

**SLÁVIA CAPITAL, a.s., obchodník s cennými papiermi**, registered office Ružová dolina 25, Bratislava – mestská časť Ružinov 821 09, CRN 31 39 55 54, entered in the Commercial Register of the District Court Bratislava 1, Section Sa, file No 837/B, (hereinafter referred to as „**Trader**“)

## CATEGORIZATION OF CLIENT

Dear Sir(s),

In accordance with the provision of Article 45 of the Commission Delegated Regulation (EU) 2017/565 of supplementing Directive 2014/65/EU of the European Parliament and of the Council (MiFID II) the Trader is obliged to classify its clients into the following categories:

- **non-professional client;**
- **professional client;**
- rightful counterparty (hereinafter referred to as „**counterparty**“).

We hereby would like to inform you that we classify you

Name and surname/business name:	
Domicile/residence:	
Birth No/company reg. No:	

in accordance with the requirements of the regulation mentioned above to the following category:

### PROFESSIONAL CLIENT

We have classified you to this category in accordance with the provision of § 8a of the Act No 566/2001 Coll. on Securities and Investment Services on the basis of the following facts (the respective option is marked):

You are a legal person who, according to the currently available documents, is a:

- securities trader;
- foreign securities trader;
- bank;
- branch of a foreign bank;
- trust;
- insurance company;
- supplementary pension insurance company or supplementary pension company;
- central depository and entities established outside of the territory of the Slovak Republic with similar scope of business;
- pension trust;
- commodity and commodity derivatives trader;
- company providing investment services or carrying out investment activities consisting exclusively in own-account trade on the markets of financial futures, options or other derivatives and on the financial markets for the purposes of securing of the positions on the derivatives markets, or for companies that trade on account of other members of these markets or create prices for them and that are guaranteed, whereby the responsibility for the performance of contracts concluded by such companies was assumed by the members of the clearing systems of these markets;
- person who has the licence issued by the competent authority for the execution of activities the financial market or whose activity is separately regulated by generally binding legal regulations;
- large company, i.e. company fulfilling at least two of the following conditions on the individual basis: total amount of its assets exceeds EUR 20 000 000, net annual turnover exceeds EUR 40 000 000 EUR, its own funds exceed EUR 2 000 000;
- state authority, higher territorial unit (self-governing region), state authority or territorial unit of other state, Debt and Liquidity Management Agency, authority of other state responsible for or involved in state debt management, National Bank of Slovakia, central bank of other state, International Monetary Fund, European Central Bank, European Investment Bank and other similar international organisations;

- other legal person whose main business is investment in financial Instruments, including legal persons engaged in the transformation of credits and loans to securities or in other deals for the financing purposes.

We have classified your person to the said category on the basis of information that is available to us in the framework of the client relation. In case that this information is outdated or incorrect please inform us without undue delay.

On the basis of the above facts we will treat you as client of the said category and you will be provided the level of protection belonging to the respective category. The consequences related to the client categorization are described in more detail in the instructions on client categorization.

#### INSTRUCTION ON CLIENT CATEGORIZATION

The classification to the respective client category has influence on the level of the respective protection rather than directly on the range of investment services or financial Instruments offered by the Trader. In case that the client does not agree with the classification to the respective category, he may apply the Trader for the verification of the basic data that were used as the basis for the categorization.

A non-professional client enjoys the maximum level of protection, prescribed in detail by the legal regulations, on the part of the Trader.

Professional client means a client who has Professional knowledge, experiences and know-how required for the implementation of own investment decisions and for the proper evaluation of related risks. The Trader provides the minimum required level of protection to a professional client. If the Trader has classified the client into the category professional, the Trader is entitled to assume that the client has all knowledge, experience and is aware of the risks related to particular types of financial instruments.

The Trader is not obliged to provide any level of client protection to the counterparty.

The main reasons and differences in the treatment of a non-professional client in comparison with a professional client consist particularly:

- (i) in a larger detail of provided information and instructions;
- (ii) in the need of the conclusion of the written agreement with (a non-professional and professional) client, stipulating the basic rights and obligations between the Trader and the client“;
- (iii) in the detailed execution of tests of suitability or adequacy of investment Instruments or services without possibility of automatic anticipation of the level of knowledge and experiences;
- (iv) in the obligatory notifying the client on the transactions.

The Trader is authorized, based on his own decision or at the written request of the respective client, to (i) treat a client who is a rightful counterparty, as professional client or non-professional client, (ii) treat a client, who is regarded as professional client, as non-professional client.

With the approval of the Trader and upon fulfilment of certain conditions the client may apply in writing for the transfer from the category with a higher level of protection to a category with a lower level of protection (non-professional client is transferred to the category „professional client“ or „counterparty“). This transfer is accompanied by the loss of the existing level of protection and level of treatment (see above), particularly in relation to the foreign systems similar to the investment guarantee fund the client might lose his entitlement to the compensation.

The client may also apply for the transfer from the category with a lower level of protection to a category with a higher level of protection. In this case the Trader is not obliged to allow such transfer (with the exception of the case where the client, who was initially classified to the category of non-professional client or professional client, applies for this transfer).

If the client applied for a higher level of protection in respect of an individual investment service or financial instrument, he has the right to require it from the Trader (especially to apply for more detailed explanation of risks attached to the investment instruments, etc.) without the possibility or need of the transfer is affected but such request.

Upon a separate written request more detailed information about treatment of the respective categories of clients within the meaning of the particular provisions of the Securities Act may be provided.

\_\_\_\_\_  
(place)

\_\_\_\_\_  
(date)

**for SLÁVIA CAPITAL, a.s., obchodník s cennými papíry**