

# Application form – natural persons

FARVE PRO INVEST d.o.o. za  
upravljanje alternativnim  
investicijskim fondovima  
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Personal data listed in this Application Form (hereinafter in the text: Data) are collected and processed by the controller, the company FARVE PRO INVEST d.o.o. (hereinafter in the text: FARVE PRO INVEST) in order to comply with the legal obligations of the company FARVE PRO INVEST for the purpose of conducting due diligence analysis of the client and fulfilling the obligations arising from the regulations stated below, all for the purposes of establishing and maintaining a business relationship of the client with the company FARVE PRO INVEST. Data from individual points of this Application Form are collected and processed on the basis of:

- a) the Anti-Money Laundering and Terrorism Financing Act and its implementing regulations, for the purpose of conducting due diligence analysis the client and fulfilment of obligations arising from the said regulations (Data from items 1, 3, 4 and 5 of the Application Form),
- b) the Act on International Restrictive Measures and decision of the European Union on the application of international restrictive measures and their implementing regulations, for the purpose of fulfilling the obligations arising from the said regulations (Data from item 1 of the Application Form),
- c) the Law on Administrative Cooperation in the Field of Taxation, the General Tax Act and their implementing regulations, for the purpose of conducting due diligence analysis of clients and fulfilling the reporting obligations of the controller towards tax authorities (data from items 1, 2 and 5 of the Application Form).

The client has the right to access this data as well as to demand fulfilment of other rights prescribed by the General Data Protection Regulation, which Information on personal data processing is provided by the company FARVE PRO INVEST in the Rules of Personal Data Protection of the company FARVE PRO INVEST d.o.o. available at [www.farveproinvest.com](http://www.farveproinvest.com) or with other legal entities in the Republic of Croatia with which the company FARVE PRO INVEST has concluded business cooperation agreements on the offer of fund shares. The collection of data contained in this questionnaire is mandatory for the client. If the client does not wish to disclose the mandatory data or discloses inaccurate data, the controller may refuse to establish a business relationship, limit, or cancel the already established business relationship with the client.

## 1. IDENTIFICATION DATA

### Client personal data

Name and surname:

Personal identification number (PIN):

Date of birth:

Place of birth:

Country of birth:

Citizenship:

Other citizenship (if any):

### Residence

Street:

House number:

Place/city:

Zip code:

Country:

### Client identification document information

Type of identification document:

Number of identification document:

Valid until:

Name of issuer:

Country of issue:

## Client account information for payments

IBAN account in Euro:

IBAN foreign currency account:

## Client contact information

Telephone number:

E-mail address:

Street:

House number:

Place/city:

Zip code:

Country:

## Select a reporting method \*

☐ By e-mail (to the e-mail address specified in the contact information)

☐ By mail (enter the address in the contact information if it is different from the address of residence):

\*I agree that all data related to the business relationship with the company FARVE PRO INVEST are provided to me via the selected method of reporting

## 2. TAX RESIDENCE DATA

Do you have a right of permanent residence and work in the United States approved by the competent authorities ("Green Card")?

No ☐

Yes ☐

Please indicate the country or countries in which you pay tax and your tax number in that country(ies) (including the Republic of Croatia - it is not necessary to enter the Tax Number for the Republic of Croatia - PIN)

Country 1:

Tax number 1<sup>1</sup>:

Country 2:

Tax number 2<sup>1</sup>:

Country 3:

Tax number 3<sup>1</sup>:

<sup>1</sup>In case you are not able to state the tax number (issued in a country other than the Republic of Croatia), please select the reason(s) and enter the ordinal number of the selected reason(s) in the field "Tax number" next to the appropriate country to which the tax number refers:

1. Country does not issue tax number
2. The tax number is in the process of being obtained and will be delivered to the company FARVE PRO INVEST
3. The issuance of the tax number will be requested and delivered to the company FARVE PRO INVEST
4. Tax number will be subsequently delivered to the company FARVE PRO INVEST
5. Other \_\_\_\_\_

**By signing this Application Form, I certify that for tax purposes I am not a tax resident in a country other than the country/countries listed in this Application Form and for which it is stated the tax number or the reason for not stating it.**

### 3. DATA ON THE PURPOSE AND SCOPE OF BUSINESS

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#### Planned annual investments:

- ☐ 0 up to EUR 13.500   ☐ up to EUR 66.500   ☐ up to EUR 133.000   ☐ over EUR 133.000
- 

#### Employment status

- |   |   |
|---|---|
| <input type="checkbox"/> Employed in a public or state-owned enterprise or joint stock company          | <input type="checkbox"/> Craftsman              |
| <input type="checkbox"/> Employed in LLC. / public company / limited partnership                        | <input type="checkbox"/> Part-time worker       |
| <input type="checkbox"/> Employed in a trade / with a person earning income from independent activity   | <input type="checkbox"/> Student                |
| <input type="checkbox"/> Employed in the embassy, consulate, representative office of foreign companies | <input type="checkbox"/> Unemployed             |
| <input type="checkbox"/> Retired person   | <input type="checkbox"/> Other (fill in): _____ |
| <input type="checkbox"/> Entrepreneur-owner of the company  |   |
- 

#### Average monthly income, regular:

- ☐ 0 up to EUR 1.100   ☐ from EUR 1.100 to EUR 2.000   ☐ from EUR 2.000 to EUR 3.300  
☐ over EUR 3.300
- 

#### Other sources of income:

- |  |   |
|--|---|
| <input type="checkbox"/> Income of other household members | <input type="checkbox"/> Family pension                           |
| <input type="checkbox"/> Income from part-time work        | <input type="checkbox"/> Income from property and property rights |
| <input type="checkbox"/> Property rent                     | <input type="checkbox"/> Other (fill): _____                      |
| <input type="checkbox"/> I have no other types of income   |   |
- 

#### Annual amount of other income:

- |   |  |
|---|--|
| <input type="checkbox"/> 0 up to EUR 26.500             | <input type="checkbox"/> from EUR 26.500 to EUR 66.500 |
| <input type="checkbox"/> from EUR 66.500 to EUR 133.000 | <input type="checkbox"/> over EUR 133.000              |

#### 4. INVESTMENT PLAN

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☐ One-off payment

Total cash payment: \_\_\_\_\_

☐ Investment plan

Total cash payment: \_\_\_\_\_

Number of payments:

☐ 12 months

☐ 24 months

☐ 36 months

☐ until revoked

First payment<sup>1</sup>: \_\_\_\_\_

Monthly amount<sup>2</sup>: \_\_\_\_\_

<sup>1</sup> The minimum amount of the first payment is EUR 663,61

<sup>2</sup> The minimum amount of each subsequent payment is EUR 132,72

#### 5. DATA ON POLITICALLY EXPOSED PERSONS

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Are you a politically exposed person?

☐ Yes

☐ No

In accordance with the Anti-Money Laundering and Terrorism Financing Act, a politically exposed person is:

##### DEFINITION OF A POLITICALLY EXPOSED PERSON

- A. a natural person who acts or has acted in a prominent public office in the last 12 months as:
- President of a state or government, Minister, Deputy or Assistant Minister, Member of Parliament/Elected Member of the Legislature, Secretary of State, Member of the governing body of a political party
  - a judge of a supreme, constitutional or another high court against whose judgment, except in exceptional cases, it is not possible to apply legal remedies, or a judge of financial courts or a member of a central bank council,
  - an ambassador, consul, dispatcher or senior officer of the armed forces, a member of the management or administrative or supervisory board of a legal entity owned or in majority owned by the state,
  - directors, deputy directors, Management board members and persons performing equally valuable functions in an international organization
  - the municipal chief, mayor, prefect, or their deputies
- B. the immediate family member of the persons listed under A which includes: the spouse, parents, siblings, children, and the spouses of the children,
- C. close associate of the persons listed under A is a natural person who is known to have joint actual ownership of a legal person or legal arrangement or any other close business relationship with the person listed under A or who is the sole actual owner of the legal person or legal entity arrangements known to have been established for the benefit of the person listed under A.

In case you are a politically exposed person, please indicate the source of assets and funds that are or will be the subject of your business relationship or transaction with the company FARVE PRO INVEST:

- |   |  |  |
|---|--|--|
| <input type="checkbox"/> Regular salary | <input type="checkbox"/> Insurance income  | <input type="checkbox"/> Rental income |
| <input type="checkbox"/> Pension        | <input type="checkbox"/> Income of a member of the board of directors                      |  |
|   | <input type="checkbox"/> I have no other income income from assemblies, supervisory boards |  |
| <input type="checkbox"/> Other benefits | <input type="checkbox"/> Income based on employment contract                               |  |

## 6. REPRESENTATIVE INFORMATION

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### Representation capacity

- ☐ legal representative / parent
- ☐ guardian
- ☐ proxy

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### Personal data of representatives

Name and surname: \_\_\_\_\_

Personal identification number (PIN): \_\_\_\_\_

Date of birth: \_\_\_\_\_

Place of birth: \_\_\_\_\_

Country of birth: \_\_\_\_\_

Citizenship: \_\_\_\_\_

Other citizenship (if any): \_\_\_\_\_

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### Representative residence

Street: \_\_\_\_\_

House number: \_\_\_\_\_

Place/city: \_\_\_\_\_

Zip code: \_\_\_\_\_

Country: \_\_\_\_\_

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### Information on the identification document of the representative

Type of identification document: \_\_\_\_\_

Number of identification document: \_\_\_\_\_

Valid until: \_\_\_\_\_

Name of issuer: \_\_\_\_\_

Country of issuer: \_\_\_\_\_

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### Representative contact information

Telephone number: \_\_\_\_\_

Mobile phone number: \_\_\_\_\_

E-mail address: \_\_\_\_\_

By signing this Application Form, the client confirms:

- the accuracy and completeness of the information provided in this Application Form.
- to notify the company FARVE PRO INVEST or the sales representative of the change of each Data within 30 days from the day of the change on the Application Form, with the delivery of an authentic document proving the change.
- that he/she is aware that the company FARVE PRO INVEST is obliged in accordance with relevant regulations (such as the Anti-Money Laundering and Terrorism Financing Act, the Act on International Restrictive Measures, the Law on Administrative Cooperation in the Field of Taxation) to provide certain or all Data to be used or to provide access to the same state or other bodies with public authority, in accordance with their legal powers, including, but not limited to, the Croatian Financial Services Supervisory Agency, the Croatian National Bank, the Personal Data Protection Agency, the Anti-Money Laundering Office and tax authorities of the Republic of Croatia, as well as that the said authorities, in accordance with their legal powers, may provide the Data thus obtained for use to other competent authorities in the Republic of Croatia and/or abroad.
- that he/she is aware that the company FARVE PRO INVEST may provide the collected personal data for use to other legal entities in the Republic of Croatia with which the company FARVE PRO INVEST has concluded business cooperation agreements on offering fund shares, for the realization of rights and obligations, other related transactions, or fulfilment of obligations. arising from the ownership of units in funds under their management, always ensuring the confidentiality of the treatment of such data.
- that he/she is aware that the company FARVE PRO INVEST may entrust certain personal data processing tasks to third parties, which includes the possibility of exporting Data outside the Republic of Croatia for the purposes of their processing, all under the conditions prescribed by the General Data Protection Regulation and other regulations governing protection personal data.
- that he/she is acquainted with the purpose of Data processing, as well as with the legal basis for the collection and processing of mandatory data and the possible consequences of refusing to provide data.
- under criminal and material liability that the IBAN payment account is in his possession.
- to make the first payment for the purchase of a fund share or portfolio model in a credit institution from the specified account and forward the proof to the company FARVE PRO INVEST.
- that he/she is acquainted with the content of the Rules of personal data protection of the company FARVE PRO INVEST d.o.o.
- that he/she accepts all consequences that may arise for him if the information provided in the Application Form is incorrect or if he does not notify FARVE PRO INVEST of any change.

Place and date:

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Signature of the client or client's representative:

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**To be filled in by an employee of the Company/Sales Representative**

Sales representative: \_\_\_\_\_

Employee: \_\_\_\_\_

**ATTACHMENTS:**

Send to the company FARVE PRO INVEST at the e-mail address [info@farveproinvest.com](mailto:info@farveproinvest.com) or to fax +385 1 6666 322

1. Copy of the Application Form - natural persons
2. Copy of the identification document
3. Copy of proof of authority to represent (in the case of a proxy, legal representative, or guardian)

Send to FARVE PRO INVEST d.o.o. Gradišćanska 34, 10000 Zagreb:

1. Original of the Application Form - natural persons

For all information, you can contact the contacts listed at the top of the Application Form.

# SUITABILITY ASSESSMENT AND INVESTOR CLASSIFICATION – natural persons

## 1. INTRODUCTORY REMARKS

The company FARVE PRO INVEST d.o.o., Gradišćanska street 34, Zagreb (hereinafter in text: the Company) is obliged to collect certain data on the investor or potential investor to assess whether the investor has sufficient experience and expertise to be able to understand the risks associated with investing in investment funds managed by the Company and to assess whether investing in investment funds managed by the Company is in accordance with investor's investment objectives. Based on the collected data, the Company prepares an assessment of suitability for each investor, namely determines whether the investment in units of an individual investment fund managed by the Company is appropriate for the investor and prepares a report on suitability to be submitted to the investor.

If the Company does not collect the data necessary for the assessment of suitability or based on the assessment of suitability, assesses that investing in units of an investment fund managed by the Company is not appropriate for investors, the Company will refuse to enter into an investment agreement with the investor and notify the investor accordingly.

When assessing the suitability, the Company will acquaint the investor in a clear, unambiguous and understandable way with the essential characteristics of the investment fund, the types and significance of all risks associated with investing in a particular investment fund. The company is obliged to obtain from the investor a special signed certificate of understanding and acceptance of the essential characteristics of the investment fund and the types and significance of all risks associated with investing in the investment fund. Without this confirmation, the Company will refuse to enter into an investment agreement with the investor and notify the investor.

The investor is invited to provide the Company with all the information required in the questionnaire defined below so that the Company can adequately assess the suitability of the investor. The Company does not in any way encourage investors to withhold the information needed to assess adequacy.

The Company will consider the information provided by the investor to be credible, except when it is aware or should be aware that the information is clearly out of date, inaccurate or incomplete.

Investors in investment funds with a public offering managed by the Company may be investors who are considered professional investors in accordance with the law governing the capital market or may be treated at their own request as professional investors and retail investors for whom the Company has conducted an eligibility assessment.

## 2. INVESTORS WHICH MAY BE TREATED AS PROFESSIONAL INVESTORS ON THE BASIS OF THEIR OWN REQUEST

To be filled in by the investor

**1. Have you executed an average of 10 transactions of significant volume in the relevant capital market, within each quarter, in the past year?**

YES - NO

**2. Whether the size of your total portfolio of financial instruments exceeds EUR 500.000,00 (cash and financial instruments)?**

YES – NO

**3. Have you worked in the financial sector for at least one year on jobs that require knowledge of transactions or services related to investment funds?**

YES – NO

**4. If the answer to 2 of the previous 3 questions is "YES", you belong to the category of investors who can be treated as professional investors at their own request. Please determine as follows:**

I demand that the Company treat me as a professional investor



b) I do not require the Company to treat me as a professional investor

**Place and date:** \_\_\_\_\_

**Signature of the client or client's representative:** \_\_\_\_\_

### **NOTICE TO THE INVESTOR:**

An investor who can be treated as a professional investor at his own request is an investor who is not considered a professional investor in accordance with the law governing the capital market but can apply to the Company for professional investor status if he has experience, expertise and knowledge necessary to make an investment decision and to understand the risks associated with investing in investment funds managed by the Company. In case your answer to 2 of the previous 3 questions is "YES" and if you have asked the Company to treat you as a professional investor, you are not obliged to give answers to the questions below. In this case, the Company believes that investing in investment funds with a public offering is appropriate for you, considering your experience, expertise and understanding of the risks associated with investing in investment funds managed by the Company.

Also, if your answer to 2 of the previous 3 questions is not "YES", or if you have not asked the Company to treat you as a professional investor, please answer the questions below so that the Company can assess the adequacy of the investment.

### **3. INVESTOR SUITABILITY ASSESSMENT**

To be filled in by the investor (please mark the corresponding answer)

#### **1. Funds intended for the planned investment were realized from:**

- income from employment
- income from self-employment
- income from property and property rights
- income from capital
- insurance income
- other (scholarships, inheritances, fees etc.)

#### **2. Type of regular liabilities / expenses:**

- credit
- Leasing
- Other
- I have no liabilities

#### **3. An estimate of my total monthly income available for investment:**

- up to EUR 660
- up to EUR 1.400
- over EUR 1.400
- I have no monthly investment income available

**4. Financial and other assets and liabilities - liquid assets (cash, deposits, savings, housing savings):**

yes

no

**5. Financial and other assets and liabilities - securities (shares, bonds, units in investment funds):**

yes

no

**6. Financial and other assets and liabilities - other financial assets (e.g., life insurance):**

yes

no

**7. Financial and other assets and liabilities - real estate (apartment, house, cottage):**

yes

no

**8. Financial and other assets and liabilities - movable property (car, boat):**

yes

no

**9. Financial and other assets and liabilities - other assets:**

yes

no

**10. The estimate of my total assets is:**

less than EUR 400.000

from EUR 400.000 to EUR 670.000

over EUR 670.000

**11. Financial and other assets and liabilities – credit obligation:**

yes

no

**12. Financial and other assets and liabilities – leasing obligation:**

yes

no

**13. Financial and other assets and liabilities – other liabilities:**

yes

no

**14. The estimate of my total liabilities is:**

less than EUR 66.500

from EUR 66.500 to EUR 340.000

over EUR 340.000

**15. Amount and source of investment in the fund - my monthly income:**

yes

no

**16. Amount and source of investment in the fund - my existing financial assets (financial instruments and cash):**

yes

no

**17. My total assets significantly exceed the value of the investment (amount in EUR) that I give to manage:**

yes

no

**18. Knowledge of financial instruments - Bonds, commercial papers and other interest-bearing instruments:**

I know

I don't know

**19. Knowledge of financial instruments - Stocks, investment funds:**

I know

I don't know

**20. Knowledge of financial instruments - Financial derivatives and products with financial leverage (forward transactions, options, swap transactions, margin loans...):**

I know

I don't know

**21. Knowledge of financial instruments - Structured financial instruments:**

I know

I don't know

**22. Value of realized transactions - Bonds, commercial papers and other interest-bearing instruments:**

less than EUR 13.500

more than EUR 13.500

**23. Value of realized transactions - Shares, investment funds:**

less than EUR 13.500

more than EUR 13.500

**24. Value of realized transactions - Financial derivatives and products with financial leverage (forward transactions, options, swap transactions, margin loans...):**

less than EUR 13.500

more than EUR 13.500

**25. Value of realized transactions - Structured financial instruments:**

less than EUR 13.500

more than EUR 13.500

**26. Frequency of transactions - Bonds, commercial papers and other interest-bearing instruments:**

less than 3 years

more than 3 years

**27. Frequency of transactions - Shares, investment funds:**

less than 3 years

more than 3 years

**28. Frequency of transactions - Financial derivatives and products with financial leverage (forward transactions, options, swap transactions, margin loans...):**

less than 3 years

more than 3 years

**29. Frequency of transactions - Structured financial instruments:**

less than 3 years

more than 3 years

**30. Knowledge of investment services - Asset management:**

I know

I don't know

**31. Knowledge of investment services – Investment consulting:**

I know

I don't know

**32. Knowledge of investment services – Investing in alternative investment funds:**

I know

I don't know

**33. Investment horizon** (multiple answers possible):

short term (up to one year)

medium term (from one to five years)

long term (over five years)

**34. Purpose of the investment** (multiple answers possible):

additional retirement income

additional financial security for the family

savings in order to increase financial assets

savings for future investment (apartment, house, car, schooling)

Speculation with the aim of making extra money by increasing the value of the investment

**35. Maximum risk at the level of individual investment within the overall own portfolio (only one answer possible):**

without fluctuations in value (deposits, savings, housing savings...)

slight fluctuations in value (bonds, bond funds, mixed investment funds with predominant investment in bonds...)

moderate oscillations in value (mixed funds with predominant investment in shares, equity funds, shares ...)

speculative investments (shares, purchased derivatives, speculative so-called "junk" shares or bonds ...)

extremely risky investments (investments using financial leverage, issued derivatives, forward transactions ...)

**If you consider that there are some queries, that we haven't asked and could provide us data which would help us assess your knowledge and experience, financial situation, and investment goals, please fill in such data, information, and notes:**

## **5. INVESTOR'S STATEMENT**

To be filled in by the investor

I hereby declare that:

- 1) the information I have provided to the Company for the purpose of conducting an adequacy assessment is true, accurate and complete,
- 2) I am acquainted, by the Company, with the essential characteristics of the investment fund whose units I intend to acquire,
- 3) I am acquainted, by the Company, with the types and significance of all risks associated with investing in an investment fund whose units I intend to acquire,
- 4) I am familiar with the content of the rules / prospectus of the investment fund whose units I intend to acquire,
- 5) I am familiar with and agree with the objectives and investment strategy of the investment fund whose units I intend to acquire,
- 6) I can bear the risks arising from investing in investment fund units.

**Place and date:** \_\_\_\_\_

**Signature of the client or client's representative:** \_\_\_\_\_