that determine persons subject to sanctions / restrictions, territories subject to sanctions / restrictions or restrictions on the movement of certain goods.

I confirm that I am aware that relationship between the Company and me will be regulated in accordance with the provisions of the Mutual Fund Prospectus and the Mutual Fund Management Regulations.

I understand that the Company has rights to transfer information and documents submitted by me to third parties, including if it is necessary for performance of contractual obligations with third parties and/or for the fulfilment of the requirements for the prevention of the risk of money laundering and terrorism and proliferation financing and/or of the risk of sanctions.

Date

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
day	month	year				

Place

country, city

signature of the Investor or Investor's representative

full name and surname

Notes by the Company

Date

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
day	month	year				

employee's name / surname / position held

signature