

# Application Form - legal persons

FARVE PRO INVEST d.o.o. za  
upravljanje alternativnim investicijskim  
fondovima  
Gradišćanska 34, HR-10000 Zagreb  
T +385 (0)1 6666 323  
F +385 (0)1 6666 322  
[info@farveproinvest.com](mailto:info@farveproinvest.com)  
[www.farveproinvest.com](http://www.farveproinvest.com)



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) for the purposes of establishing and maintaining a business relationship of a business entity with the company FARVE PRO INVEST. Data from individual points of this Application Form are collected and processed based on:

- the Anti-Money Laundering and Terrorism Financing Act and its implementing regulations, for the purpose of conducting due diligence analysis of investors and fulfillment of obligations arising from the said regulations (Data from items 1, 3, 4, 5 and 6 of the Application Form),
- 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),
- 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 authorized person of the business entity has the right to access this data as well as to demand fulfillment 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. In the event that a particular Data is processed for a particular purpose with consent, the business entity may withdraw the consent and notify the company FARVE PRO INVEST in writing or in person at the headquarters of the company FARVE PRO INVEST. Except for the Data which are indicated in this Application Form as not obligatory, all other Data are obligatory for the company FARVE PRO INVEST to be able to fulfil its legal and regulatory obligations and establish a business relationship with the business entity. If the business entity does not wish to disclose the mandatory Data or discloses inaccurate data, the company FARVE PRO INVEST may refuse to establish a business relationship with the business entity.

## 1. IDENTIFICATION DATA

### Name of the business entity:

PIN: \_\_\_\_\_ Business entity registration number: \_\_\_\_\_

Business entity activity code (NKD-National Occupational Classification) <sup>1</sup>:

Description of primary/majority activity <sup>2,3</sup>:

Estimated percentage of annual revenues from the listed primary/majority activity<sup>4</sup>:

Description of secondary/ancillary activity<sup>2</sup>:

Estimated percentage of annual revenues from the stated secondary/ancillary activity<sup>4</sup>:

### Address of the registered office

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

Zip code: \_\_\_\_\_ Place/City: \_\_\_\_\_ Country: \_\_\_\_\_

### Investor contact information

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

Mobile phone number: \_\_\_\_\_ E-mail address: \_\_\_\_\_

Select a reporting method \*:  Electronic mail (to the e-mail address specified in the contact information)  
 Mail

\* 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

### Payment accounts

IBAN account in Euro: \_\_\_\_\_

IBAN foreign currency account: \_\_\_\_\_

<sup>1</sup> - The NKD code from the Notice on Classification of Business Entities by Bureau of Statistics (or other relevant bodies) registered in the Republic of Croatia (CRO) is not mandatory for business entities registered outside the Republic of Croatia.

<sup>2</sup> - description of the primary/secondary activity if it differs from the assigned activity code of the business entity.

<sup>3</sup> - description of activities for all other business entities according to the original documentation in the home country of establishment.

<sup>4</sup> - realization for existing business entities and activities, i.e. assessment for new activities or new business entities.

## 2. INVESTMENT PLAN

---

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

## 3. TAX RESIDENCE DATA

---

### DEFINITION OF PASSIVE BUSINESS ENTITY

---

The term "passive business entity" means entities whose gross income in a percentage higher of 50% comes or will come from passive sources (interest, dividends, commissions, etc.) or more than 50% of their assets are invested or will be invested in assets that generate passive income.

Is the business entity a "passive business entity"?

YES

NO

Please indicate the country/countries in which the business entity is a taxpayer and the tax number in the specified country/countries.

The country in which the business entity is a taxpayer 1: \_\_\_\_\_

Tax number 1: \_\_\_\_\_

The country in which the business entity is a taxpayer 2: \_\_\_\_\_

Tax number 2: \_\_\_\_\_

The country in which the business entity is a taxpayer 3: \_\_\_\_\_

Tax number 3: \_\_\_\_\_

In case you are not able to state the tax number, please select one of the offered options as the reason for not stating it and enter it in the Tax number field. (TIN/VAT):

Country does not issue a tax number

The tax number is in the process of being obtained

Issuance of a tax number will be requested

The tax number will be subsequently delivered

Other (in case none of the previously offered reasons is appropriate, please enter your own reason)

**By signing this Application Form, I certify that the business entity for tax purposes is 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.**

#### 4. DATA ON THE ACTUAL OWNERS OF THE BUSINESS ENTITY

---

It is mandatory to choose only one of the options below a) - d). Along with the selected option, depending on the defined rules, it is necessary to enclose the ownership structure through the organization chart.

##### a) The business entity is listed on a regulated market/stock exchange?

Regulated markets/exchanges are those that are considered to meet international standards (to which disclosure requirements apply - the ownership structure of business entities is defined and verified by the stock exchange or local regulator). In addition to EU and European Economic Area members, this standard is met by the markets/stock exchanges of the USA, Canada, and Japan.

An organization chart of the ownership structure is not required.

Name of the stock exchange: \_\_\_\_\_

Stock designation: \_\_\_\_\_

---

##### b) The majority owner of the business entity is listed on a regulated market/stock exchange?

In order to characterize a business entity as the majority owner, the ownership share (directly or indirectly) over the client must not be less than 75%. The ownership structure must be shown in the organization chart. In the organization chart, it is obligatory for all business entities to state all the required data: name, country, PIN or VAT or TIN, category designation and ownership share. For all owners of a business entity stated in the organization chart listed on the stock exchange, it is mandatory to state the name of the stock exchange and the stock designation. If the client business entity has several owners listed on a regulated market/stock exchange and if their total ownership share is 75% or more, it is possible to define the client through this option. The data on the owner with the largest share are entered below.

##### Data on the majority owner of the business entity

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

Name of the stock exchange: \_\_\_\_\_ Stock designation: \_\_\_\_\_

##### c) The business entity or majority owner of the business entity is:

- Country or local       Self-government       Political party       Religious community  
 International organization       Non-profit organization       Trade union association

If the business entity is one of the offered categories, it is not necessary to state the ownership structure or show it in the organization chart.

**If the majority owner of the business entity is one of the offered categories,** the data on the majority owner are given below. In order to be able to characterize it as the majority owner, the ownership share over the client must not be less than 75 %.

##### Data on the majority owner of the business entity

Name: \_\_\_\_\_ PIN: \_\_\_\_\_ Country: \_\_\_\_\_

In the case of a complex ownership structure (more than one owner), it is mandatory to show the ownership structure in the organization chart.

##### d) A business entity has one or more actual owners - natural persons with a share of direct or indirect ownership of 25% or more:

**Answer „YES“** – The organization chart is not obligatory only in the case when the actual owner is one natural person with a 100% ownership share of the business entity. Data for all natural persons listed in the organization chart with a share of direct or indirect ownership of 25% or more must be entered below.

**Answer „NO“** – An organization chart must be attached. If there is no real owner who is a natural person with a share of direct or indirect ownership of 25% or more (ownership is dispersed into smaller shares), it is not necessary to enter data on owners of natural persons (pages 5-8).

Yes       No

## DEFINITION OF OWNERSHIP - NATURAL PERSON

---

The actual owner of a business entity is a natural person who owns or controls the business entity through direct or indirect ownership or control in the amount of 25% or more.

Ownership/control is considered in absolute proportions at each level of the ownership structure in such a way that at the first level (direct) ownership is relevant in a 25% share, and at each subsequent level (indirect) ownership with a minimum share of 50 %.

Pursuant to Article 30 of the Anti-Money Laundering and Terrorism Financing Act (OG 107/217), the company FARVE PRO INVEST is obliged to obtain information on the actual owners of business entities.

The actual owners of legal entities (their branches, representative offices) and other subjects of domestic and foreign law equal to the legal entity are considered:

- A) any natural person who is the ultimate owner (directly or indirectly) of more than 25% of shares, more than 25% of shares or more than 25% of voting rights,
- B) any natural person who otherwise has influence over the management of a legal person and who controls the making of financial and business decisions.

The real owners of other legal entities such as foundations, fiduciary affairs that manage funds and distribute funds are considered to be:

- C) any natural person who is the actual owner of 25% or more of the property rights of a certain legal transaction - if the future owners have already been determined,
- D) a person or group of persons in whose interest the legal transaction is concluded or in whose interest the legal entity is established or in whose interest it operates - if the natural or legal persons who will benefit from the legal transaction have not yet been determined,
- E) any natural person who controls 25% or more of the property rights of a particular legal transaction.

## DEFINITION OF A POLITICALLY EXPOSED PERSON

---

Politically exposed person is:

- 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.

## 5. DATA ON ACTUAL OWNERS WHO ARE NATURAL PERSONS

---

### OWNER 1

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

#### Ownership

---

#### Address of residence

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

Zip code: \_\_\_\_\_ Place/City: \_\_\_\_\_

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

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

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

Citizenship: \_\_\_\_\_ Other citizenship: \_\_\_\_\_

The person is:  Direct owner  Indirect owner

Type of actual ownership:  A  B  C  D  E

Percentage of actual ownership: \_\_\_\_\_

#### Is the owner a politically exposed person?

Yes  No

#### Tax residency data

Please indicate the country/countries in which the owner is the taxpayer and his tax number in the specified country/countries.

The country in which the business entity is a taxpayer 1: \_\_\_\_\_

Tax number 1: \_\_\_\_\_

The country in which the business entity is a taxpayer 2: \_\_\_\_\_

Tax number 2: \_\_\_\_\_

The country in which the business entity is a taxpayer 3: \_\_\_\_\_

Tax number 3: \_\_\_\_\_

In case you are not able to state the tax number, please select one of the offered options as the reason for not stating it and enter it in the Tax number field (TIN/VAT):

Country does not issue a tax number

The tax number is in the process of being obtained

Issuance of a tax number will be requested

The tax number will be subsequently delivered

Other (in case none of the previously offered reasons is appropriate, please enter your own reason)

**By signing this Application Form, I certify that for tax purposes the actual owner is 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.**

**OWNER 2**

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

**Ownership**

---

**Address of residence**

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

Zip code: \_\_\_\_\_ Place/City: \_\_\_\_\_

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

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

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

Citizenship: \_\_\_\_\_ Other citizenship: \_\_\_\_\_

The person is:  Direct owner  Indirect owner

Type of actual ownership:  A  B  C  D  E

Percentage of actual ownership: \_\_\_\_\_

**Is the owner a politically exposed person?**

Yes  No

**Tax residency data**

Please indicate the country/countries in which the owner is the taxpayer and his tax number in the specified country/countries.

The country in which the business entity is a taxpayer 1: \_\_\_\_\_

Tax number 1: \_\_\_\_\_

The country in which the business entity is a taxpayer 2: \_\_\_\_\_

Tax number 2: \_\_\_\_\_

The country in which the business entity is a taxpayer 3: \_\_\_\_\_

Tax number 3: \_\_\_\_\_

In case you are not able to state the tax number, please select one of the offered options as the reason for not stating it and enter it in the Tax number field (TIN/VAT):

- Country does not issue a tax number
- The tax number is in the process of being obtained
- Issuance of a tax number will be requested
- The tax number will be subsequently delivered
- Other (in case none of the previously offered reasons is appropriate, please enter your own reason)

**By signing this Application Form, I certify that for tax purposes the actual owner is 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.**

**OWNER 3**

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

**Ownership**

**Address of residence**

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

Zip code: \_\_\_\_\_ Place/City: \_\_\_\_\_

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

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

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

Citizenship: \_\_\_\_\_ Other citizenship: \_\_\_\_\_

The person is:  Direct owner  Indirect owner

Type of actual ownership:  A  B  C  D  E

Percentage of actual ownership: \_\_\_\_\_

**Is the owner a politically exposed person?**

Yes  No

**Tax residency data**

Please indicate the country/countries in which the owner is the taxpayer and his tax number in the specified country/countries.

The country in which the business entity is a taxpayer 1: \_\_\_\_\_

Tax number 1: \_\_\_\_\_

The country in which the business entity is a taxpayer 2: \_\_\_\_\_

Tax number 2: \_\_\_\_\_

The country in which the business entity is a taxpayer 3: \_\_\_\_\_

Tax number 3: \_\_\_\_\_

In case you are not able to state the tax number, please select one of the offered options as the reason for not stating it and enter it in the Tax number field (TIN/VAT):

- Country does not issue a tax number
- The tax number is in the process of being obtained
- Issuance of a tax number will be requested
- The tax number will be subsequently delivered
- Other (in case none of the previously offered reasons is appropriate, please enter your own reason)

**By signing this Application Form, I certify that for tax purposes the actual owner is 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.**

**OWNER 4**

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

**Ownership**

**Address of residence**

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

Zip code: \_\_\_\_\_ Place/City: \_\_\_\_\_

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

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

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

Citizenship: \_\_\_\_\_ Other citizenship: \_\_\_\_\_

The person is:  Direct owner  Indirect owner

Type of actual ownership:  A  B  C  D  E

Percentage of actual ownership: \_\_\_\_\_

**Is the owner a politically exposed person?**

Yes  No

**Tax residency data**

Please indicate the country/countries in which the owner is the taxpayer and his tax number in the specified country/countries.

The country in which the business entity is a taxpayer 1: \_\_\_\_\_

Tax number 1: \_\_\_\_\_

The country in which the business entity is a taxpayer 2: \_\_\_\_\_

Tax number 2: \_\_\_\_\_

The country in which the business entity is a taxpayer 3: \_\_\_\_\_

Tax number 3: \_\_\_\_\_

In case you are not able to state the tax number, please select one of the offered options as the reason for not stating it and enter it in the Tax number field (TIN/VAT):

- Country does not issue a tax number
- The tax number is in the process of being obtained
- Issuance of a tax number will be requested
- The tax number will be subsequently delivered
- Other (in case none of the previously offered reasons is appropriate, please enter your own reason)

**By signing this Application Form, I certify that for tax purposes the actual owner is 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.**

## **OWNERSHIP STRUCTURE OF A BUSINESS ENTITY:**

### **NOTE:**

The ownership structure table serves to help the company FARVE PRO INVEST understand the client's ownership relationship/structure in an acceptable way. In the form of an organization chart, ownership should be presented up to the level of a natural person or business entity listed on a regulated market/exchange or is one of the categories defined under c) in the Application Form in the part Data on actual owners of the business entity.

In addition to this organization chart, the client can present the ownership structure with his own organization chart, with the obligatory indication of all required data: name, country, PIN or VAT or TIN, ownership share, category code and name of the stock exchange and stock designation for those business entities stated in the organization chart listed on the stock exchange.

Determining owners in accordance with the Anti-Money Laundering and Terrorism Financing Act is determining the ownership structure of a business entity in the full ownership structure and in the entire line of ownership, up to the final owners.

The organization chart is mandatory in all cases unless otherwise stated.

**For each entity listed in the ownership structure, it is necessary to state the category number on the corresponding card:**

1. a subject is a natural person
2. the business entity is plc. listed on the stock exchange
3. the business entity is a country or local government
4. the business entity is a political party
5. the business entity is a religious community
6. the business entity is an international organization
7. the business entity is a non-profit organization - association
8. the business entity is a trade union
9. another type of business entity



## 6. PERSONS AUTHORIZED TO REPRESENT THE BUSINESS ENTITY

(members of the management board / directors, proxies, procurators, business owners or other legal representatives) - if there are several legal representatives, it is necessary to state the minimum number of representatives necessary for representation (minimum one person if he represents the business entity independently, or at least two if total).

### PERSON 1

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

Name of the identification document: \_\_\_\_\_ Number of the identification document: \_\_\_\_\_

Name of the issuer of the identification document: \_\_\_\_\_

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

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

### Residence address

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

Zip code: \_\_\_\_\_ Place/city: \_\_\_\_\_ Country: \_\_\_\_\_

### Function of the person authorized to represent:

- President of the Management Board  Member of the Management Board  
 Head/Director who is a trade owner  Procurator  
 Another person performing independent activity  Proxy  Another function of a legal representative

Telephone: \_\_\_\_\_ E-mail: \_\_\_\_\_

### Are you a politically exposed person?

- Yes  No

### Tax residency data

Please indicate the country / countries in which the person is authorized to represent the taxpayer and his tax number in the specified country/countries.

Country in which the person is authorized to represent the taxpayer 1:

The country in which the business entity is a taxpayer 1: \_\_\_\_\_

Tax number 1: \_\_\_\_\_

The country in which the business entity is a taxpayer 2: \_\_\_\_\_

Tax number 2: \_\_\_\_\_

The country in which the business entity is a taxpayer 3: \_\_\_\_\_

Tax number 3: \_\_\_\_\_

In case you are not able to state the tax number, please select one of the offered options as the reason for not stating it and enter it in the Tax number field (TIN/VAT):

- Country does not issue a tax number
- The tax number is in the process of being obtained
- Issuance of a tax number will be requested
- The tax number will be subsequently delivered
- Other (in case none of the previously offered reasons is appropriate, please enter your own reason)

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

**PERSON 2**

Name and surname: \_\_\_\_\_ PIN: \_\_\_\_\_  
Name of the identification document: \_\_\_\_\_ Number of the identification document: \_\_\_\_\_  
Name of the issuer of the identification document: \_\_\_\_\_  
Place of birth: \_\_\_\_\_ Country of birth: \_\_\_\_\_  
Date of birth: \_\_\_\_\_ Citizenship: \_\_\_\_\_

**Residence address**

Street: \_\_\_\_\_ House number: \_\_\_\_\_  
Zip code: \_\_\_\_\_ Place/city: \_\_\_\_\_ Country: \_\_\_\_\_

**Function of the person authorized to represent:**

- President of the Management Board  Member of the Management Board
- Head/Director who is a trade owner  Procurator
- Another person performing independent activity  Proxy  Another function of a legal representative

Telephone: \_\_\_\_\_ E-mail: \_\_\_\_\_

**Are you a politically exposed person?**

- Yes  No

**Tax residency data**

Please indicate the country / countries in which the person is authorized to represent the taxpayer and his tax number in the specified country/countries.

Country in which the person is authorized to represent the taxpayer 1:

The country in which the business entity is a taxpayer 1: \_\_\_\_\_

Tax number 1: \_\_\_\_\_

The country in which the business entity is a taxpayer 2: \_\_\_\_\_

Tax number 2: \_\_\_\_\_

The country in which the business entity is a taxpayer 3: \_\_\_\_\_

Tax number 3: \_\_\_\_\_

In case you are not able to state the tax number, please select one of the offered options as the reason for not stating it and enter it in the Tax number field (TIN/VAT):

- Country does not issue a tax number
- The tax number is in the process of being obtained
- Issuance of a tax number will be requested
- The tax number will be subsequently delivered
- Other (in case none of the previously offered reasons is appropriate, please enter your own reason)

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

**PERSON 3**

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

Name of the identification document: \_\_\_\_\_ Number of the identification document: \_\_\_\_\_

Name of the issuer of the identification document: \_\_\_\_\_

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

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

**Residence address**

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

Zip code: \_\_\_\_\_ Place/city: \_\_\_\_\_ Country: \_\_\_\_\_

**Function of the person authorized to represent:**

- President of the Management Board  Member of the Management Board
- Head/Director who is a trade owner  Procurator
- Another person performing independent activity  Proxy  Another function of a legal representative

Telephone: \_\_\_\_\_ E-mail: \_\_\_\_\_

**Are you a politically exposed person?**

- Yes  No

**Tax residency data**

Please indicate the country / countries in which the person is authorized to represent the taxpayer and his tax number in the specified country/countries.

Country in which the person is authorized to represent the taxpayer 1:

The country in which the business entity is a taxpayer 1: \_\_\_\_\_

Tax number 1: \_\_\_\_\_

The country in which the business entity is a taxpayer 2: \_\_\_\_\_

Tax number 2: \_\_\_\_\_

The country in which the business entity is a taxpayer 3: \_\_\_\_\_

Tax number 3: \_\_\_\_\_

In case you are not able to state the tax number, please select one of the offered options as the reason for not stating it and enter it in the Tax number field (TIN/VAT):

- Country does not issue a tax number
- The tax number is in the process of being obtained
- Issuance of a tax number will be requested
- The tax number will be subsequently delivered
- Other (in case none of the previously offered reasons is appropriate, please enter your own reason)

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

## 7. DESCRIPTION OF BUSINESS RELATIONSHIP

---

### What is the purpose of the business relationship with FARVE PRO INVEST (please specify)

#### Investing in funds:

Planned funds for investment in funds?

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

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 it 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 it 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 it 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 it 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.
- that the IBAN account is owned by him.
- that it is acquainted with the content of the Rules of personal data protection of the company FARVE PRO INVEST d.o.o.

By signing this Application Form, the legal representatives of the business entity authorize the controller to use the personal data on that representative, which are listed in this Application Form, for the purposes of establishing and maintaining business relationship between these representatives and the controller.

Place, date: \_\_\_\_\_

Name and surname of the person authorized to represent the business entity: \_\_\_\_\_

Signature of the person authorized to represent and seal the business entity: \_\_\_\_\_

Name and surname of the person authorized to represent the business entity: \_\_\_\_\_

Signature of the person authorized to represent: \_\_\_\_\_

Name and surname of the person authorized to represent the business entity: \_\_\_\_\_

Signature of the person authorized to represent: \_\_\_\_\_

## **SUITABILITY ASSESSMENT AND INVESTOR CLASSIFICATION – legal 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 CONSIDERED PROFESSIONAL INVESTORS UNDER THE LAW GOVERNING THE CAPITAL MARKET**

To be filled in by the investor

#### **1. Do you consider yourself a professional investor under the law governing the capital market?**

YES - NO

If your answer is "YES", please briefly explain to the Company your status as a professional investor:

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

If, in accordance with the law governing the capital market, you are considered a professional investor, you are not obliged to provide the Company with information under items 3 and 4.

**3. 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

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

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

**Signature of the client:** \_\_\_\_\_

**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.

#### 4. INVESTOR SUITABILITY ASSESSMENT

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

##### A) IDENTIFICATION DATA

###### 1. Legal form:

- A joint stock company whose instruments are traded on a regulated market
- A joint stock company whose instruments are not traded on a regulated market
- An Ltd.
- Craft
- Other (cooperatives, partnerships, family farms, foundations, ...)

###### 2. Type of client:

- private sector
- government service
- state / local government bodies
- state-owned companies

##### B) INVESTMENT DATA

###### 1. Planned annual investment:

- up to EUR 100.000
- up to EUR 133.000
- up to EUR 400.000
- up to EUR 670.000
- above EUR 670.000

###### 2. Investment horizon:

- short term (up to one year)
- medium term (from one to five years)
- long term (over five years)

###### 3. Purpose of investment:

- Savings without significant oscillations in the value of the initial investment
- Investment for the purpose of risk diversification
- Investment with the aim of increasing the value of the initial investment
- Speculation with the aim of achieving the highest possible absolute returns while taking significantly higher risk
- The rest

###### 4. Estimated source of funds:

- Funds from regular operations
- Funds from extraordinary operations
- Funds from the founder
- Funds obtained from business partners, sponsors, etc. (lending, donation, etc.)
- The rest

## **C) THE FINANCIAL SITUATION**

### **1. Source of regular investor's income in the previous financial year:**

Operating income

Income from financial activities

Extraordinary income

### **2. Source of the investor's assets in the previous financial year:**

Liquid financial assets such as: cash, money deposited into a bank account, housing and similar savings, deposits, units in money market funds, etc.

Other financial assets (various insurances, receivables, etc.)

Government debt securities

Corporate and municipal debt securities

Units in UCITS funds (excluding units in money market funds)

Shares in alternative and other similar investment funds

Shares and other similar securities

Business interests in a limited liability company or a stake in other companies

Real estate

Movable property

Derivative financial instruments

The rest

### **3. Average number of employees during the business year:**

up to 10

up to 50

up to 250

more than 250

### **4. Annual income at the end of the previous business year:**

up to EUR 690.000

up to EUR 8.000.000

up to EUR 40.000.000

more than EUR 40.000.000

### **5. Assets at the end of the previous business year:**

up to EUR 345.000

up to EUR 4.000.000

up to EUR 20.000.000

more than EUR 20.000.000

**6. Regular financial liabilities in the previous financial year (purpose-specific loan):**

Yes

No

**7. Regular financial liabilities in the previous financial year (all-purpose loan):**

Yes

No

**8. Regular financial liabilities in the previous financial year (mortgage loan):**

Yes

No

**9. Regular financial liabilities in the previous financial year (leasing):**

Yes

No

**10. Regular financial liabilities in the previous financial year (margin loan for financial instruments):**

Yes

No

**11. Regular financial liabilities in the previous financial year (the rest):**

Yes

No

**12. Has the entity reported a profit in the last annual financial report?**

Yes

No

**13. Has the entity reported a profit in the last accounting period?**

Yes

No

**14. Does the business have retained earnings from previous periods?**

Yes

No

**D) KNOWLEDGE AND EXPERIENCE**

**1. Knowledge of financial instruments - characteristics and risks: Deposits and money market instruments:**

I know

I do not know

**2. Knowledge of financial instruments - characteristics and risks: Debt securities:**

I know

I do not know

**3. Knowledge of financial instruments - characteristics and risks: UCITS funds:**

I know

I do not know

**4. Knowledge of financial instruments - characteristics and risks: Alternative investment funds:**

I know

I do not know

**5. Knowledge of financial instruments - characteristics and risks: Shares:**

I know

I do not know

**6. Knowledge of financial instruments - characteristics and risks: Business interests in a limited liability company or a stake in other companies:**

I know

I do not know

**7. Knowledge of financial instruments - characteristics and risks: Equity-like instruments that are a combination of equity and debt:**

I know

I do not know

**8. Knowledge of financial instruments - characteristics and risks: Derivative financial instruments:**

I know

I do not know

**9. Knowledge of financial instruments - characteristics and risks: Receivables:**

I know

I do not know

**10. Knowledge of financial instruments - characteristics and risks: Unlisted securities:**

I know

I do not know

**11. Knowledge of financial instruments - characteristics and risks: Real estate:**

I know

I do not know

**12. Knowledge of financial instruments - characteristics and risks: Other financial instruments:**

I know

I do not know

**13. Knowledge of financial instruments - characteristics and risks: Other financial services:**

I know

I do not know

**14. Knowledge of financial instruments – experience: Deposits and money market instruments:**

I have experience

I do not have experience

**15. Knowledge of financial instruments – experience: Debt securities:**

I have experience

I do not have experience

**16. Knowledge of financial instruments – experience: UCITS funds:**

I have experience

I do not have experience

**17. Knowledge of financial instruments – experience: Alternative investment funds:**

I have experience

I do not have experience

**18. Knowledge of financial instruments – experience: Shares:**

I have experience

I do not have experience

**19. Knowledge of financial instruments – experience: Business interests in a limited liability company or a stake in other companies:**

I have experience

I do not have experience

**20. Knowledge of financial instruments – experience: Equity-like instruments that are a combination of equity and debt:**

I have experience

I do not have experience

**21. Knowledge of financial instruments – experience: Derivative financial instruments:**

I have experience

I do not have experience

**22. Knowledge of financial instruments – experience: Receivables:**

I have experience

I do not have experience

**23. Knowledge of financial instruments – experience: Unlisted securities:**

I have experience

I do not have experience

**24. Knowledge of financial instruments – experience: Real estate:**

I have experience

I do not have experience

**25. Knowledge of financial instruments – experience: Other financial instruments:**

I have experience

I do not have experience

**26. Knowledge of financial instruments – experience: Other financial services:**

I have experience

I do not have experience

**27. Knowledge of financial instruments - time period of investment: Deposits and money market instruments:**

less than 1 year

less than 3 years

less than 5 years

more than 5 years

**28. Knowledge of financial instruments - period of investment: Debt securities:**

less than 1 year

less than 3 years

less than 5 years

more than 5 years

**29. Knowledge of financial instruments - period of investment: UCITS funds:**

less than 1 year

less than 3 years

less than 5 years

more than 5 years

**30. Knowledge of financial instruments - period of investment: Alternative investment funds:**

less than 1 year

less than 3 years

less than 5 years

more than 5 years

**31. Knowledge of financial instruments - period of investment: Shares:**

less than 1 year

less than 3 years

less than 5 years

more than 5 years

**32. Knowledge of financial instruments - period of investment: Business interests in a limited liability company or a stake in other companies:**

less than 1 year

less than 3 years

less than 5 years

more than 5 years

**33. Knowledge of financial instruments - period of investment: Equity-like instruments that are a combination of equity and debt:**

- less than 1 year
- less than 3 years
- less than 5 years
- more than 5 years

**34. Knowledge of financial instruments - period of investment: Derivative financial instruments:**

- less than 1 year
- less than 3 years
- less than 5 years
- more than 5 years

**35. Knowledge of financial instruments - period of investment: Receivables:**

- less than 1 year
- less than 3 years
- less than 5 years
- more than 5 years

**36. Knowledge of financial instruments - period of investment: Unlisted securities:**

- less than 1 year
- less than 3 years
- less than 5 years
- more than 5 years

**37. Knowledge of financial instruments - period of investment: Real estate:**

- less than 1 year
- less than 3 years
- less than 5 years
- more than 5 years

**38. Knowledge of financial instruments - period of investment: Other financial instruments:**

- less than 1 year
- less than 3 years
- less than 5 years
- more than 5 years

**39. Knowledge of financial instruments - period of investment: Other financial services:**

- less than 1 year
- less than 3 years
- less than 5 years
- more than 5 years

**40. Knowledge of financial instruments - amount of investment: Deposits and money market instruments: less**

less than EUR 66.500

less than EUR 400.000

more than EUR 400.000

**41. Knowledge of financial instruments - amount of investment: Debt securities:**

less than EUR 66.500

less than EUR 400.000

more than EUR 400.000

**42. Knowledge of financial instruments - amount of investment: UCITS funds:**

less than EUR 66.500

less than EUR 400.000

more than EUR 400.000

**43. Knowledge of financial instruments - amount of investment: Alternative investment funds:**

less than EUR 66.500

less than EUR 400.000

more than EUR 400.000

**44. Knowledge of financial instruments - amount of investment: Shares:**

less than EUR 66.500

less than EUR 400.000

more than EUR 400.000

**45. Knowledge of financial instruments - amount of investment: Business interests in a limited liability company or a stake in other companies:**

less than EUR 66.500

less than EUR 400.000

more than EUR 400.000

**46. Knowledge of financial instruments - amount of investment: Equity-like instruments that are a combination of equity and debt:**

less than EUR 66.500

less than EUR 400.000

more than EUR 400.000

**47. Knowledge of financial instruments - amount of investment: Derivative financial instruments:**

less than EUR 66.500

less than EUR 400.000

more than EUR 400.000

**48. Knowledge of financial instruments - amount of investment: Receivables:**

less than EUR 66.500

less than EUR 400.000

more than EUR 400.000

**49. Knowledge of financial instruments - amount of investment: Unlisted securities:**

- less than EUR 66.500
- less than EUR 400.000
- more than EUR 400.000

**50. Knowledge of financial instruments - amount of investment: Real estate:**

- less han EUR 66.500
- less than EUR 400.000
- more than EUR 400.000

**51. Knowledge of financial instruments - amount of investment: Other financial instruments:**

- less han EUR 66.500
- less than EUR 400.000
- more than EUR 400.000

**52. Knowledge of financial instruments - amount of investment: Other financial services:**

- less han EUR 66.500
- less than EUR 400.000
- more than EUR 400.000

**53. The funds I plan to invest in alternative investment funds managed by the Company are:**

- Cash needed for operating activities
- Surplus funds that are exclusively intended for investment for a period of less than 1 year
- Surplus funds that are exclusively intended for investment for a period of more than 1 year

**54. Explain your understanding of the relationship between investment risk and return:**

- Potentially higher returns on investment can generate higher risks, and vice versa
- Potentially higher returns on investment can generate lower risks, and vice versa

**55. Expected annual return on investment in alternative investment funds managed by the Company is:**

- 1% - 10%
- 10% - 15%
- 15% - 20%
- > 20%

**56. When investing, how much risk are you willing to take when losing your initial investment (one answer only):**

- No losses < 0%
- Slight oscillations 1 – 10%
- Moderate oscillations > 10%
- Significant oscillations < 100%
- Extremely risky investments > 100%

## 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:** \_\_\_\_\_