

## Adequacy assessment questionnaire

### A legal person or an organizational entity without legal personality

Please fill in the Questionnaire containing information necessary for TMS Brokers to determine whether the Client has experience and knowledge in the field of investments necessary for the conscious taking of risks related to the offered or purchased investment product or service. This information will be the basis for assessing whether the investment service is adequate for the Client. The reason for the adequacy assessment is to enable TMS Brokers to act in the best interest of the Client. The assessment of service adequacy concerns the Client. In the case of Clients who are not natural persons, TMS Brokers shall conduct an adequacy assessment for the Client analysing the adequacy for persons authorised to submit instructions and orders resulting from the Agreement on behalf of the Client, indicated in the list provided to TMS Brokers (hereinafter referred to collectively as: "authorized persons"). If the Agreement is concluded by a proxy authorized to conclude the Agreement, authorised by the persons authorized to represent the entity, the Questionnaire should be completed and signed by the proxy, with the reservation that the proxy, when completing the Questionnaire, provides information on the Client's knowledge and experience in the field of investment. In the case of appointing a proxy authorized to place orders and instructions on behalf of the Client, the Questionnaire shall be filled in and signed by the proxy, and when filling in the Questionnaire, the proxy shall provide information on its own knowledge and experience in the field of investment.

If you fail to provide us with such information, or if the information provided by you regarding your investment knowledge and experience is not sufficient to determine whether the service or product envisaged is appropriate for you, we will warn you. However, this shall not prevent you from entering into an Agreement with TMS Brokers if you apply to us to enter into such an Agreement in spite of a warning and we accept your application. TMS Brokers may refuse to conclude an agreement with the Client if it considers that the service provided would be significantly inadequate for the Client.

| QUESTIONS |  |
|-----------|--|
| 1         | <p><b>Does the person authorized on behalf of the Client have knowledge or education acquired through:</b></p> <ul style="list-style-type: none"> <li>• participation in on-line courses,</li> <li>• site training,</li> <li>• using the educational materials,</li> </ul> <p><b>or activities related to investing in financial instruments:</b></p> <p><input type="checkbox"/> Yes, in the scope of financial instruments outside organized trading (e.g. CFDs) and financial instruments in organized trading (e.g. shares or futures),</p> <p><input type="checkbox"/> Yes, for financial instruments outside organized trading (e.g. CFDs),</p> <p><input type="checkbox"/> Yes, in the scope of financial instruments in organized trading (e.g. shares, futures),</p> <p><input type="checkbox"/> I have no knowledge or education in financial instruments.</p> |
| 2         | <p><b>Persons authorized to conclude transactions on behalf and for the account of the Client work or have worked in the financial sector in a position that requires professional knowledge in the field of financial instruments:</b></p> <p><input type="checkbox"/> Yes, with respect to financial instruments in organized trading (e.g. shares or futures) and financial instruments outside organized trading (e.g. CFDs),</p> <p><input type="checkbox"/> Yes, for financial instruments outside organized trading (e.g. CFDs),</p> <p><input type="checkbox"/> Yes, in the scope of financial instruments in organized trading (e.g. shares or futures),</p> <p><input type="checkbox"/> I did not work in the financial sector or I worked below one year.</p>   |
| 3         | <p><b>What experiences have persons authorized to conclude transactions on behalf of and on the account of the Client in the field of operating transaction systems enabling transactions on financial instruments:</b></p> <p><input type="checkbox"/> I used a demo version;</p> <p><input type="checkbox"/> I used a real version;</p> <p><input type="checkbox"/> I do not have experience.</p>  |
| 4         | <p><b>How many transactions Client made on instruments on the organized market such as shares, futures?</b></p> <p><input type="checkbox"/> more than 15;</p> <p><input type="checkbox"/> 15 or less;</p>  |

Dom Maklerski TMS Brokers SA, Złote Tarasy (Budynek Skylight), ul. Złota 59, 00-120 Warszawa  
tel. (22) 27 66 200, fax (22) 27 66 202, dommaklerski@tms.pl, www.tms.pl

Dom Maklerski TMS Brokers SA, podlega Komisji Nadzoru Finansowego. Spółka zarejestrowana przez Sąd Rejonowy dla m.st. Warszawy w Warszawie, XII Wydział Gospodarczy Krajowego Rejestru Sądowego pod numerem KRS 0000204776  
Kapitał zakładowy: 3.537.560 zł, kapitał wpłacony: 3.537.560 zł, NIP: 526-27-59-131, REGON: 015715078

|    |   |
|----|---|
|    | <input type="checkbox"/> 0.   |
| 5  | <p><b>How many transactions Client made on financial instruments at over-the-counter (OTC) market using leveraged instruments (e.g. contract for difference – CFD) during the last year?</b></p> <input type="checkbox"/> more than 15;<br><input type="checkbox"/> 15 or less;<br><input type="checkbox"/> 0.  |
| 6  | <p><i>(please answer in the case of selection in question No. 5 of an answer other than "0")</i> <b>What sum of own funds did the Client invest on his brokerage account?:</b></p> <input type="checkbox"/> above 12 000 EUR;<br><input type="checkbox"/> from 5 000 to 12 000 EUR;<br><input type="checkbox"/> to 5 000 EUR.   |
| 7  | <p><i>(please answer in the case of selection in question No. 5 of an answer other than "0")</i> <b>The transactions carried out by the Client were of a nature:</b></p> <input type="checkbox"/> investment (use of changes in prices of financial instruments to generate a profit);<br><input type="checkbox"/> hedging nature (hedging transactions and cash flows);<br><input type="checkbox"/> saving nature.   |
| 8  | <p><b>An order which, in principle, consists in closing an open position in order to limit losses, is an order:</b></p> <input type="checkbox"/> stop loss;<br><input type="checkbox"/> take profit;<br><input type="checkbox"/> I do not know.   |
| 9  | <p><b>Investment risk meaning is (please tick one):</b></p> <input type="checkbox"/> possibilities of achieving a result from the investment other than expected,<br><input type="checkbox"/> the inability to sell financial instruments,<br><input type="checkbox"/> I don't know.  |
| 10 | <p><b>After the Investor bought a CFD contract based on EUR/USD spot rate, the EUR currency strengthened in relation to USD (the rate increased). What will be the effect of this transaction if a position is closed?</b></p> <input type="checkbox"/> the investor generates profit;<br><input type="checkbox"/> the investor incurs a loss;<br><input type="checkbox"/> the investor does not generate profit and does not incur a loss.                         |
| 11 | <p><b>Are the persons authorized to conclude transactions on behalf and on the account of the Customer aware that investing in financial instruments using leverage may be associated with a loss?</b></p> <input type="checkbox"/> Yes;<br><input type="checkbox"/> No.  |
| 12 | <p><b>What is the Client's main investment goal?</b> <i>(please tick one of the answers that best reflects the purpose)</i></p> <input type="checkbox"/> investing financial surpluses and achieving profitability above that of bank deposits, while accepting the risk of incurring losses;<br><input type="checkbox"/> investing financial surpluses and achieving profitability at the level of a bank deposit, without accepting the risk of incurring losses. |
| 13 | <p><b>How would you describe the degree of Client's investment risk acceptance:</b></p> <input type="checkbox"/> Accepts low investment risk,<br><input type="checkbox"/> Accepts the risk of a moderate decline in the value of investments,   |

|    |  |
|----|--|
|    | <input type="checkbox"/> Accepts the investment risk and the possibility of incurring significant losses.  |
| 14 | <p><b>Please, indicate the main sources of permanent financial obligations of the Client (this may affect the amount of free funds of the Client available to spend on investments) (you can choose more than one answer):</b></p> <input type="checkbox"/> Costs associated with operating the credit line,<br><input type="checkbox"/> Public law liabilities, including taxes and other public levies,<br><input type="checkbox"/> Liabilities due to issued bonds,<br><input type="checkbox"/> Others. |
| 15 | <p><b>What part of the Client's free funds are intended to be invested through TMS Brokers brokerage account?</b></p> <input type="checkbox"/> not more than 5%;<br><input type="checkbox"/> 6% - 30%;<br><input type="checkbox"/> 31% -60%;<br><input type="checkbox"/> over 60% savings.   |
| 16 | <p><b>What drawdown on the invested capital Client can accept? (please tick one)</b></p> <input type="checkbox"/> over 20%<br><input type="checkbox"/> 11% - 20%<br><input type="checkbox"/> 6% -10%<br><input type="checkbox"/> Not more than 5%  |

**Total points:** \_\_\_ the service is:

adequate (11 - 32)

inadequate (0 - 10)

\_\_\_\_\_  
(date, signature of TMS Brokers employee)

#### Statement of the Client

I hereby declare that the answers given by me to the above Questionnaire are accurate. I have received information on the services to be provided on the basis of the concluded Agreement, and I have been acquainted with the investment risk associated with these services. I have been informed that as a result of my failure to answer the above questions, TMS Brokers is not able to assess whether I have the knowledge and experience in the field of investments allowing me to independently assess the risk associated with investing in financial instruments offered by TMS Brokers.

TMS Brokers informs that the service provided by TMS Brokers may not meet the individual needs of the Client.

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(signature of the person authorized to represent the Client)

#### Additional declaration by the Client if, in accordance with the assessment algorithm, the service is inadequate for the Client

I have received information on the services to be provided on the basis of the concluded Agreement, and I have been acquainted with the investment risk associated with these services. I have been informed that the service to be provided on the basis of the Agreement concluded is inadequate, as it involves a risk which is not commensurate with my level of knowledge and experience in the field of investment. Despite this warning, I would like to ask TMS Brokers to conclude a Framework Agreement.

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(signature of the person authorized to represent the Client)

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