

MiFID RISK PROFILE AND INVESTMENT QUESTIONNAIRE

RETAIL OR PROFESSIONAL INVESTOR

NATURAL PERSON

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RETAIL OR PROFESSIONAL INVESTOR – RETAIL INVESTOR

For the purpose of offering good service, protection and promotion of your interests, it is important that you provide Mega Equity Securities & Financial Services Public Ltd (hereinafter called xxxx) with the necessary data regarding yourself. Please take all steps to complete, as clearly and precisely as possible, this questionnaire whose aim is to provide Mega Equity Securities & Financial Services Public Ltd the required information in accordance with the provisions of the Investment Services and Activities and Regulated Markets Law of 2007 (Law 144(I)/2007) and CySEC directive DI144-2007-02 so that to enable Mega Equity Securities & Financial Services Public Ltd to assess your requirements and objectives and determine your investment profile so that to offer you the best possible assets to be included in your investment portfolio taking into account the degree of risk you are willing to take, the expected returns and the time period of your investments. It does not contain any contractual term or undertaking but it is merely a guidance tool so as to determine how to best serve you. Please note that this questionnaire is strictly confidential and your responses will not be revealed to a third party without your prior concession.

QUESTION	ANSWER	FOR MEFS USE ONLY
1. What is your regular net annual income		
Less than €30,000		
€30,000 – €50,000		
€50,000 – €100,000		
Over €100,000		
2. What is the best estimate of your Net Worth (Assets minus Liabilities)		
Less than €50,000		
€50,000 – €200,000		
€200,000 – €500,000		
Over 500,000		
3. What is the desired period of your investments (select all that apply)		
Very Short Term → 0-1 Year		
Short Term → 1-3 Years		
Medium Term → 3-5 years		
Long Term → > 5 years		
4. What is your expected yearly return for your investments		
Low → 3% – 5%		
Average → 5% – 8%		
Above average → 8% – 12%		
High → > 12%		
5. Which of the following risk profiles corresponds better to your personal investment objectives		
Preservation of capital: no exposure to market risk		
Secure investment: low exposure to market risk		
Medium term growth: moderate exposure to market risk		
Performance objective: substantial exposure to market risk		
Speculation: high exposure to market risk		
6. What type of financial instruments you are familiar with / you have invested in (select all that apply and mark 1→ familiar with, 2→ invested in)		
Cash Deposits and Government Bonds		
Money market funds		
Real Estate Property		
Capital Guarantee Products		
Bond and bond funds		
Shares		
Mutual Funds of Shares		
Foreign Currency		
Precious Metals		
Derivatives		
Commodities		
7. In what markets have you already invested (select all that apply)		
None, I have not previously done any investments		
Home country		

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Developed markets (e.g. USA and Western Europe)		
Emerging Markets		
8. By which method have you already invested (select all that apply)		
Execution only, I decide on my own where to invest		
Based on investment advice I receive		
Discretionary / Asset Management		
9. What is the value of your current investment portfolio		
Less than €50,000		
€50,000 – €200,000		
€200,000 – €500,000		
Over 500,000		
10. What is the average value of your financial transactions		
Less than €5,000		
€5,000 – €20,000		
€20,000 – €50,000		
€50,000 – €100,000		
Over €100,000		
11a. How many financial transactions have you done yearly on average in each of the last 5 years		
Less than 10		
10 – 50		
50 – 100		
Over 100		
11b. How many of these were done in the last 12 months		
12. Sources of investment portfolio (select all that apply)		
Spare income / Savings		
% of regular income		
Borrowed funds		
13. What is the composition of your investment portfolio		
% Cash Deposits and Government Bonds →		
% Real Estate Property →		
% Shares and other liquid investments →		
14. What is the desired level of liquidity of your investment portfolio		
Fully liquid - all investments can be easily converted to cash		
Mainly liquid - a large % of the investments can be easily converted to cash		
Somewhat liquid - the investments are split between easily convertible to cash and not easily convertible to cash		
Somewhat illiquid - A large % of the investments may not be easily convertible to cash		
Illiquid - Most of the investments may not be easily convertible to cash or there is a penalty for doing so		
15. Primary objectives of investments (select all that apply)		
Capital Preservation		
Produce regular income		
Produce occasional income		
Produce a combination of income and capital growth		
Growth of capital with little or no income		
16. Would you consider any level of gearing / margin for your portfolio		
None		
< 25%		
25% - 50%		
50% - 75%		
Maximum % that can be obtained		
17. When do you plan to withdraw principal (initial capital invested) from your investment portfolio		

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QUESTION	ANSWER	FOR MEFS USE ONLY
In less than 1 year		
Within 1 – 3 years		
Within 3 – 5 years		
After 5 years		
Currently I do not plan to withdraw principal		
18. If you plan to withdraw principal from your investment portfolio, what portion do you anticipate withdrawing annually		
Currently I do not plan to withdraw principal		
Less than 10%		
Between 10% and 25%		
Between 25% and 50%		
Between 50% and 75%		
Between 75% and 100%		
19. What would you consider to be your overall risk level profile		
Not willing to take any investment risk which may result in any loss of initial capital even in adverse market conditions		
Willing to undertake minor investment risk so that to aim mainly for capital preservation. In adverse market conditions minor losses may occur with only minimal percentage of the initial capital been unrecoverable		
Willing to undertake some investment risk and small market volatility in order to achieve average returns. In adverse market conditions moderate losses may occur and a small percentage of the initial capital may be unrecoverable		
Willing to undertake a considerable risk and accept market volatility in order to enhance potential returns. In adverse market conditions, negative returns and possibly unrecoverable loss of a certain percentage of the initial investment capital may occur		
Willing to undertake a large degree of investment risk in order to achieve high potential returns. In adverse market conditions a substantial and possibly unrecoverable loss of a large percentage of the initial investment capital may occur		
20. Overall how would you evaluate your investment knowledge and experience		
Extremely limited – Little or no knowledge		
Limited – I understand the basics		
Average – I understand the main investment principles		
Good – I understand most investment principles		
Very good – I am an investment professional / professional investor / frequent trader		

Please state any investments you would consider inappropriate to invest in, any legal, moral, ethical or tax-related constraints, or any other investment concerns, limitations or conflicts you would like to address and other material information you would like to provide.

CUSTOMER

Name and I.D. / Passport Number

Signature

Date

1. Name:

I.D. / Passport Number:

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RECEIVED BY:	_____	_____	DATE : ___/___/___
	NAME	SIGNATURE	
CHECKED BY:	_____	_____	DATE : ___/___/___
	NAME	SIGNATURE	
COMMENTS :	_____		

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Please state any other material information you would like to provide.

CUSTOMER

Name and I.D. / Passport Number

Signature

Date

1. Name:

I.D. / Passport Number:

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RECEIVED BY: _____ NAME _____ SIGNATURE _____ DATE : __/__/__

CHECKED BY: _____ NAME _____ SIGNATURE _____ DATE : __/__/__

COMMENTS : _____