

BROKERAGE SERVICE APPLICATION

Edition 7

Effective date: September 14, 2020

Client

Full name or company name

Client code
☐ Physical entity

☐ Legal entity

Taxpayer's
identification
number (TIN)

Person acting on behalf of legal entity
Full name
Passport
Serial number
Issued by
Date issued
Address
Phone number
**Employer, occupation, position,
for legal entities – industry**
Average monthly income
Deposits, savings (other income)
**Property owned by the client (indicate
location/address for real estate, make and
date manufactured for movable property)**
Please open
☐ Brokerage account

☐ Depo/securities account

In
☐ AMD

☐ USD

☐ RUB

☐ EUR

I would like to use Ameria Global Trading
☐
Tariff scale
Standard
☐
Bulky
☐
Amount of invested deposit
**Please specify the financial instruments you
intend to use to execute transactions**
☐ Stocks

☐ Bonds

☐ Forex

☐ Futures

☐ Options

☐ Other (specify)

**Completing the questions about capital markets is a required condition for forex access.*
Background in investing
For physical entities
For legal entities

Do you meet the following criteria?

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 investment services agreement is above 500 mn
AMD.

☐ Yes

☐ No

☐ Yes

☐ 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
investment services agreement is above 1 bn AMD.

☐ Yes

☐ No

☐ Yes

☐ No

Do you have at least 2 years of professional background in finance?

At the time of execution of investment services agreement our total
capital as of the end of previous month (the month before that, if not
known) was 50 mn AMD.

☐ Yes

☐ No

☐ Yes

☐ No

Education
☐ Secondary/high school

☐ Undergraduate

☐ Graduate

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Your knowledge in the sphere of capital markets	<input type="checkbox"/> Low <input type="checkbox"/> Average <input type="checkbox"/> Advanced <input type="checkbox"/> Professional			
What financial instruments or securities have you dealt with before?	<input type="checkbox"/> Stocks <input type="checkbox"/> Futures	<input type="checkbox"/> Bonds <input type="checkbox"/> Options	<input type="checkbox"/> Other (specify)	
What investment services have you used before?	<input type="checkbox"/> Brokerage <input type="checkbox"/> Trust management		<input type="checkbox"/> Investment consultancy <input type="checkbox"/> Other	
What is the highest risk level you feel comfortable with?	<input type="checkbox"/> 5-10%	<input type="checkbox"/> 10-15%	<input type="checkbox"/> 15-50%	<input type="checkbox"/> >50%
			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>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).</p> <p style="text-align: right;">----- Signed</p>				
<p>I have been informed that in case I am classified as a professional:</p> <p>1. Certain requirements defined under the CBA Regulation 4/07 "Requirements to Investment Service Providers" (the Regulation) approved by CBA resolution № 113-Ї 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.</p> <p style="text-align: right;">----- Signed</p>				
<input type="checkbox"/> I agree to be classified as a professional				
<input type="checkbox"/> I agree to be classified as a qualified investor				

I hereby give my **consent** for:

- Ameriabank CJSC to make inquiries about my financial and credit history and income to ACRA Credit Reporting CJSC, CBA credit register, Nork Informational and Analytical Center CJSC and other organizations rendering services of the type mentioned in this clause, and obtain information from them without further notice to me.
- ACRA Credit Reporting CJSC, CBA credit register, Nork Informational and Analytical Center CJSC and other organizations rendering services of the type mentioned in this clause to provide to Ameriabank CJSC information on my financial and credit history without further notice to me.
- Ameriabank CJSC to make inquiries to other entities, whether physical or legal, to obtain information (current or past) about me (including inquiries about my personal data); check the information and data provided by me and search for other information related to my personal data.

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4. This *consent* is applicable only to accounts with leverage.

Signed

Client

(Full name)

Seal

(Signed)_____
(Date)**MINUTES**

Subject	Correct answers		Number of questions
	Quantity	Percentage	
Professional criteria			3
Knowledge check			17
Total			20
Classify as professional	<input type="checkbox"/> Yes		<input checked="" type="checkbox"/> No
Broker's conclusion about opening of account	<input type="checkbox"/> Positive		<input type="checkbox"/> Negative
Comments			

Date prepared