

CLIENT QUESTIONNAIRE WHEN PROVIDING AN INVESTMENT SERVICE THAN INVESTMENT ADVICE AND ASSET MANAGEMENT

This questionnaire aims to identify the Client in accordance with the Anti-Money Laundering Act and its Implementing Regulations, to correctly identify and assess the risks in providing investment and additional services, to classify the client according to MiFID, and to assess if the service provided is suitable for the client. "RCX Global" LLC requires the client to provide comprehensive and accurate information in order to recommend appropriate services/products and to act in the best interests of the client.

1. Names of the Client:	PIN and date and place of birth:	Nationality (each one that the person has):	

Permanent address (country, city, municipality, postcode, street/ Blvd., No:

Correspondence address if different from the above
(country, city, municipality, postcode, street/ Blvd., No:

Contact phone and e-mail of the legal entity

2. Names of the Proxy:	PIN and date and place of birth:	Nationality (each one that the person has):	

Permanent address of the Proxy (state, city, municipality, postal code, street/ Blvd., No:

Correspondence address if different from the above
(country, city, municipality, postcode, street/ Blvd., No:

Contact phone and e-mail of the Proxy

3. Bank	BIC code	IBAN	Currency

4. Does the Client submit an annual tax declaration?

<input type="checkbox"/> No	<input type="checkbox"/> Yes (note approximately the amount of taxes you had paid in the last calendar year)
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5. Do you agree the information concerning the Investment Intermediary, its rules, policies, general information and services to be provided electronically through the Website of RCX Global LLC ?

<input type="checkbox"/> Yes, I give my explicit consent and please to receive the address of the website and the place of access to this information at the e-mail address specified in the questionnaire	<input type="checkbox"/> No, I prefer on a paper in the office of RCX Global		
6. Please clarify the reasons for using the services of RCX Global LLC and the purpose of the conclusion of the contract?			
7. Regulatory information. Origin of the funds			
7.1. Status of employment:			
<input type="checkbox"/> Working	<input type="checkbox"/> Self-insured	<input type="checkbox"/> Retired	<input type="checkbox"/> Unemployed
7.2. Education:			
<input type="checkbox"/> Primary	<input type="checkbox"/> High school	<input type="checkbox"/> Bachelor/ Master	
7.3. Profession, position and name and country of the current employer.			
7.4. Annual income			
<input type="checkbox"/> 0-10 000 EUR	<input type="checkbox"/> 10 001 – EUR 50 000	<input type="checkbox"/> 50 001 – EUR 75 000	<input type="checkbox"/> Over EUR 75 001
7.5. Source of income			
<input type="checkbox"/> Salary	<input type="checkbox"/> Inheritance, donation	<input type="checkbox"/> Sale of financial instruments/ property	<input type="checkbox"/> Other..... <i>(describe)</i>
7.6. Value of the savings, investments and assets (excluding property)			
<input type="checkbox"/> 0 EUR	<input type="checkbox"/> 1-10 000 EUR	<input type="checkbox"/> 10 000 – EUR 50 000	<input type="checkbox"/> Above EUR 500 000
7.7. Approximate amount that the Client can afford to risk?			
<input type="checkbox"/> Under EUR 1 000	<input type="checkbox"/> 1 000 – EUR 5 000	<input type="checkbox"/> Over 5 000 EUR	
8. Suitability of the service			
<p>The customer is informed that on the basis of the information provided, the Company will assess the selected service is appropriate for it.</p>			
8.1. CUSTOMER's REFUSAL			
<p>The Client declares that it refuses to provide information about its experience and knowledge, as well as to provide information in case of change in circumstances by filling out a new form, and is informed that if the Company refuses to provide this information, the last will not be able to assess the suitability of product/service provided and agrees that the Company will not comply with its obligations to</p>			

appropriate service assessment. However, the Company is obliged to comply with the requirements for treatment of conflicts of interest. **An assessment of the suitability of trading in complex**

☐
No

☐
Yes

8. 2. Knowledge and experience:

8.2.1. The types of financial instruments you are familiar with and which you intend to trade?

☐
Shares

☐
Bonds

☐
Government securities

☐
Shares of collective
investment schemes

☐
Derivatives

☐
Warrants, rights

☐
Compensatory
instruments

☐
CFDs

☐
Currency pairs

☐
Raw materials

☐
Other..... (clarify)

8.2.2. Since when you are trading with these financial instruments?

☐
Never

☐
Less than 1 year

☐
1-3 years

☐
More than 3 years

8.2.3. What is the approximate value in EUR of the transactions you have concluded with these financial instruments in the last 1 year?

☐
I have never concluded
before

☐
Less than EUR 15
000

☐
Over EUR 15 000

8.2.4. Experience in trading with the financial instruments referred to in the last 1 year (number of transactions per month)

☐
Never

☐
1-10 trades per
month

☐
More than 10

8.2.5. Have you worked in the financial services sector, which would support your understanding of the nature and risks of investing in financial instruments?

☐
No

☐
1 year

☐
More than 1 year

8.2.6. The service/product is provided at the initiative of the client

☐
No

☐
Yes

8.2.7. Does the Client acts in its own name and on its own account?

☐
No, on behalf and/or on
behalf of a third party

☐
Yes, in its own name
and on its own account

8.2.8. Expected volume of transactions within the business relations with RCX Global LLC ? <i>amount in EUR)</i>			
8.2.9. The Client declares that he/ she has the necessary experience and knowledge to understand the risks associated with the investment service performed.			
<input type="checkbox"/> No	<input type="checkbox"/> Yes		
8.2.10. The Client declares that he/ she is aware that the value of the financial instruments may fall below the initial invested amount			
<input type="checkbox"/> No	<input type="checkbox"/> Yes		

9. Declaration of politically exposed persons (Art. 36, para 2 of the AML)	
The Client declares that he has held or held one of the following positions in the last 12 months:	
<ul style="list-style-type: none"> - Head of State, Head of Government, Minister and Deputy Minister or Assistant Minister; - a member of a parliament or other legislative body; - a member of a constitutional court, of a supreme court or of any other senior authority of the judiciary whose decisions are not subject to subsequent appeal except in exceptional circumstances; - member of the Court of Auditors; - a member of a central bank's governing body; - Ambassador and managing diplomatic missions; - senior officers of the armed forces; - a member of an administrative, management or supervisory body of a state-owned enterprise and a commercial company with sole owner - the State; - mayor and deputy mayor of municipality, mayor and deputy mayor of the district and chairman of the municipal council; - member of a governing body of a political party; - head and deputy head of an international organization, member of a management or supervisory body in an international organization or person performing an equivalent function in such an organization. 	
<i>The categories defined above include posts international, in another State or in a third country or (and to the extent applicable) in an institution or body of the European Union or an international organization</i>	
<input type="checkbox"/> No	<input type="checkbox"/> Yes Position:

10. Declaration for coherence with politically exposed persons (Art. 36, para 5 of the AML)
The Client declares that he is a related person or has been a related person during the 12 months with a person under item 9. For the purposes of Art. 36, para. (5) from the AML, 'related persons' are: spouses or persons who live in de facto cohabitation on a matrimonial basis; the descending of the first degree and their spouses or persons with whom the descendants of the first degree live in de facto terms on a matrimonial basis; the first-class ascenders and their spouses or persons with whom the ascenders of the

first degree live in de facto cohabitation on a matrimonial basis; the second-degree collateral relatives and their spouses or persons with whom the second-degree relatives live in de facto cohabitation on a matrimonial basis; any natural person known to be the beneficial owner together with a person under para 2 of a legal person or other legal entity or is in other close commercial, professional or other business relationships with a person under para. 2; any natural person who is the sole owner or beneficial owner of a legal person or other legal entity known to have been created for the benefit of a person under para. 2.

☐
No

☐
Yes

Position:

11. Declaration of coherence

The client is an employee or member of the Company's management or control body

☐
No

☐
Yes

The client has a family relationship with a person working under a contract for the Company as follows:

- spouse or partner designated as equivalent to a spouse

☐
No

☐
Yes

- another relative with whom the owner lives in the same household

☐
No

☐
Yes

The client - YL is related to a person who works under a contract for the investment firm

☐
No

☐
Yes

12. Clarification of the origin of the funds (acc. art. 66, para 2 of AML)

The customer declares that the approximate amount subject to the future orders to this Agreement, amounted to _____ has the following origin:

*When indicating **contracts (including contracts for donation), invoices or other documents** shall indicate their type, number (if applicable), date of conclusion or signing, as well as details of the persons with whom the contract was concluded or who have signed or issued the documents. When indicating of an **inheritance**, the year of acquisition and data for the heir or the heirs shall be indicated; when indicating **savings** – the period in which the savings are accumulated, as well as data on the source, and in the case of an indication of **income from commercial or labor activity, as well as another generally formulated source** – the period in which the income was generated, as well as data on the employer or counterparties.*

13. Categorization

The Client declares that he is familiar with the criteria for categorization of the Company and is informed he will be treated by the Company as a non-professional client, unless explicitly categorized as a client/acceptable counterparty, in accordance with the Company's procedures.

<input type="checkbox"/> No	<input type="checkbox"/> Yes
14. The client declares that this questionnaire is filled in and signed at his/her will and not under threat or coercion by a third party.	
<input type="checkbox"/> No	<input type="checkbox"/> Yes

Important! In connection with the verification of the identification, the Client is informed that it has been established as a recommended requirement by the Company for the first payment of the operation or the transaction to be made through an account opened in the name of the client in a credit institution from the Internationala, by another Member State or by a bank from a Reliable Third Country.

The Client is obliged to notify the Broker within 7 days of any changes related to his legal status and the information provided under this questionnaire, providing to the Broker all documents in connection with the change. The

Company shall not be liable for actions taken prior to the notification under the preceding sentence in the performance of regularly provided services in accordance with the information currently available in the Broker. The Client is aware that he is criminally liable under Art. 313 of the Criminal Code for declaring false circumstances.

Pursuant to Art. 90 of MFIA, the above information is a trade secret of the CLIENT, which the employees of the Brokers are not entitled to disclose to anyone except: (a) of the Financial Supervision Commission, the Vice-President of the Financial Supervision Commission and the authorized officials of the Financial Supervision Commission administration for the purposes of their supervisory activities and in the framework of their inspection order; b) with the agreement of the CLIENT; (c) in accordance with Title 2, Chapter 16, Section IIIa of the TSSPC; (d) by decision of the court issued under the conditions of Art. 91, para. 2 and 3 of MFIA, or in other cases provided for in Art. 91, para. 4–6 MFIA.

A Personal data controller is "RCX Global" LLC, registered in the Commercial Register at the Registry Agency to the Ministry of Justice under UIC 7 004017, headquartered in

The processing of personal data is carried out under Art. 2, para. 2 and Art. 4, para. 1 of the Personal Data Protection Act (SG 4/02, with later amendments). At every stage of the processing of personal data, individuals have the right to access and correct their personal data.

For the "RCX Global" LLC

Date: _____

For the Client: _____

Person under rt. 65, para. 1

(...)p.1, (...)p.2, (...)p.3, (...)p.4