

## Individual Investor Questionnaire

### Information about Investor<sup>1</sup>

#### Investor

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

#### Date of birth

for non-residents of Latvia only

day	month	year					

#### Personal number

-													
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)<sup>2</sup>

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 Asset Management Latvia IPS. 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 Asset Management Latvia IPS?

yes

no

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

<sup>1</sup> The questionnaire is intended for the investors who own investment certificates of mutual funds Integrum Global USD Bond Fund (LV0000400315), Integrum Global EUR Bond Fund (LV0000400349), Integrum Global EUR Stock Index Fund (LV0000401057), Integrum Multi-Asset Total Return USD Fund (LV0000400919).

<sup>2</sup> Notifications, decisions, requests and other information will be sent to the correspondence address and/or email address specified in this questionnaire and/or Signet Asset Management Latvia IPS 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
- 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 person<sup>3</sup>, a family member of a politically exposed person<sup>4</sup> or a close associate of a politically exposed person<sup>5</sup> or holds another prominent office / public position<sup>6</sup>?

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

<sup>3</sup> 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.

<sup>4</sup> 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.

<sup>5</sup> 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.

<sup>6</sup> 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 Asset Management Latvia IPS (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

day		month		year			

Place

country, city

signature of the Investor or Investor's representative

full name and surname

Notes by the Company

Date

day		month		year			

employee's name / surname / position held

signature