

ANTI MONEY LAUNDERING DECLARATION FORM FOR COUNTERPARTIES

We **WOOD & Company Financial Services, a.s.**, with registered office at:

náměstí Republiky 1079/1a, Nové Město, 110 00 Praha 1...., ID number:**26503808**..... For the purpose of assurance regulatory obligations imposed on the **J&T INVESTIČNÍ SPOLEČNOST, a.s.** (hereinafter as „JTIS“) by Act No. 253/2008 Coll., on selected measures against legitimisation of proceeds of crime and financing of terrorism (hereinafter „AML Act“), by signing this document declare following:

1. Declaration for AML purposes**1.1. Purpose of the contract/business relation**

- ☒ purchase/sale of unit certificates/investment shares
- ☐ purchase/sale of real estate
- ☐ granting of credit or loan
- ☐ debts and receivables trading
- ☐ purchase of an asset in a business relationship by a commercial counterparty
- ☐ sale of an asset in a business relationship by a commercial counterparty
- ☐ purchase of an asset in a non-recurring transaction by a commercial counterparty
- ☐ sale of an asset in a non-recurring transaction by a commercial counterparty
- ☐ purchase of an asset in a business relationship by a trading counterparty
- ☐ sale of an asset in a non-recurring trade by a trading counterparty
- ☐ provision of a loan with a financial guarantee by a fund to a trading counterparty (trading relationship)
- ☐ other (please specify):

1.1.1. Value of transaction/expected amount of investment

250 000 000 - 500 000 000 yearly

1.2. Main nature of business:

Securities brokerage

1.3. Annual turnover:

1 354 752 998,59 CZK

1.4. Annual net profit:

67 245 000 CZK

1.5. 'Source of funds: 'ii

- ☐ income from business activities – if yes, provide us with details:
- ☐ income from the sale of assets, property sale
- ☐ inheritance and restitution
- ☐ donation or gift
- ☐ return of investment
- ☐ external sources
- ☒ clients' monies
- ☐ others, please specify

Please provide us with details to sources of funds:

The funds transferred to JTIS will represent client monies collected by WOOD & Company in the course of the distribution of investment funds, reflecting the clients' subscriptions to such funds.

1.6. 'iiiSource of wealth:

- ☒ income from business activities – if yes, provide us with details:
Source of wealth derives from retained earnings and accumulated capital of WOOD & Co. from its long-term investment and advisory activities..
- ☐ income from the sale of assets, property sale
- ☐ inheritance and restitution
- ☐ donation or gift
- ☐ return of investment
- ☐ external sources
- ☐ clients' monies
- ☐ others, please specify

Please provide us with details to sources of funds:

1.7. Are you the beneficial owner of the trade? (if you intend to invest on behalf of another entity, please indicate yes)

- ☐ no
- ☒ yes, please specify

WCFS will be offering the fund's shares to its clients. WCFS also made its own investment in the fund.

1.8. International payments:

- ☐ we will make the payment from an account in a foreign bank, please specify the bank and country of seat
.....
- ☐ we will request the payment to be made to a foreign bank account, please specify the bank and country of seat
.....
- ☒ bank account in Czech Republic

1.9. Publicly traded investment instruments

- ☐ we are neither issuer nor member of issuer's group who publicly trades investment instruments
- ☐ we are issuer who publicly trades investment instruments (please provide type of investments instruments)
- ☒ we are member of a issuer's group who publicly trades investment instruments (please provide issuers name, ID, number and type of investment instruments)

2. Politically exposed person^{iv}

Under par. 4 (5) AML act, by signing this document I declare, that:

- ☒ neither customer nor beneficial owner or member of statutory body is a PEP
- ☐ following members of statutory body or beneficial owner is a PEP
- 1) Name:, date of birth:, because:
- 2) Name:, date of birth:, because:

2.1. Source of wealth of PEP 1)

- ☐ income from business activities – if yes, provide us with details:

-
- ☐ employment
- ☐ income from the sale of assets, property sale
- ☐ inheritance and restitution
- ☐ donation or gift
- ☐ return of investment
- ☐ external sources
- ☐ clients' monies
- ☐ others, please specify

.....
Please provide an estimate of the value of the wealth in CZK

.....
Please provide us with more details, if your wealth includes

- ☐ property,
- ☐ more valuable moveables,
- ☐ commodities,

2.2. Source of wealth of PEP 2)

- ☐ income from business activities – if yes, provide us with details:

-
- ☐ employment
- ☐ income from the sale of assets, property sale
- ☐ inheritance and restitution
- ☐ donation or gift
- ☐ return of investment
- ☐ external sources
- ☐ clients' monies
- ☐ others, please specify

.....
Please provide an estimate of the value of the wealth in CZK

.....
Please provide us with more details, if your wealth includes

- ☐ property,
- ☐ more valuable moveables,
- ☐ commodities,

3. Attachments/By signing this document, we are obliged to provide JTIS with following documents:

3.1. Extract from commercial or other public register not older than 3 months (not mandatory provided that clients is registered at public register in the Czech Republic)

3.2. Documents providing ownership and managing structure

4. Obligation to inform on invalidity of the statement/By signing this document, we are obliged to inform JTIS without undue delay, if any aforementioned declaration expires. We are aware of the fact that JTIS is entitled to withdraw from signed contract in case of breach of obligation stated in the previous sentence.

5. Declaration of validity/Any latter declaration repeals previous declaration.

6. Content of declaration

- 6.1. The signee confirms that the information provided in the declaration is true and complete. The Client is aware that he is liable for damage caused by incorrect or incomplete provision of data to J&T INVESTIČNÍ SPOLEČNOSTI, a.s. including liability for damage caused by a breach of the obligation to inform about a change in the facts, which are the content of the provided declaration in this document.
- 6.2. The signee is aware that all the above information in the questionnaire/declaration is used by J&T INVESTIČNÍ SPOLEČNOSTI, a.s. to identify and control the client pursuant to Act No. 253/2008 Coll., on Selected Measures against Legitimation of Proceeds of Crime and Financing of Terrorism, as amended, and that if he does not answer any of the questions or answers to any of the questions incorrectly or incompletely, J&T INVESTIČNÍ SPOLEČNOST, a.s. is entitled to refuse to carry out a transaction with the client or to enter into a business relationship.
- 6.3. The signee confirms that the client has been informed that J&T INVESTIČNÍ SPOLEČNOST, a.s. is obliged to process the above data due to the fulfillment of legal obligations pursuant to Act No. 110/2019 Coll., on the processing of personal data and Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC. Information on the processing of personal data and related rights is published on the J&T INVESTIČNÍ SPOLEČNOST, a.s. website <https://www.jtis.cz/poradna/dokumenty/ochrana-osobnich-udaju>.
- 6.4. The signee confirms that he read this declaration, that he filled in its contents in accordance with his best knowledge and that he has been provided with explanation of all questions by J&T INVESTIČNÍ SPOLEČNOST, a.s.

In Prague, dated 11.10.2015

Firm WOOD & Company Financial Services, a.s.
Name Petr Musil
Function místopředseda představenstva

signature

Petr Musil
místopředseda představenstva /
Vice-Chairman of the Board of Directors
WOOD & Company Financial Services, a.s.

ⁱ J&T INVESTIČNÍ SPOLEČNOST, a.s. is entitled to request from the investor additional information and other documents proving the investor's statement of the source of asset, such as tax returns, financial statements, confirmation of the employer or other payer of the income, the relevant contract, court decision, dividend payment decision, proof of lottery winnings apod.

ⁱⁱ Source of funds refers to the economic activity which generates the total net worth of the counterparty.

ⁱⁱⁱ Source of wealth refers to the economic activity which generates the total net worth of the client.

^{iv} A politically exposed person shall mean:

a) a natural person in a prominent public position and with nation-wide responsibilities, such as a head of state, a head of government, a minister and deputy or assistant minister, a member of the parliament, a member of a supreme court, a constitutional court or another high-level judicial body, decisions of which are not subject to further appeal, except in exceptional circumstances, a member of a court of auditors or a central bank board, a high-ranking military officer, a member of an administrative, supervisory, or management board of a state-owned business, an ambassador or chargé d'affaires, or a natural person, having similar responsibilities on a Community or international level; all the above for the entire period of the position and for one year after the termination of such position, and provided the person:

1. has residence outside the territory of the Czech Republic, or
2. holds such important public position outside the Czech Republic,

b) a natural person, who:

1. is the spouse, partner equivalent to the spouse or a parent of the person under letter a),
2. is a son or a daughter of the person under letter a) or a spouse or a partner of such son or daughter (a son or daughter in law),
3. is a business partner or a beneficial owner of the same legal person, a trust, or any other business entity under a foreign law, as the person under letter a) or is known to the obliged entity as a person in a close business relationship with a person under letter a), or 16) Section 20(f) et seq., Civil Code. Act No. 83/1990 Coll., on Public associations, as amended.
4. is a business partner or a beneficial owner of the same legal person, a trust, or any other business entity under a foreign law known to have been established in benefit of a person under letter a).

