

MiFID II Professional Status Request

PRELIMINARY INFORMATION

Based upon the information provided in your Professional Status Request, CEB assesses your expertise, experience and knowledge in relation to the nature of the investment services you may want to consider. If CEB is to establish that you are capable of making your own investment decisions and understanding the associated risks, it is willing to treat you as a Professional Client.

As a Professional Client, you are granted less protection than if you were categorised as a Retail Client. Specifically:

- 1 you are likely to be provided less information with regard to CEB, CEB services and any investments (for example on costs, commissions, fees and charges);
- 2 where CEB assesses the appropriateness of a product or service, it can assume that you have sufficient knowledge and experience to understand the risks involved;
- 3 if CEB is required to assess the suitability of a personal recommendation made to you, it can assume that you have sufficient experience and knowledge to understand the risks involved, and can sometimes assume that you are able financially to bear any investment risks consistent with your investment objectives;
- 4 when fulfilling its best execution requirements, CEB is not required to prioritise the overall costs of the transaction as being the most important factor in achieving best execution of your order;
- 5 CEB must not need to inform you of material difficulties relevant to the proper carrying out of your order(s) promptly;
- 6 should CEB provide you with periodic statements, it is not required to provide them as frequently as for Retail Clients, and
- 7 you are likely to have fewer rights to compensation of loss in the event of CEB bankruptcy under any scheme under local law for the payment of compensation in force at that particular time.

THE PROFESSIONAL CLIENT DECLARES

- A. By countersigning this Professional Status Request I state that I am aware that I am granted less protection, under the provisions listed above from 1-7.
- B. I also declare that I fulfill 2 of the 3 conditions stipulated below:
[Note: tick with an X the fulfilled conditions]
 - I have carried out transactions, in significant size, at an average frequency of 10 transactions per quarter over the previous four quarters;
 - The size of my portfolio exceeds EUR 500,000, whereas portfolio is defined as including cash deposits and financial instruments;
 - I work or have worked in the financial sector for at least one year in a professional position, which requires knowledge of the transactions or services to be envisaged.

(Note: check the applicable condition for the Professional Client by ticking the box).

- C. I am aware that CEB, in its relation with the client, processes Client contact information or, where appropriate, the contact information of the representative, collaborators and employees of the Client, hereinafter referred to as Concerned Persons.

For more details regarding the processing activities undertaken by the Bank or if the Concerned Person wishes to make use of their rights, they can access the Confidentiality Policy available on the Bank website at www.crediteurope.ro/gdpr, or can request the written version of the paper document, by submitting a request to any of our units, by e-mail at dpo@crediteurope.ro or by contacting the data protection officer at dpo@crediteurope.ro.

We assure you of the importance that CEB grants to the personal data of Concerned Persons and complying with the requirements regarding their security, and would like to inform you that you must bring this information to the Concerned Person.

CLIENT

Company/First name and Name (capital letters)

First name and name of Client Representative

Capacity/Position

Date