

Renaissance Capital

RENAISSANCE SECURITIES (CYPRUS) LIMITED

CUSTOMER DOCUMENT PACK: ACCOUNT OPENING PACK (DIRECT ELECTRONIC ACCESS DUE DILIGENCE QUESTIONNAIRE)

FOR PROFESSIONAL CLIENTS AND ELIGIBLE COUNTERPARTIES

Version 1 / November 2018

CUSTOMER WARNING

RENAISSANCE SECURITIES (CYPRUS) LIMITED DOES NOT OFFER SERVICES OR CARRY OUT ANY BUSINESS WITH CUSTOMERS CATEGORISED AS RETAIL CLIENTS. YOU CAN ONLY COMPLETE, SIGN AND DELIVER THIS DOCUMENT, IF YOU ARE CLASSIFIED AS A PROFESSIONAL CLIENT OR AN ELIGIBLE COUNTERPARTY. WHERE YOU ARE CLASSIFIED AS A PROFESSIONAL CLIENT OR AN ELIGIBLE COUNTERPARTY YOU SHALL NOT BENEFIT FROM CERTAIN INVESTOR PROTECTIONS WHICH ARE AVAILABLE TO RETAIL CLIENTS UNDER THE APPLICABLE LAWS AND REGULATIONS. WE ARE ENTITLED TO ASSUME THAT AS A PROFESSIONAL CLIENT YOU HAVE THE NECESSARY EXPERIENCE AND KNOWLEDGE TO UNDERSTAND THE RELEVANT RISKS INVOLVED IN THE FINANCIAL INSTRUMENTS OR INVESTMENT SERVICES OFFERED OR DEMANDED UNDER THE INVESTMENT SERVICES AGREEMENT ENTERED OR TO BE ENTERED INTO BETWEEN YOU AND RENAISSANCE SECURITIES (CYPRUS) LIMITED AND, THEREFORE, OUR OBLIGATION TO ASSESS THE APPROPRIATENESS THEREOF SHALL BE DEEMED FULFILLED. WE ARE UNDER NO OBLIGATION TO ASSESS THE APPROPRIATENESS OF THE FINANCIAL INSTRUMENTS OR THE INVESTMENT SERVICES OFFERED TO OR DEMANDED BY ELIGIBLE COUNTERPARTIES. WE DO NOT OFFER INVESTMENT ADVICE.

Dear Customer

Please fill in the below Direct Electronic Access (“DEA”) Due Diligence Questionnaire, sign and return it to ClientManagement@rencap.com.

This DEA Due Diligence Questionnaire constitutes an integral part of the Account Opening Pack. Should any of the details specified below change, please notify us immediately and arrange for the new DEA Due Diligence Questionnaire to be provided to us as soon as possible. Any capitalised terms used herein shall have the meaning ascribed to them in the Investment Services Agreement entered or about to be entered into between you and Renaissance Securities (Cyprus) Limited.

NOTICE:

The provision of information by you to Renaissance in this DEA Due Diligence Questionnaire and Renaissance’s acceptance of you for trading, does not render Renaissance responsible for:

- a) the accuracy or completeness of the information provided in this DEA Due Diligence Questionnaire or for the verification of the information provided. We will use this information on an “as provided” basis and will rely on this;**
- b) the quality of your DEA set up, systems, processes and controls for which you remain at all times solely responsible and liable for.**

Renaissance will monitor your trading activity and transactions in order to identify any infringements, disorderly trading conditions or conduct that may involve market abuse and, where in its absolute discretion considers an actual or potential breach to have been caused, this will be reported to the relevant Regulator or authorities Renaissance shall be entitled (but not obliged) to undertake due diligence on your ability to comply on a consistent basis with the rules of the relevant Trading venue or the DEA provider. Where Renaissance becomes aware that you no longer meet the requirements of the relevant Trading venue or the DEA provider, Renaissance may notify the relevant Trading venue or the DEA provider immediately and cooperate with the relevant Trading venue or the DEA provider to halt your DEA or sub-DEA.

When using any Data and Technology you must comply with the Applicable Laws and Regulations (as such term is defined in the Investment Services Agreement), including any requirements of any relevant Exchange accessed using such Data and Technology.

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| DEA Client Name | Full legal name of the DEA Client | |
| DEA Client LEI code | Legal Entity Identifier of the DEA Client | |
| DEA Client Authorisation Status | Describe the legal status of the DEA Client regarding access to European trading venues under MiFID II. <i>(For example, is the DEA Client authorized as an investment firm under MiFID II, exempt under MiFID II, etc.)</i> | |
| Regulatory authority (for MiFID investment firm only) | Please name the regulatory authorities regulating the DEA Client | |

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| Systematic Internaliser status (for MiFID investment firm only) | Is the DEA Clients registered as a Systematic Internaliser? <i>If YES, please provide details of the instrument population (or send in a separate attachment).</i> | |
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| DEA Client Governance Section | Please describe governance and ownership structure of the DEA Client | |
| | Please describe the DEA Client’s ability to meet financial obligations on related trading activities | |
| | Please disclose any disciplinary actions brought by EU regulators or by trading venues against the DEA Client, which: - Relate to the relevant trading activity; and - Were brought within the preceding five-year period. | |

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| DEA Client Activity | Markets that will be accessed via the DEA arrangement? <i>(Please answer with reference to asset classes traded during the last 2 years)</i> | |
| | Please give a general description of: - The types of trading strategies; - Any automated investment or execution strategies; - The level of expected trading; - The level of expected order volume | |

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| | Will the DEA Client be classified as a “market maker” (as defined in Article 4(1) (7) of MiFID II)? | |
| | Please describe the operational setup and systems that the DEA Client uses or plans to use | |
| | Please describe all pre- and post-trade risk controls that the DEA Client applies or will apply to its trading strategies on the Relevant Markets to be accessed via the DEA arrangement | |
| | If the DEA Client is using - or plans to use - third party trading software, please describe the pre-trade controls provided | |
| | Please describe the real-time monitoring systems the DEA Client applies or will apply to its trading strategies on the Relevant Markets | |
| | Please describe the responsibilities within the DEA Client for dealing with actions and errors | |

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| DEA Sub-delegation | Do you delegate the DEA Services that Renaissance Securities (Cyprus) Limited provides to you to any of your clients? <i>If YES, please complete additional questions below</i> | |
| | Does the DEA Client comply with the requirements set out in RTS 6 Article 22? | |

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| | Does the DEA Client carry out an annual due diligence assessment (as per RTS 6 Article 23)? | |
| | Does the DEA Client use a framework which covers substantively the same topics as covered above? | |

We, _____ hereby declare and confirm that the above information is correct. We understand and agree that it is our responsibility to inform Renaissance immediately of any changes to the information contained in this form and that Renaissance shall incur no liability for any losses we may suffer as a result of us failing to do so.

By: _____
 Name:
 Title:
 Date:

By: _____
 Name:
 Title:
 Date: