

**QUESTIONNAIRE FOR PROVISION OF ADVISORY SERVICES ON  
SECURITIES MARKET**

Edition 2

Effective date: September 19, 2019

Client

*Full name or company name*

Client code

☐ Physical entity

☐ Legal entity

TIN

*Person acting on behalf of legal entity*
*Full name*

Passport

*Serial number*
*Issued by*
*Date issued*

Address

Phone

**Client information**

Profession, employer, occupation or position

Education

☐ Secondary school

☐ Undergraduate

☐ Graduate

Background in capital markets

☐ Low

☐ Medium

☐ Advanced

☐ Professional

Amount and sources of regular income on a monthly scale

Assets in AMD expression

Total

Liquid

Financial investments and cash (investments in securities, deposits, etc.), real estate

Regular financial outflows

Period throughout which you are intending to hold investments on securities market

☐ 30-60 days

☐ Up to 1 year

☐ 1-3 years

☐ 3-5 years

☐ 5+ years

What is the highest acceptable risk for you?

5-10%

10-15%

15-50%

50%+

Purpose of investing on securities market

☐ Extra earnings  
☐ Savings  
☐ Short-term investment

☐ Other (specify)

What investment services have you used before?

☐ Brokerage  
☐ Trust management

☐ Investment consultancy  
☐ Other (specify)

What operations have you performed with securities before?

☐ Sale/purchase

☐ Derivatives

☐ Other (specify)

Quantity/Value

Frequency (on an annual basis)

Period


What financial instruments do you wish to get consultation about?

☐ Stocks  
☐ Futures

☐ Bonds  
☐ Options

☐ Forex  
☐ Other (specify)

**Do you meet the following criteria for professionals?**
*To be completed by physical entities*
*To be completed by legal entities*

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I have executed 10 or more transactions in the most recent 4 quarters (with at least 1 mn AMD as average transaction amount).		Book value of our assets as of the end of the year preceding the year of execution of advisory services agreement is above 500 mn AMD.	
<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Is your securities portfolio above 100 mn AMD?		Our revenues turnover (for the purposes of the Tax Code of the Republic of Armenia) of the year preceding the year of execution of advisory services agreement is above 1 bn AMD.	
<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you have 2 years of such professional background in finance as requires knowledge related to the services to be provided to you?		At the time of execution of advisory services agreement our total capital as of the end of previous month (the month before that, if not known) was 50 mn AMD.	
<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
		Yes	No
Do you have any idea of what forex trading is?			
Are you familiar with risks associated with forex trading, such as leverage?			
Do you know what rights and obligations an option generates?			
Do you know what you buy and sell on forex market?			
Do you have an understanding of how settlements for margin trading are performed?			
Do you know about fundamental and technical analyses of factors affecting price of financial assets?			
Can you distinguish between hedging and speculative trading?			
Do you know what the specifications of a futures contract are?			
Do you know what a derivative is?			
Do you know about rights arising out of a stock?			
Do you know how much cash you need to engage in day trading in US-based stocks?			
Do you know the differences between stocks and bonds?			
Do you know what the difference between a short sell and normal sell is?			
Do you have an understanding of what a margin call is and when it can be applied?			
Are you familiar with the notions of open and closed (opening and closing of) positions?			
Do you have an understanding of what a long position is?			
Do you know what a CFD (contract for difference) is?			
<p><b>Realizing and understanding what leveraged trading is, I hereby confirm that I am aware that leveraged trading, including forex operations, is normally associated with high risk levels, and that these operations are only suited for those clients who are prepared to take the risk of losing the initial deposit (margin). I am also aware that these operations are associated with significant price fluctuations which can result in both high yields and substantial losses (equal to or more than invested amount).</b></p>			
<p style="text-align: right;">----- <b>Signed</b></p>			
<p><b>I have been informed that in case I am classified as a professional, certain requirements defined under the CBA Regulation 4/07 "Requirements to Investment Service Providers" (the Regulation) approved by CBA resolution №113-Ն as of April 08, 2008 will not be applicable, in particular: Ameriabank might not comply with certain requirements related to provision of information to clients (chapter 4 of the Regulation) or provide information about securities associated with investment services (chapter 5 of the Regulation), or it can limit the information about it and the services it provides and their costs and fees, considering that professionals are expected to have sufficient background and knowledge to be aware of such details.</b></p>			
<p style="text-align: right;">----- <b>Signed</b></p>			
<p><b>I hereby confirm that the information provide by me in this questionnaire is complete and reliable. I undertake to inform the bank of any and all changes in such information not later than the date of execution of the agreement on provision of advisory services on securities market.</b></p>			
<p style="text-align: right;">----- <b>Signed</b></p>			
<input type="checkbox"/> I agree to be classified as a professional			
<input type="checkbox"/> I agree to be classified as a qualified investor			

Client

Seal

Full name

Signed

Date

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**MINUTES**

Subject	Correct answers		Number of questions
	Quantity	Percentage	
Professional criteria			
Knowledge check			
Total			
Classify as professional	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Comments			

Prepared