

## Appendix A

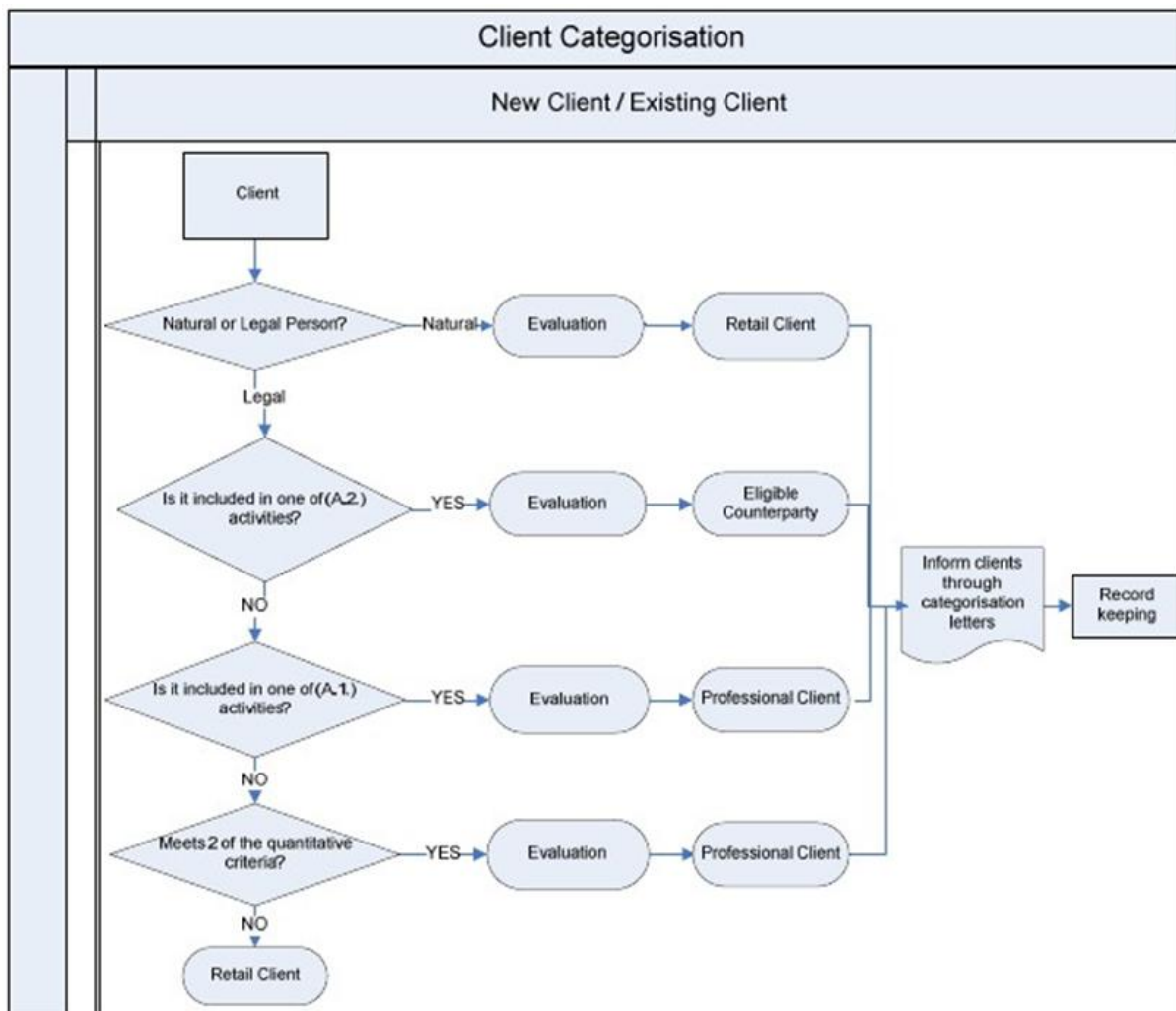
### 1. INVESTMENT SERVICES

1	Receipt and transmission of orders for the account of clients, in relation to one or more financial instruments.
2	Execution of orders for the account of clients – stands for effecting of actions, aimed at conclusion of buy or sell deals, concerning one or more financial instrument types on behalf of and for the account of a client.
3	Proprietary dealing in financial instruments – stands for trading against proprietary capital, resulting in the conclusion of transactions in one or more financial instrument types.
4	Portfolio management – stands for the management of investment portfolios by the Bank, in accordance with mandates, given by clients, on a discretionary client-by-client basis, where such investment portfolios include one or more financial instruments.
5	Investment advice - stands for the provision of personal recommendations to a client, either upon the latter's request or at the Bank's initiative, in respect of one or more transactions, relating to financial instruments.
6	Underwriting of issues of financial instruments and/or initial placing of financial instruments on a firm commitment basis;
7	Initial placing of financial instruments on best effort basis.
8	Operation of Multilateral Trading Facilities (MTF).

### 2. ANCILLARY SERVICES

1	Safekeeping and administration of financial instruments for the account of clients, including custodianship (keeping of financial instruments and funds of clients with a depository institution) and related services, such as cash/collateral management.
2	Granting credits or loans to an investor, thus allowing the latter to effect transactions in one or more financial instruments, on condition that the lending entity is involved in the transaction.
3	Advice to undertakings on their capital structure, industrial strategy, related issues and advice, as well as services, relating to mergers and purchase of undertakings.
4	Investment services and activities, as well as ancillary services, related to the underlying asset of financial derivatives, as per Art. 3, item 2, indents "d", "e", "f", and "i", of the Markets in Financial Instruments Act, where these relate to the provision of investment or ancillary services.
5	Provision of services, relating to foreign means of payment, in line with the rendered investment services.
6	Investment research and financial analyses or other forms of general recommendations, relating to transactions in financial instruments.
7	Services, related to underwriting issues of financial instruments.

## APPENDIX B – CLIENT CATEGORIZATION



### Scope of Activity A1

- Persons/Entities involved in proprietary trading (by way of business) with commodity and/or commodity derivatives
- Other institutional investors, whose main activity is investment in financial instruments, including entities, which perform securitization of assets or of other financial transactions
- Local undertakings
- Investment firms
- Credit institutions
- Insurance companies
- Undertakings for collective investment and their management companies
- Pension funds and their management companies
- Private Equities and other institutional investors
- Other financial institutions, subject to licensing or regulation
- National and regional governmental bodies, including state authorities, involved in sovereign debt management
- Central Banks
- International and supranational institutions

### Scope of Activity A2

- Investment firms
- Credit Institutions
- Insurance Companies
- Collective Investment Schemes and their management companies
- Pension funds and their management companies
- Private Equities and other institutional investors
- Other financial institutions, subject to licensing or regulation
- National and regional governmental bodies, including state authorities, involved in sovereign debt management
- Central Banks
- International and supranational institutions
- Persons/Entities whose main business is proprietary dealing in commodity and/or commodity derivatives, which persons/entities are not part of a group with main activity provision of other investment services
- Legal entities, providing investment services and/ or effecting investment activities, consisting exclusively in proprietary trading on the markets of financial futures or options, or other derivative financial instruments, as well as on the money market for the sole purpose of hedging positions on markets of financial derivatives, or such entities, trading for the account of other players on these markets, or determining prices for the latter and which persons/entities are guaranteed by clearing members of that same markets, in the cases when the responsibility for the execution of contracts, concluded by such entities, is being assumed by clearing members on those markets

### Quantitative Criteria:

Large corporates, complying with at least two size requirements on a solo basis:

- Balance sheet total - minimum EUR 20 000 000
- Net turnover – minimum EUR 40 000 000
- Own funds – minimum EUR 2 000 000

### Note:

Table A2 precedes Table A1 within the client categorization process, since Table A2 includes legal entities with the same scope of activity, as in Table A1.

APPENDIX C – CLIENT RE-CATEGORIZATION

