

## Assessment of Suitability and Appropriateness Questionnaire – Stocks

### Individuals or persons trading on behalf of a corporate entity.

As a retail investor, you must fully complete the following questionnaire to be able to trade on your account, as we have certain regulatory obligations to ensure that our products and services are appropriate for you in terms of both your risk appetite and level of knowledge and experience with our products.

If the Agreement is entered into by a representative or power of attorney, the Questionnaire should be completed and signed by the representative or power of attorney, it being understood that in completing the Questionnaire the representative or power of attorney submits information regarding the Client's investment knowledge and experience. In the case of appointing a power of attorney or representative authorized to place orders and instructions on behalf of the Client, the Questionnaire shall be filled in and signed by the power of attorney or representative, and when filling in the Questionnaire, the power of attorney or representative shall provide information on its own knowledge and experience.

QUESTIONS	
<b>Risk Appetite</b>	
1.	<p><b>Trading stocks and ETFs (exchange-traded funds) carries risks, and market fluctuations can result in the loss of all your invested funds. Are you prepared and able to afford this risk?</b></p> <p><input type="checkbox"/> I am aware of the risks associated with trading physical Shares and ETFs</p> <p><input type="checkbox"/> I do not accept the risks associated with trading in any form. I wish to close my account</p>
2.	<p><b>What is the main purpose of having a trading account?</b></p> <p><input type="checkbox"/> Easy access to financial markets and trading with surplus funds</p> <p><input type="checkbox"/> Easy access to financial markets and trading to mitigate exchange rate risk</p> <p><input type="checkbox"/> Both of the above</p>
<b>Experience Assessment - Stocks</b>	
3.	<p><b>I have knowledge or education in financial instruments such as stocks or ETFs:</b></p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>
4.	<p><b>I work or have worked in the financial sector in the last 5 years in a position that requires professional knowledge of financial instruments such as stocks or ETFs:</b></p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>
5.	<p><b>Over the past two years, how many times have you traded on a non-advisory/execution-only basis physical Stocks or ETFs?</b></p> <p><input type="checkbox"/> More than 15</p> <p><input type="checkbox"/> 15 or less</p>
6.	<p><b>(Optional) In your lifetime, how many times have you traded any type of financial instrument on a non-advisory/execution-only basis?</b></p> <p><input type="checkbox"/> More than 50</p> <p><input type="checkbox"/> 50 or less</p>

### Knowledge Assessment - Stocks

7.	<b>Stock split means:</b> <ul style="list-style-type: none"><li><input type="checkbox"/> A corporate action in which a company issues additional Shares to shareholders, increasing the total by the specified ratio based on the Shares they held previously</li><li><input type="checkbox"/> Converting one asset type into another</li><li><input type="checkbox"/> Changing the bid-ask spread of an asset</li></ul>
8.	<b>If a shareholder is entitled to receive a dividend from the company, that would mean:</b> <ul style="list-style-type: none"><li><input type="checkbox"/> The right to participate in the distribution of profits of a joint stock company</li><li><input type="checkbox"/> The right to acquire Shares in the joint stock company</li><li><input type="checkbox"/> The right to appoint a member of the company's supervisory board</li></ul>
9.	<b>The preferential subscription rights mean:</b> <ul style="list-style-type: none"><li><input type="checkbox"/> Right to acquire new issue shares in the company before the general public</li><li><input type="checkbox"/> The shareholder's right to demand that the company buy back his Shares</li><li><input type="checkbox"/> The right to participate in the general meeting of shareholders</li></ul>
10.	<b>Which of the following statements about physical Share trading is correct?</b> <ul style="list-style-type: none"><li><input type="checkbox"/> Buying a physical Share means that you are exposed to market movements of the asset, but the actual underlying asset is never owned</li><li><input type="checkbox"/> Buying a physical Share means that you own the underlying asset and are exposed to market movements</li></ul>
11.	<b>An ETF (exchange-traded fund) is:</b> <ul style="list-style-type: none"><li><input type="checkbox"/> A fund investing in certain assets that is listed on a stock exchange</li><li><input type="checkbox"/> A type of stock exchange order</li><li><input type="checkbox"/> Hong Kong Stock Exchange Index</li><li><input type="checkbox"/> An investment fund with limited investor access</li></ul>

**Usluga jest:**

- Adequate
- Inadequate

**Statement of the Client**

I hereby declare that the answers I indicated to the questions contained in the above questionnaire are true. I have received information on the services to be provided under the agreed Agreement and I am aware of the investment risk related to these services. I have been informed as a result of my failure to answer the questions above. OANDA TMS cannot assess whether I have the knowledge and experience in the investment field that would allow me to properly assess the risk associated with investing in the instruments offered by OANDA TMS.

---

(Date)

---

(Signature of the Client)

**Additional declaration by the Client if in accordance with the assessment algorithm the service is inadequate for the Client**

I have received information on the services to be provided on the basis of the concluded Agreement and I have been advised of the risks associated with these services. I have been informed that trading physical Shares and ETFs is inadequate for me based on my lack of knowledge and experience regarding the risks involved, and therefore OANDA TMS has recommended against my trading. Despite this warning, I would like to ask OANDA TMS to conclude a Framework Agreement and allow me to trade physical Shares and ETFs.

---

(Date)

---

(Signature of the Client)

OANDA TMS Brokers S.A. informs that according to the assessment made::

Stocks (Shares), ETFs

are in your target group.

---

(Date)