

## Client take-on questionnaire

# Companies – legal persons

In order to comply with laws and international standards regarding consumer protection and prevention of money laundering we ask you to complete this questionnaire and sign in a legally binding manner. If the client does not provide answers to the provided questions it will affect which services and products Straumur-Burdaras Investment Bank hf. (Straumur) may be able to offer you. Straumur can not take responsibility for its investment advice if the information given is not correct.

Yours sincerely,

Straumur-Burdaras Investment Bank hf.

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## General information

### Company details

Company name

Organization and tax numbers *(if appropriate)*

  

Address

  

Country

Telephone

Fax

Does the company fall under the supervision of a financial authority?

No

Yes



Registered number of the company

Name of regulator

## Contact details

Contact name	Position
<input type="text"/>	<input type="text"/>
E-mail	Telephone
<input type="text"/>	<input type="text"/>
Work address	
<input type="text"/>	
<input type="text"/>	

Company website

Will the company conduct business under its legal name?

No  Yes

↓

What name will the company use to conduct business?

Are the company's shares listed on a Stock Exchange or traded on a regulated market?

No  Yes → What are the stock exchange and trading symbols?

↓

Identify all shareholders who hold more than 25% of the shares and/or more than 25% of the company's voting power

<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>

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## The company's business

What is the company's principal business?

Number of employees (approx)

Do any of the company's Board of Directors, executive officers or shareholders who hold more than 10% in the company hold an elected office, or is any such a person a high-ranking public official or connected to such a person?

No  Yes → Please explain

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## Authorisation to bind the company

Who holds the authority to bind the company?

Are there any restrictions on such authorisation?

  

Will the company's Board of Directors issue a special power of attorney to an employee with relation to the company's business with the Bank?

  

Has the company provided Straumur with a list of authorised signatures?

No  Yes



A special power of attorney from the company's Board of Directors will be requested.

## Beneficial owner information

Is the company the beneficial owner of the funds that will be used in its business transaction with Straumur?

No  Yes → Go straight to next section.



Name of beneficial owner

ID and tax numbers *(if appropriate)*

Domicile

Telephone

Fax

E-mail

Tax residency

Company website

Source of funds

Reason for third-party funding

The beneficial owner must also prove his/her identity by answering a form and providing the bank with the appropriate documents.

## Origin of customer's financial resources

### Economic origin of funds

What is the origin of the financial resources transferred through Straumur?

### Geographic origin of funds (country/bank details)

In which country was the capital originated?

Where will the first transfer of funds be made from?

## Investment objectives

### Purpose of the investment

- All purposes
- Active trading
- Hedging
- Investment

### Investment horizon

- 0 - 1 years
- 1 - 3 years
- 3 - 5 years
- 5 - 10 years
- > 10 years

### Degree of risk willingness

- Low       Medium       High

Degree of risk may influence what kind of products and services Straumur will offer:

▶ **LOW RISK**

Investment with a limited potential for loss of capital. Unless the objective is hedging, customers with low risk willingness will not be offered trading in derivatives or unlisted securities.

▶ **MEDIUM RISK**

Willingness to take risk to increase the potential for a profitable return.

▶ **HIGH RISK**

The sole aim is to maximise profit. The customer will tolerate major value fluctuations.

# Financial situation

Net turnover last financial year

Annual figures in thousands of EUR

- < 100
- 100 - 1,000
- 1,000 - 5,000
- 5,000 - 40,000
- > 40,000

Total equity

Annual figures in thousands of EUR

- < 2,000
- > 2,000

Balance sheet total last financial year

Annual figures in thousands of EUR

- < 100
- 100 - 1,000
- 1,000 - 5,000
- 5,000 - 20,000
- > 20,000

Value of securities portfolio

Figures in thousands of EUR

- < 500
- > 500

## Experience with financial instruments

Experience with types of financial services

- Asset management
- Private banking
- Capital markets trading
- Securities trading
- Online securities trading

Experience with types of financial dealings

	Average trades per last four year quarters					Annual amount in thousands of EUR				
	No	1 - 10	10 - 40	40 - 80	> 80	< 10	10 - 100	100 - 1,000	1,000 - 5,000	> 5,000
Fund products	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Structured products	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bonds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Equities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Money markets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Foreign exchange	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Derivatives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## Purpose of business

What is the company's business plan in so far as the Bank would be involved?

- Debt Finance
- Corporate Finance
- Capital Markets
- Treasury
- Other → Specify


What is the expected turnover on the company's account (state currency)?

## Documents required

A

Attorney/procurator and other persons authorised to sign for a company have to prove their identity by providing certified copies of their **passports** (authenticated by a public notary, an embassy, or the financial institution with which the company primarily does business).

B

A **certificate** must be obtained from a Registrar of Companies in the state concerned attesting to the registration of the legal entity (for example, a Certificate of Incorporation). The certificate must not be more than two months old.

C

The company's **Rules on Signatures** that include specimen signatures. If this is not available a **Power of Attorney** from the Board of Directors to specific persons should be provided.

D

The legal entity's Articles of Association, audited annual financial statements, information on major owners/shareholders and information on its Board of Directors.

## Send to Straumur

- ▶ We hereby confirm that the statements given above are true and correct.
- ▶ We have received the Best Execution Policy of Straumur (attached on [www.straumur.net/newcustomer](http://www.straumur.net/newcustomer)) and consent to the Best Execution Policy described therein.
- ▶ We have received the attached General Terms and Conditions for Clients of Straumur (attached on [www.straumur.net/newcustomer](http://www.straumur.net/newcustomer)) and consent to the terms and conditions described therein.
- ▶ We consent to Straumur executing our orders outside a regulated market or Multilateral Trading Facility (MTF).
- ▶ We agree that where we place a limit order with Straumur for shares that are admitted to trading on a regulated market and that order is not immediately executed under prevailing market conditions, Straumur will be granted the discretion not to make the limit order public.
- ▶ We have received and acquainted ourselves with the Risk Awareness document (see page 17-21 in the General Terms and Conditions for Clients' document, attached on [www.straumur.net/newcustomer](http://www.straumur.net/newcustomer))

Place and date

Signature

Please send the completed questionnaire to:

Straumur-Burdaras Investment Bank hf.  
Borgartún 25, 105 – Reykjavík  
Iceland  
Att: Customer acceptance

To be completed by Straumur-Burdaras Investment Bank hf. customer acceptance

Name

Date

Office

Signature

Have all documents in section 10 been collected?

No

Yes