

## INFORMATION ON THE TRIGON DOM MAKLERSKI S.A. POLICY ON DEALING WITH PROFESSIONAL CLIENTS

Considering that the Client has been categorised as a Professional Client by Trigon Dom Maklerski S.A. (the “**Brokerage House**”) within the meaning of the Act on Trading in Financial Instruments (the “**Act**”), or re-categorised from a Retail Client to a Professional Client category based on the Client’s request satisfying the statutory criteria, the Brokerage House hereby notifies the Client that Clients categorised as Professional Clients are afforded a lower level of protection than those categorised as Retail Clients.

In accordance with Commission Delegated Regulation (EU) 2017/565 of 25 April 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council as regards organisational requirements and operating conditions for investment firms and defined terms for the purposes of that Directive (the “**Regulation**”), the Brokerage House notifies the Client that:

1. When entering into and during the performance of a brokerage services agreement, a Client categorised as a Professional Client is afforded a lower level of protection than a Client categorised as a Retail Client.
2. A Client categorised by the Brokerage House as a Professional Client that does not agree with the category assigned by the Brokerage House may submit a written request to be re-categorised as a Retail Client, subject to the terms laid down in the Client Categorisation Policy of Trigon Dom Maklerski S.A. and in accordance with the provisions of the Act and the Regulation. The Brokerage House may refuse or restrict its services to Clients referred to in the preceding sentence.
3. A Client categorised as a Professional Client is required to inform the Brokerage House of any change in its data affecting the Client’s eligibility to be treated as a Professional Client.
4. The Brokerage House may, on its own initiative, treat a Client categorised as a Professional Client as a Retail Client if, according to information held by the Brokerage House, the Client has ceased to meet the criteria for being categorised as a Professional Client.
5. The Brokerage House needs not request a Professional Client to provide information on the level of the Client’s knowledge of investing in financial instruments and investment experience, as well as obtain relevant representations or documents from the Client.

In relation to a Professional Client, the Brokerage House is not obliged to:

- 1) give a warning that the investor’s return on a financial instrument, financial index or investment service may increase or decrease as a result of currency fluctuations, where information provided to the Client is based on figures denominated in a currency other than that of the Member State in which the Client is domiciled;
- 2) inform the Client where a prospectus has been published if the Brokerage House is providing information on a financial instrument which is being offered to the public and a prospectus has been published in connection with that offering;
- 3) obtain information on the level of the investor’s knowledge of investing in financial instruments and investment experience;
- 4) in the case of the brokerage service referred to in Art. 69.2.5 of the Act, provide a report that includes an outline of the advice given and how the recommendation provided is suitable for the Client, including how it meets the Client’s objectives and personal circumstances with reference to the investment horizon required, the Client’s knowledge and experience and the Client’s attitude to risk and loss taking;
- 5) inform the Client of any material difficulty relevant to the proper execution of orders promptly upon becoming aware of such difficulty;
- 6) when holding the Client’s account that includes positions in leveraged financial instruments or contingent liability transactions, inform the Client where the initial value of each instrument depreciates by 10% and thereafter by multiples of 10%;
- 7) provide details on its order execution and best execution policy.

Information on costs or fees payable by Clients categorised as Professional Clients may be presented, if so arranged beforehand with the Client, in less detail than for Clients categorised as Retail Clients, provided that the said exclusions or limitations do not apply to the provision of investment advice, portfolio management or intermediation in buying or selling derivatives.

**CLIENT'S DECLARATION OF BEING AWARE OF THE TRIGON DOM MAKLERSKI S.A. POLICY ON DEALING WITH PROFESSIONAL CLIENTS**

| FIRST NAME AND LAST NAME / ENTITY NAME | PERSONAL IDENTIFICATION NUMBER (PESEL) / COMPANY STATISTICAL NUMBER (REGON) | TAX IDENTIFICATION NUMBER (NIP) | ADDRESS OF RESIDENCE/REGISTERED ADDRESS |
|--|---|---------------------------------|---|
|  |   |                                 |   |

I hereby represent that:

1. I have read and understood the Trigon Dom Maklerski S.A. Policy on Dealing with Professional Clients, which has been given to me in writing,
2. I am aware of the scope of protection afforded and information provided to me by Trigon Dom Maklerski S.A. in connection with my being categorised as a Professional Client,
3. I am aware of the existence and scope of obligations a Professional Client has in relation to Trigon Dom Maklerski S.A.,
4. I am aware of the risk and consequences involved in being dealt with as a Professional Client.

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date and the Client's legible signature

as at October 19th 2018