

APPLICATION FOR CHANGING CLIENT STATUS

Client Information

Client _____
 (For individuals – surname, name; for legal entities – company name)

For individuals:

Identity code/ _____
 Date of birth _____

For legal entities:

Registration No. _____

Registered office _____
 (Full address - office, street, city, postal code, country)

Actual address/
 place of residence _____
 (Full address - office, street, city, postal code, country)

Phone _____ Mobile _____ Fax _____

E-mail _____ Internet address _____

On the basis of Republic of Latvia Law on the Financial Instruments Market section 124¹ Clause 4, I hereby request for my client status to be changed from _____ to _____

for all types of investment services, non-core investment services and financial instruments

or

for the following types of investment services, non-core investment services and financial instruments (mark as applicable):

	Types of FI/transactions	Desired status
Non-complex instruments	Stocks, Exchange Traded funds/notes (regulated market)	
	Bonds, non-complex fixed income securities	
	Investment funds (UCITS)	
Complex financial instruments	Margin Forex	
	Contract for difference (CFD)	
	Currency SWAP and FORWARD	
	Complex Exchange Traded Funds (leveraged, derivative based etc.)	
	Futures	
	Options	
	Depository receipts (ADR, GDR)	
	Complex Fixed income instruments (with put/call options, convertible, subordinated etc.)	
	OTC commodity derivatives (SWAP)	
	Alternative investment funds and hedge funds	
Structured products (notes, certificates)		
Complex transactions	Short selling (bonds, stocks)	
	Securities financing transactions (REPO, REVERSE REPO)	

* for derivatives – nominal value of a contract

Enclosed (these documents are necessary for changing the status from private client to professional client)

1. The Client's Questionnaire for Investment Services on Financial Instrument Markets.
2. Other documents justifying change of the client's status.
3. _____
4. _____
5. _____

Filled in by the Client

Surname, name of the Client (Client's representative) _____

Signature _____

Date _____
dd/mm/yyyy

L.S.

Filled in by the Bank

Special references _____

Surname, name _____

Signature _____

Date _____
dd/mm/yyyy

L.S.