

**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:

### COUNTERPARTY

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 provided with at least one investment service, namely (i) reception and transmission of client order related to one or more financial instruments, (ii) execution of client order on behalf of the client, (iii) trading on own account,
- and, by virtue of the Securities Act, you are:

- securities trader or foreign security trader;
- credit institution or foreign credit institution;
- insurance company, foreign insurance company or insurance company from another Member State;
- asset management company, foreign asset management company, mutual fund, European fund, foreign investment company, or foreign mutual fund;
- pension insurance company, supplementary pension insurance company, pension fund, supplementary pension fund, similar foreign companies and funds;
- other financial institution authorized or regulated in accordance with the law of the European Union or a Member State, or a person authorized by the respective body to carry out activities on the financial market or whose activities are specifically regulated by generally binding legal regulations;
- person whose main scope of activities is trading on his/her own account with commodities or commodity derivatives; this shall not apply in the event that the person is not a part of a group whose main scope of activities is providing investment services or carrying out investment activities or banking services in accordance with a separate law;
- 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;
- public authority body of the Slovak Republic or of another state, including Debt and Liquidity Management Agency authorized to carry out certain activities related to state debt administration and liquidity management in accordance with a separate regulation, and body of another state authorized to or participating at public debt administration;
- the National Bank of Slovakia or a central bank of another country, European Central Bank; international organisation.

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.

The counterparty category is relevant for the investment services listed above; beyond these services, we shall treat you in accordance with the classification to the Professional Client Category.

The securities trader will deduce the certification (agreement) on acceptance of the counterparty's classification, as stipulated above, implicitly with the first legal act (e. g. upon arranging a trade, placing or admission of order etc.) performed on your side towards the securities trader under the rendering of investment service or services that you use.

#### 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.

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(place)

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

for SLÁVIA CAPITAL, a.s., obchodník s cennými papieri