norvikbanka

JSC "NORVIK BANKA", unified reg. No: 40003072918
E. Birznieka-Upīša iela 21, Riga, LV - 1011, Latvia
Telephone: (+371) 67041100, fax: (+371) 67041111
e-mail: welcome@norvik.lv www.norvik.lv

CLIENT'S CONFIRMATION
(For Receipt of Brokerage Services)

Client Code

Date _____

1. General Information about the Client

Name, surname / Company name	
Personal identity number / Registration number	Passport series and number (for natural persons)
Passport issue date / Registration date	Passport issuer country / Registration country
Client's representative (name, surname)	The Client's representative acts on the basis of ☐ The Articles of Association ☐ The Power of Attorney ☐ _____

I hereby acknowledge that prior to signing the Contract on Brokerage Services:

1. The Bank has informed me and I have familiarised myself with the Bank's applicable Tariffs for Broker services and the Bank's standard Contract on Brokerage Services and accept the rights and obligations of the Client and the Bank included therein.

2. The Bank has informed me of the procedure for out-of-court settlement of complaints and disputes arising from this Contract.

3. The Bank has fully disclosed and issued to me:
3.1. Its Order Execution Policy for Financial Instruments,
3.2. Its Client Classification Policy in Provision of Investment Services,
3.3. Its List of Order Execution Venues in directly or indirectly regulated markets,
3.4. Its Policy for Prevention of Conflicts of Interest in Provision of Investment Services and Associated Investment Services,
3.5. Its Description of Financial Instruments and Investment Services, including information on:
- The Bank as an investment services provider,
- The types of financial instruments and their nature,
- Risks associated with investments in certain financial instruments,
- Charges for brokerage services and related expenses,
- Safe deposit of the Client's financial instruments and cash assets,

3.6. Information related to investment services and the related financial risks, including full or partial capital loss risk, which can be caused by the following:
- Unfavourable financial instrument market situation;
- Fluctuations of financial instrument prices;
- Activities (inaction) or insolvency of agents, issuers, third parties and the Bank participating in financial instrument deals;
- Blocking or nationalisation of assets in foreign countries;
- Incomplete market information;
- *Force Majeure* circumstances;
- Errors or fraud by financial instrument deal agents or other market participants;
- Absence of liquidity in certain markets.

I hereby acknowledge that I have familiarised myself, understand and undertake all possible risks related to investments and financial instrument deals, and acknowledge that the Bank has disclosed full information on the risks related to investment services and associated investment services, as well as financial instrument deals.

I hereby acknowledge that by signing the Contract on Brokerage Services, I accept the Bank's adopted Order Execution Policy for for Financial Instruments.

The Client

Client's (or its representative's) signature	Transcript of the signature