

## Legal Entity Investor Questionnaire

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

Investor \_\_\_\_\_  
company name of legal entity

Registration number \_\_\_\_\_

Registration date \_\_\_\_\_

Legal address \_\_\_\_\_  
country, region \_\_\_\_\_ city \_\_\_\_\_  
street, house No., office / flat No., zip code \_\_\_\_\_

Actual address \_\_\_\_\_  
(if different from legal address) country, region \_\_\_\_\_ city \_\_\_\_\_  
street, house No., office / flat No., zip code \_\_\_\_\_

Correspondence address \_\_\_\_\_  
(if different from legal 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.

Additional information \_\_\_\_\_

Website \_\_\_\_\_

Preferred communication language  Latvian  English  Russian

### 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 \_\_\_\_\_

<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

Name of the institution, registration number, country \_\_\_\_\_

Investments certificates 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

- Income from business activities
- Other \_\_\_\_\_  
specify income source, amount, date or period of receipt

Information about Legal Entity

Type of legal entity

- Limited liability company
- Public joint-stock company
- Joint-stock company
- General Partnership
- Limited Partnership
- Fish farm
- Agricultural farm
- Individual (family) company
- Cooperative Society
- Society or foundation
- Other \_\_\_\_\_  
please specify

Is the Investor included in a group or association of companies?

- no
- yes \_\_\_\_\_  
please indicate the name of the group or association. If Investor is the subsidiary, please specify the name of parent company and describe legal and organizational structure

Whether a legal person issues or is entitled to issue bearer shares?  no  yes

Are shares of company or related person traded on a regulated market?

- no
- yes \_\_\_\_\_  
please indicate the name of regulated market

Information about company's business activities

Investor's core business operations countries

\_\_\_\_\_  
\_\_\_\_\_

Areas of company's activities (according to NACE classification)

- |   |   |
|---|---|
| <input type="checkbox"/> Agriculture, forestry and fishing (A)                        | <input type="checkbox"/> Real estate activities (L)                                     |
| <input type="checkbox"/> Mining and quarrying (B)                                     | <input type="checkbox"/> Professional, scientific and technical activities (M)          |
| <input type="checkbox"/> Manufacturing (C)  | <input type="checkbox"/> Administrative and support service activities (N)              |
| <input type="checkbox"/> Electricity, gas, steam and air conditioning supply (D)      | <input type="checkbox"/> Public administration, defence, compulsory social security (O) |
| <input type="checkbox"/> Water supply, sewerage, waste management and remediation (E) | <input type="checkbox"/> Education (P)  |
| <input type="checkbox"/> Construction (F)   | <input type="checkbox"/> Human health and social work activities (Q)                    |
| <input type="checkbox"/> Wholesale and retail trade, repair of motor vehicles (G)     | <input type="checkbox"/> Arts, entertainment and recreation (R)                         |
| <input type="checkbox"/> Transportation and storage (H)                               | <input type="checkbox"/> Other service activities (S)                                   |
| <input type="checkbox"/> Accommodation and food service activities (I)                | <input type="checkbox"/> Activities of households as employers (T)                      |
| <input type="checkbox"/> Information and communication (J)                            | <input type="checkbox"/> Activities of extraterritorial organizations and bodies (U)    |
| <input type="checkbox"/> Financial and insurance activities (K)                       |   |

Does the Investor's economic activity involve such activities?

- |   |   |
|---|---|
| <input type="checkbox"/> virtual currency trading   | <input type="checkbox"/> antiques items or art trading                    |
| <input type="checkbox"/> precious metals and jewelry manufacturing or trading   | <input type="checkbox"/> rendering of collection services                 |
| <input type="checkbox"/> gambling / organization of gambling activities   | <input type="checkbox"/> financial intermediation, investments or lending |
| <input type="checkbox"/> arms dealing   | <input type="checkbox"/> intermediation in real estate's operations       |
| <input type="checkbox"/> provision of money services (e.g. billing offices, currency exchange offices, money transfer agents or other service providers offering money transfer facilities) |   |
| <input type="checkbox"/> reinsurance services   |   |

Are business activities subject to licensing?  yes  no

If yes, please specify regulatory authority name, jurisdiction, registration No. with regulator

---

Is the Investor required to provide its financial statements to official authorities at the place of its registration?  yes  no

Are the financial statements publicly available?  yes  no

Main partners:

\_\_\_\_\_  
partner's name, country, type of cooperation

\_\_\_\_\_  
partner's name, country, type of cooperation

\_\_\_\_\_  
partner's name, country, type of cooperation

Source of funds  business income  borrowed funds  
 other \_\_\_\_\_

Information on politically exposed person status

Are or was any of your representatives 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

\_\_\_\_\_

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, receive and process mentioned data and other information 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.

<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.

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 

--	--

--	--

--	--	--	--

 Place \_\_\_\_\_  
day month year country, city

\_\_\_\_\_  
signature of the Investor's representative full name and surname

Notes by the Company

Date 

--	--

--	--

--	--	--	--

  
day month year

\_\_\_\_\_  
employee's name / surname / position held signature