

## CLIENT PROFILE for professional client (legal entity)

Pursuant to the Norwegian Securities Trading Act dated 29.06.2007, the Norwegian regulation on securities firms and regulated markets dated 04.12.2017 (the MiFID II regulation) and Markets in Financial Instruments Directive 2014/65/EU (MiFID II), security dealers are required to obtain certain information about their customers in order to make an appropriateness assessment related to receipt and execution of orders (a service that is normally offered when entering orders and trading in other financial instruments) and to make a suitability assessment in connection with investment advice.

Client name: \_\_\_\_\_

Name of the individual(s) who is (are) responsible for investment in financial instruments:

\_\_\_\_\_

### Purpose of investment / Investment strategy (please tick at least one)

This information is used to assess how Swedbank can best provide suitable and tailored advice on investments;

- |                                             |                                            |                                               |
|---------------------------------------------|--------------------------------------------|-----------------------------------------------|
| <input type="checkbox"/> Preservation       | <input type="checkbox"/> Growth            | <input type="checkbox"/> Income               |
| <input type="checkbox"/> Hedging            | <input type="checkbox"/> Leveraged return  | <input type="checkbox"/> Liquidity management |
| <input type="checkbox"/> Securities lending | <input type="checkbox"/> Corporate actions |                                               |

### Investment horizon (please tick just one only)

The client's investment horizon is an important factor in selecting investments that match their requirements in terms of risk exposure and product liquidity. The client must specify their planned investment timeframe, which is how long they plan to invest in financial instruments. This investment timeframe has a significant impact on Swedbank's evaluation of single exposure risks and their potential impact on the client's investment.

- |                                               |                                          |                                             |                                         |
|-----------------------------------------------|------------------------------------------|---------------------------------------------|-----------------------------------------|
| <input type="checkbox"/> Very short: < 1 year | <input type="checkbox"/> Short: 1-3 year | <input type="checkbox"/> Medium: > 3-5 year | <input type="checkbox"/> Long: > 5 year |
|-----------------------------------------------|------------------------------------------|---------------------------------------------|-----------------------------------------|

Comments regarding investment objective(s) and investment horizon;

\_\_\_\_\_  
\_\_\_\_\_

## Risk tolerance (appetite) which the client wants for the portfolio in Swedbank

(please tick just one only)

The following risk profiles are based on the fact that Swedbank, as a commercial bank, has a broad range of different products such as deposits, loans and savings as well as various investment products. Please note that examples of products in each category are indicative and for the purpose of guidance only. This means that individual products, or products connected with certain companies, may fall into a different category than described in the examples below.

<p><b>Low Risk:</b></p>	<input type="checkbox"/>	<p><b>Risk considerations:</b></p> <ul style="list-style-type: none"> <li>• Probability of loss: Remote</li> <li>• Potential loss: <b>Invested amount is generally not prone to significant losses</b></li> <li>• Liquidity: Possibility for realization at short notice without significant cost</li> <li>• Volatility: Small to moderate fluctuations in value from day-to-day can be expected.</li> <li>• Complexity: Non-complex products</li> <li>• Expected return: In line with bank deposits, with the risk of minor deviations from this.</li> </ul> <p><b>Examples of products that normally fall in to a Low Risk category:</b></p> <ul style="list-style-type: none"> <li>• Bank deposits</li> <li>• Fund products in lower risk categories such as investment grade (IG) bonds and money market funds</li> <li>• Individual investments in government bonds issued in domestic currency</li> <li>• Covered bonds in domestic currency.</li> </ul>
<p><b>Medium Risk:</b></p>	<input type="checkbox"/>	<p><b>Risk considerations:</b></p> <ul style="list-style-type: none"> <li>• Probability of loss: Moderate</li> <li>• Potential loss: <b>Risk of total or partial loss of investments</b></li> <li>• Liquidity: Realization of investments may take time, and rapid realization may increase losses</li> <li>• Volatility: Significant fluctuations in value from day-to-day must be expected</li> <li>• Complexity: Non-complex and complex products</li> <li>• Expected return: In line with the high yield bond- or stock market returns, but with the risk of major deviations from market development</li> </ul> <p><b>Examples of products that normally fall into a Medium Risk category:</b></p> <ul style="list-style-type: none"> <li>• Listed shares / equity certificates</li> <li>• ETFs, ETNs and ETCs</li> <li>• High yield bond funds</li> <li>• Equity funds</li> <li>• Bonds: Investment Grade (IG), High Yield (HY), Subordinated debt (Tier 2)</li> </ul>

<b>High Risk:</b>	<input type="checkbox"/>	<p><b>Risk Considerations:</b></p> <ul style="list-style-type: none"> <li>• Probability of loss: Significant</li> <li>• Potential loss: <b>There is a risk of loss greater than the invested amount</b></li> <li>• Liquidity: Realization of investments may take time, and rapid realization may increase losses</li> <li>• Volatility: There is a risk of losing the entire investment due to large fluctuations in the underlying products during short periods</li> <li>• Complexity: Non-complex and complex products</li> <li>• Expected return: Significantly higher returns than the high yield bond market or general stock market movements</li> </ul> <p><b>Examples of products that normally fall into a High Risk category</b></p> <ul style="list-style-type: none"> <li>• Unlisted shares</li> <li>• Contingent Convertible bonds (CoCos)</li> <li>• ETFs (with gearing, non-UCITS)</li> <li>• ETNs (with gearing)</li> <li>• Leverage financing (gearing) of products like stocks and bonds</li> <li>• Short trading</li> <li>• Interest rate derivatives / Currency Derivatives / Equity Derivatives / Credit Derivatives / Commodity derivatives. [The above derivatives may include amongst others, warrants, options, futures, forwards, swaps, synthetic products].</li> </ul>
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## Type of transaction

Is it the intention of this client relationship to pursue investments in unlisted equities?

Yes                       No (please tick)

Is it the intention of this client relationship to pursue short trading?

Yes                       No (please tick)

Is it the intention of this client relationship to pursue investments outside of the Nordic countries?

Yes                       No (please tick)

## On behalf of the company/legal entity:

I/we confirm that the information given above is correct and complete. I/we will notify Swedbank Norway if there are changes in our financial situation that affects the answers given above.

\_\_\_\_\_  
Client Signature (in accordance with the Certificate of Registration)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Capital letters

\_\_\_\_\_  
Client Signature (in accordance with the Certificate of Registration)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Capital letters