



Wise Wolves Finance

Customer Questionnaire – Individual

CUSTOMER QUESTIONNAIRE – INDIVIDUAL

A. APPLICANT'S GENERAL INFORMATION

First name (as stated on the official identity card/passport):			
Last name (as stated on the official identity card/passport):			
Date of birth:		Place of birth:	
Nationality (citizenship):		Passport/ID number:	
In case of multiply citizenship, <i>please specify countries</i>			
Full permanent residential address	Street	Number	Flat
	City	Postcode	Country

B. CONTACT DETAILS

Correspondence address (if different from residential address)	Street	Number	Flat
	City	Postcode	Country
Personal email			
Phone number (home)			Phone number (mobile)
Fax number, if any			

C. BUSINESS AND ECONOMIC PROFILE

<p>Employment status and profession/occupation (please provide CV):</p> <p><input type="checkbox"/> Employee Name of the employer: Current job title (position):</p> <p><input type="checkbox"/> Self-employment Nature of business:</p> <p><input type="checkbox"/> Business owner Name of the company: Nature of business:</p> <p><input type="checkbox"/> Unemployed</p> <p><input type="checkbox"/> Retired</p> <p><input type="checkbox"/> Other <i>please specify</i></p>	
<p>Are you an owner/shareholder of any legal entity? If Yes, please specify the names, % of shareholding and nature of business:</p>	
<p>Signature of client:</p>	

Income and wealth

Source of income	Amount of income per year, EUR
Income from employment	
Dividends	
Borrowed funds	
Retirement income	
Rental income	
Interests from deposits	
Investments	
Total Annual income	€
Please provide details regarding source of wealth (origin of the entire accumulated wealth (i.e. total assets), all as applicable): <input type="checkbox"/> Income from employment (e.g. salary) <input type="checkbox"/> Dividends <input type="checkbox"/> Inheritance <input type="checkbox"/> Sale of assets <input type="checkbox"/> Investment income <input type="checkbox"/> Other <i>please specify</i>	
Estimated total wealth:	€

The purpose and the reason for requesting the establishment of a business relationship with Wise Wolves Finance LTD (i.e. hedging, income growth, speculation, long term investments, short term investments, etc):

Nature of the expected transactions:
 Trading in high liquid financial instruments Trading in low liquid financial instruments
 Foreign exchange: for further transaction with financial instruments Spot trading (physical delivery)
 REPO
 Other, *please specify*:

Please indicate which of the following types of instrument you would like to trade:
 Shares Futures/Options Other, *please specify*:
 Bonds Other derivatives
 ADR/GDR Structured products

Please indicate if you cooperate or planning to cooperate with persons from the US and to perform transactions to transfer any funds to an account maintained in the US? Y/N
 If yes, please provide details:

Please indicate, on which trading venues / markets you intend to trade:
 Russian stock-exchanges & OTC
 Other stock-exchanges, *please specify*:
 Other OTC

Please indicate, trading venues / markets / financial instruments you would like to avoid:

Signature of client:	
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Anticipated account turnover: (please fill in below)

Volume			
Amount per year in EUR:			
Frequency			
<i>please underline as appropriate:</i> per week/month/year		Number of transactions:	
Level of transactions (approximately, in EUR)	<100K	100K-500K	>500K
Number of Incoming transactions	<input type="checkbox"/> weekly <input type="checkbox"/> monthly <input type="checkbox"/> yearly	<input type="checkbox"/> weekly <input type="checkbox"/> monthly <input type="checkbox"/> yearly	<input type="checkbox"/> weekly <input type="checkbox"/> monthly <input type="checkbox"/> yearly
Number of Outgoing transactions	<input type="checkbox"/> weekly <input type="checkbox"/> monthly <input type="checkbox"/> yearly	<input type="checkbox"/> weekly <input type="checkbox"/> monthly <input type="checkbox"/> yearly	<input type="checkbox"/> weekly <input type="checkbox"/> monthly <input type="checkbox"/> yearly

Please indicate source of funds which will be used in the business relationship with Wise Wolves Finance LTD (e.g. origin of the funds being invested, deposited, or wired as part of the business relationship), all as applicable:

Income from employment Dividends Borrowed funds Investments Savings Sale of assets
 Other (please specify):

Expected origin of incoming funds to be credited in the account:

Countries	Banks

Expected destination of outgoing transfers/payments:

Countries	Banks

D. FATCA/ CRS INFORMATION

FATCA

Please submit the forms as follows

Are you a citizen of U.S.?	Y/N	If Yes, the form W-9
Are you a resident of U.S.?	Y/N	If Yes, the form W-9
If none of the above, the form W-8BEN		

CRS

Tax residence country (all countries of tax residence)	Tax Identification number (TIN)	If no TIN, please specify the reason

Signature of client: _____

E. INFORMATION ON POLITICALLY EXPOSED PERSONS

	Y/N (if any Yes, please complete the information in this Part E, If No, please continue to the Part F)
Are you a PEP ¹ ?	
Is any of your immediate family members a PEP?	
Is any of your close associates a PEP?	

Please fill in the below if any PEP is identified in the table above:

Name of your <i>immediate family member(s) OR close associate (s) who is/are PEP(s)</i> :	
In case of immediate family member or close associate of a PEP, please specify RELATIONSHIP	
Organisation/employer of PEP:	Occupation/position of PEP:
Country of the position held:	
Period in which this individual has held the political or public function	From To
Ability to move government funds during the period that position has been held	Y/N
If yes, please provide details:	

Indicative list of functions for Politically Exposed Persons:

- a. heads of State, heads of government, ministers and deputy or assistant ministers;
- b. members of parliament or of similar legislative bodies;
- c. members of the governing bodies of political parties;
- d. members of supreme courts, of constitutional courts or of other high-level judicial bodies, the decisions of which are not subject to further appeal, except in exceptional circumstances;
- e. members of courts of auditors or of the boards of central banks;
- f. ambassadors, chargés d'affaires and high-ranking officers in the armed and security forces;
- g. members of the administrative, management or supervisory bodies of State-owned enterprises;
- h. directors, deputy directors and members of the board or equivalent function of an international organisation.
- i. Mayors

'family members' includes the spouse, partner, the children and their spouses and partners, the parents.

'persons known to be close associates':

- (a) natural persons who are known to have joint beneficial ownership of legal entities or legal arrangements, or any other close business relations, with a politically exposed person;
- (b) natural persons who have sole beneficial ownership of a legal entity or legal arrangement which is known to have been set up for the de facto benefit of a politically exposed person.

¹ "Politically exposed person" means a natural person who is or who has been entrusted with a prominent public function in the Republic or abroad (e.g. Heads of State, Members of Parliament, Heads of judiciary, Ambassadors etc.) and includes the family members of such person (spouse, partner, children, children's spouses and partners, parents) and persons known to be close associates of such person (e.g. business associates).

Signature of client:	
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F. APPROPRIATENESS TEST

The information regarding the authorized person's knowledge and experience in the investment field relevant to the specific type of product or service is required, so as to enable the Wise Wolves Finance LTD to assess whether the investment service or product demanded is appropriate for the client.

Where no information or insufficient information provided, the Wise Wolves Finance LTD will be not in a position to determine whether the service or product envisaged is appropriate for the Company.

Knowledges	
Education	<input type="checkbox"/> University Degree (Business, Finance, Banking, Accounting, Economy) <input type="checkbox"/> Other University degree: <input type="checkbox"/> MBA Degree / MSc in Finance, Banking, Accounting, Economy <input type="checkbox"/> Other <i>please specify</i> :
Professional Finance Services Qualification, <i>please specify</i> , if any	
Attended courses/seminars in Financial markets, Investments, etc, related certificates, if any. Please specify subject, date, etc	
Experience	
Current or previous occupation related to financial/investment services, financial instruments, markets. Please specify the position, name of the employer, period of employment	
Experience in investment/ financial services	<input type="checkbox"/> Never traded <input type="checkbox"/> Occasional trading <input type="checkbox"/> Regular/frequent trading <input type="checkbox"/> Other, <i>please specify</i> :
Transactions with which you are familiar with	<input type="checkbox"/> Sale/purchase of financial instruments <input type="checkbox"/> REPO <input type="checkbox"/> Other, please specify:
Types of services with which you are familiar with	<input type="checkbox"/> Brokerage services <input type="checkbox"/> Custody services <input type="checkbox"/> Investment advice <input type="checkbox"/> Portfolio management <input type="checkbox"/> Other, please specify:

Signature of client:	
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Trading experience				
Financial instruments	Tick the instruments you traded	Specify the average volume you traded (annually in EUR)	Specify the period you traded	Specify the frequency of trading
Equity and equity like (shares, depository receipts, units, etc)	<input type="checkbox"/>			
Bonds	<input type="checkbox"/>			
Certificates and promissory notes	<input type="checkbox"/>			
Money-market instruments (treasury bills, certificates of deposit, commercial paper)	<input type="checkbox"/>			
Shares or units in UCITS	<input type="checkbox"/>			
Structured deposits	<input type="checkbox"/>			
Options	<input type="checkbox"/>			
Warrants	<input type="checkbox"/>			
Futures	<input type="checkbox"/>			
Swaps	<input type="checkbox"/>			
Forward agreements	<input type="checkbox"/>			
Any other derivative contracts relating to securities	<input type="checkbox"/>			
CFD	<input type="checkbox"/>			
FX / FX swaps	<input type="checkbox"/>			
Structured Financial Instrument	<input type="checkbox"/>			

For internal use only:				
Appropriateness test result:				
Assessed by:		Signature:		Date:

Signature of client: _____

G. DECLARED BANKING INFORMATION / PAYMENT DETAILS

Kindly note that we will accept remittances from and will make transfers only to the account(s) specified below

Beneficiary		Beneficiary	
Beneficiary account / IBAN		Beneficiary account / IBAN	
Beneficiary Bank		Beneficiary Bank	
SWIFT Code		SWIFT Code	
Correspondent Bank		Correspondent Bank	
SWIFT Code		SWIFT Code	
Correspondent Account		Correspondent Account	

Beneficiary		Beneficiary	
Beneficiary account / IBAN		Beneficiary account / IBAN	
Beneficiary Bank		Beneficiary Bank	
SWIFT Code		SWIFT Code	
Correspondent Bank		Correspondent Bank	
SWIFT Code		SWIFT Code	
Correspondent Account		Correspondent Account	

- ✓ I have provided true, accurate and complete information and I authorize Wise Wolves Finance Ltd to make any enquiries which it may consider necessary for confirmation of such information. I understand that it may be necessary for Wise Wolves Finance Ltd to request further documentation and information to complete the due diligence process of the company.
- ✓ I confirm that in cases any of the information that is provided in this questionnaire changes then I am obliged to inform Wise Wolves Finance Ltd without delay.
- ✓ I have read, understood and agreed with the Agreement (namely the Client Agreement and the Client Classification Policy, Investor Compensation Fund, Summary of Conflicts of Interest Policy, Best Interest and Order Execution Policy, Risk Disclosure and Warnings Notice, Complaints Policy for Clients and Privacy Policy).

Signature: _____

Name: _____

Date: _____

Signature of client:	
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