

Pursuant to the provisions of the Article 8, paragraph 1 and Article 15, paragraph 1 of the Act on Croatian Financial Services Supervisory Agency (Official Gazette 140/05) and Article 115 paragraph 3 of the Capital Market Act (Official Gazette 88/08, 146/08 and 74/09), Croatian Financial Services Supervisory Agency issued at its session on 4 March 2011

**ORDINANCE ON SUPERVISORY REPORTS FOR LEGAL PERSONS  
AUTHORISED TO PROVIDE INVESTMENT SERVICES AND ENGAGE IN  
INVESTMENT ACTIVITIES**

**INTRODUCTORY PROVISIONS**

**Article 1**

This Ordinance shall regulate the content, form and manner of and deadlines for the compilation and submission of supervisory reports produced by legal persons authorised to provide investment services and engage in investment activities in order to inform the Croatian Financial Services Supervisory Agency (hereinafter referred to as: the Agency) of their efficacy in providing investment services and conducting investment activities, as well as for the purposed of research, development and reporting to clients and the public.

**CONTENT OF SUPERVISORY REPORTS**

**Article 2**

- (1) The content of supervisory reports referred to in Article 1 of this Ordinance shall be prescribed by the forms (Annex I) which form an integral part of this Ordinance, and relate to:
  - a) General Information on the Legal Person (OP Form),
  - b) Report on Income and Expenditure from Investment Services and Investment Activities (PR Form),
  - c) Report on Client Funds Management (US Form),
  - d) Report on Portfolio Management: Structure of Assets, Clients and Fees (UP Form),
  - e) General Information on Transaction Accounts (TR Form),
  - f) Report on Situation of Clients' Money Assets (NS Form- assets from persons providing orders and NS Form- custody services clients' assets),
  - g) Report on Transactions at the Accounts for Business Purposes (UI Form),
  - h) Report on Realised Transactions and Calculated Income related to providing certain Investment Services (PP Form), and given/provided credits and loans (ZK form).
  
- (2) For the purposes of research and development of investment services and activities, as well as for the purpose of reporting to clients and the public, the Agency shall use data included in prescribed financial reports and defined supervisory reports, whereas in exceptional circumstances the Agency may use the data included in reports whose contents, form and deadlines shall be defined depending on the purpose.

## ENTITIES OBLIGED TO COMPILE SUPERVISORY REPORTS

### Article 3

- (1) Supervisory reports referred to in Article 2, Paragraph 1, points a-d shall be compiled by investment firms, credit institutions and other legal persons authorised according to the Capital Market Act, to provide investment services and engage in investment activities.
- (2) Supervisory reports referred to in Article 2, Paragraph 1, points e-f shall be compiled by investment firms and credit institutions authorised to provide investment services and engage in investment activities.
- (3) Supervisory reports referred to in Article 2, Paragraph 1, points g-h shall be compiled by investment firms authorised to provide investment services and engage in investment activities.
- (4) By way of derogation from paragraph 1 of this Article, investment firms shall not be obliged to submit supervisory report General Information on the Legal Person (OP form).

## METHOD OF SUBMISSION

### Article 4

Supervisory reports referred to in Article 3 of this Ordinance shall be submitted to the Agency exclusively electronically, in the manner defined in the technical instructions of the Agency.

## DEADLINES FOR SUBMISSION

### Article 5

- (1) Supervisory reports referred to in Article 2, paragraph 1, points a) to c) of this Ordinance, shall be compiled and submitted for the business year and reporting period during the business year.
- (2) For the purpose of compiling and submitting of reports referred to in paragraph 1 of this Ordinance, the business year shall be equal to the calendar year, and the reporting periods during the year shall comprise three-month, six-month and nine-month periods.
- (3) The reports referred to in paragraph 1 of Article shall be submitted to the Agency within thirty (30) days from the last day of the reporting period.
- (4) Supervisory reports referred to in Article 2, paragraph 1, points d) and h) shall be compiled and submitted to the Agency for the reporting periods during the business year equal to the monthly period, latest within seven (7) days from the last day of the reporting period.
- (5) Supervisory reports referred to in Article 2, paragraph 1, point e) shall be compiled and submitted to the Agency immediately after the obligation occurred, as well as after each change in in data appearing within the report.
- (6) Supervisory reports referred to in Article 2, paragraph 1, points f) and g) shall be compiled and submitted to the Agency for each working day, and shall be submitted to the Agency for reporting period equal to the calendar week, latest at following working day at 12.00 AM day after the end of the reporting period.

## Article 6

Obligation to apply the supervisory reports referred to in Article 2, paragraph 1, points d) to h) begins at 1 April 2011.

## TRANSITIONAL AND FINAL PROVISIONS

### Article 7

On the day of entry into force of this Ordinance, the Ordinance on supervisory reports for legal persons authorised to provide investment services and engage in investment activities (Official Gazette 20/10) shall cease to have effect.

### Article 8

This Ordinance shall enter into force on the day of its publication in the Official Gazette.

President of the Management Board

Ante Samodol

CLASS: 011-02/11-04/7

REGNO: 326-01-11-1

Zagreb, 3 March 2011

## ANNEX 1. Supervisory Reports- Forms

1. **OP Form-** General Information on the Legal Person
2. **PR Form-** Report on Income and Expenditure from Investment Services and Investment Activities
3. **US Form-** Report on Client Funds Management (US Form)
4. **UP Form-** Report on Portfolio Management: Structure of Assets, Clients and Fees
5. **TR Form-** General Information on Transaction Accounts
6. **NS Form (assets from persons providing orders)-** Report on Situation of Clients' Money Assets
7. **NS Form (custody services clients' assets)-** Report on Situation of Clients' Money Assets
8. **UI Form-** Report on Transactions at the Accounts for Business Purposes
9. **PP Form-** Report on Realised Transactions and Calculated Income related to providing certain Investment Services
10. **ZK form-** Report on given/provided credits and loans

## OP Form- General Information on the Legal Person

|  |  |
|--|--|
| <b>OP Form – General Information on the Legal Person</b>   |  |
|  |  |
| Name of the legal person   |  |
| Identification number at the Agency  |  |
| MBS (Company registration number)  |  |
| OIB (Personal identification number)   |  |
| Reporting period   |  |
| Address (postcode, place, street and number)   |  |
| Phone and fax  |  |
| E-mail address   |  |
| Web page   |  |
| Date of entry into court registry (day, month, year)   |  |
| Name and surname of the President and the members of the Management Board  |  |
| Name and surname of the President and the members of the Supervisory Board   |  |
| Total amount of the initial capital  |  |
| Five largest shareholders/stakeholders (name, surname and address of natural person, or company name and head office of the legal person; percentage of shares in the ownership) |  |
| Number of employees  |  |
| Name and surname of persons authorised to provide investment services and engage in investment activities  |  |
| Name and surname of authorised brokers and investment advisers   |  |
| Name and surname of tied agents  |  |
| Name of the audit firm which audited the previous annual financial reports   |  |
| Business bank of the legal person  |  |
| Account number   |  |

**PR Form- Report on Income and Expenditure from Investment Services and Investment Activities**

| <b>PR Form – Report on Income and Expenditure from Investment Services and Investment Activities</b>  |               |                |              |                |
|---|---------------|----------------|--------------|----------------|
| Name of legal person  |               |                |              |                |
| Reporting period  |               |                |              |                |
| Identification number at the Agency   |               |                |              |                |
| Position  | Previous year |                | Current year |                |
|   | Cumulative    | Current period | Cumulative   | Current period |
| <b>I. Income from investment services and activities</b>  |               |                |              |                |
| 1. Income from reception and transmission of orders in relation to one or more financial instruments for execution of orders on behalf of clients |               |                |              |                |
| 2. Income from execution of orders on behalf of clients   |               |                |              |                |
| 3. Income from dealing on own account   |               |                |              |                |
| 4. Income from portfolio management   |               |                |              |                |
| 5. Income from investment advice  |               |                |              |                |
| 6. Income from underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis                           |               |                |              |                |
| 7. Income from placing of financial instruments without a firm commitment basis   |               |                |              |                |
| 8. Income from operation of Multilateral Trading Facilities   |               |                |              |                |
| <b>II Income from ancillary services</b>  |               |                |              |                |
| 1. Income from safekeeping and administration of financial instruments for the account of clients, including custodianship                        |               |                |              |                |
| 2. Depository bank fee  |               |                |              |                |
| 3. Income from credits or loans to an investor to allow him to carry out a transaction  |               |                |              |                |
| 4. Income from provision of advice to undertakings on capital structure, industrial strategy and related matters                                  |               |                |              |                |
| 5. Income from foreign exchange services connected to the provision of investment services  |               |                |              |                |
| 6. Other income from ancillary services   |               |                |              |                |
| <b>Total income</b>   |               |                |              |                |
| <b>III Expenditure from commissions and fees</b>  |               |                |              |                |

|  |  |  |  |  |
|--|--|--|--|--|
| 1. Expenses for regulated market services  |  |  |  |  |
| 2. Expenses for MTF services   |  |  |  |  |
| 3. Expenses for clearing institution services  |  |  |  |  |
| 4. Expenses for other investment company services  |  |  |  |  |
| 5. Expenses for tied agent   |  |  |  |  |
| 6. Expenses for fees to the Investor Compensation Scheme                                   |  |  |  |  |
| 7. Value adjustment of fees and commissions receivable                                     |  |  |  |  |
| 8. Realised and unrealised losses on financial assets at fair value through profit or loss |  |  |  |  |
| 9. Other expenses related to investment services   |  |  |  |  |
| <b>Total expenditure</b>   |  |  |  |  |
| <b>Difference in income and expenditure</b>  |  |  |  |  |

**US Form- Report on Client Funds Management (US Form)**

|  |  |                       |          |                      |       |
|--|--|-----------------------|----------|----------------------|-------|
| <b>US Form – Report on Client Funds Management</b>   |  |                       |          |                      |       |
| Name of the legal person   |  |                       |          |                      |       |
| Reporting period   |  |                       |          |                      |       |
| Identification number at the Agency  |  |                       |          |                      |       |
|  |  | Financial instruments | Cash     |                      | Total |
|  |  |                       | Deposits | Funds in the account |       |
| 1. Portfolio management  |  |                       |          |                      |       |
| 2. Financial instruments custody   | 2.1. Assets under portfolio management |                       |          |                      |       |
|  | 2.2. Other assets                      |                       |          |                      |       |
| 3. Funds on client's account for purchase or sale of financial instruments   |  |                       |          |                      |       |
| Note   |  |                       |          |                      |       |
| 1. Portfolio management – client funds related <b>exclusively</b> to the portfolio management agreement according to Article 5, paragraph 1, point 4 of the Capital Market Act (Official Gazette 88/08, 146/08, 74/09)   |  |                       |          |                      |       |
| 2. Financial instruments custody – client funds that may be managed by the legal person by client's order, related to ancillary services agreement according to Article 5, paragraph 2, point 1 of the Capital Market Act (Official Gazette 88/08, 146/08, 74/09 ) |  |                       |          |                      |       |
| Under 2.1. - Value of assets under portfolio management in the custody account shall be entered  |  |                       |          |                      |       |
| Funds in clients' account for purchase or sale of financial instruments – other client funds under the management of the legal person  |  |                       |          |                      |       |
|  |  |                       |          |                      |       |
| Report compilation date  |  |                       |          |                      |       |
| Compiled by  |  |                       |          |                      |       |
| Phone  |  |                       |          |                      |       |
| Authorised person  |  |                       |          |                      |       |

## UP Form- Report on Portfolio Management: Structure of Assets, Clients and Fees

| UP Form- Report on Portfolio Management: Structure of Assets, Clients and Fees |  |                              |          |                 |             |
|--|--|------------------------------|----------|-----------------|-------------|
| Legal person:  |  |                              |          |                 |             |
| Reporting period:  |  |                              |          |                 |             |
| OIB:   |  |                              |          |                 |             |
|  |  | Financial instruments        | Deposits | Cash at account | Total       |
| <b>I.</b>  | <b>PORTFOLIO MANAGEMENT</b>                                  | <b>0,00</b>                  |          |                 | <b>0,00</b> |
| 1.1.   | CUSTODY FOR FINANCIAL INSTRUMENTS                            |                              |          |                 | 0,00        |
| <b>II.</b>   | <b>STRUCTURE OF FINANCIAL INSTRUMENTS</b>                    | Value at reporting day (HRK) |          |                 |             |
| 2.1.   | EQUITY SECURITIES  | 0,00                         |          |                 |             |
| 2.1.1.   | Domestic   |                              |          |                 |             |
| 2.1.2.   | Foreign  |                              |          |                 |             |
| 2.2.   | SHARES IN FUNDS  | 0,00                         |          |                 |             |
| 2.2.1.   | Domestic   |                              |          |                 |             |
| 2.2.2.   | Foreign  |                              |          |                 |             |
| 2.3.   | GOVERNMENT BONDS   |                              |          |                 |             |
| 2.4.   | TREASURY BILLS BY MINISTRY OF FINANCE OF REPUBLIC OF CROATIA |                              |          |                 |             |
| 2.5.   | CORPORATE BONDS  |                              |          |                 |             |
| 2.6.   | COMMERCIAL BILLS   |                              |          |                 |             |
| 2.7.   | OTHERS   |                              |          |                 |             |
| <b>III.</b>  | <b>STRUCTURE OF CLIENTS</b>                                  |                              |          |                 |             |
| 3.1.   | TOTAL NUMBER OF CLIENTS                                      | 0                            |          |                 |             |
| 3.1.1.   | NATURAL PERSONS  | 0                            |          |                 |             |
| 3.1.1.1.   | Retail investors   |                              |          |                 |             |
| 3.1.1.2.   | Professional investors                                       |                              |          |                 |             |
| 3.1.2.   | LEGAL PERSONS  | 0                            |          |                 |             |
| 3.1.2.1.   | Retail investors   |                              |          |                 |             |
| 3.1.2.2.   | Professional investors                                       |                              |          |                 |             |
| <b>IV</b>  | <b>CALCULATED FEE FOR PORTFOLIO MANAGEMENT</b>               | 0,00                         |          |                 |             |
| 4.1.   | Brokerage fee  |                              |          |                 |             |
| 4.2.   | Management fee   |                              |          |                 |             |
| 4.3.   | Efficiency fee   |                              |          |                 |             |
| 4.4.   | Entrance/exit fee  |                              |          |                 |             |
| 4.5.   | Other fees related to portfolio management                   |                              |          |                 |             |



**TR Form- General Information on Transaction Accounts**

| <b>TR Form- General Information on Transaction Accounts</b> |  |
|---|--|
| Legal person:   |  |
| OIB:  |  |
| Reporting period:   |  |

| <b>Accounts for business purposes</b> |   |                                   |                      |                           |                                      |
|---------------------------------------|---|-----------------------------------|----------------------|---------------------------|--------------------------------------|
| <b>I.</b>                             | <b>Accounts of persons providing orders</b> | <b>Name of credit institution</b> | <b>Currency code</b> | <b>Authorised persons</b> | <b>Function of authorised person</b> |
| 1.                                    |   |                                   |                      |                           |                                      |
| 2.                                    |   |                                   |                      |                           |                                      |
| 3.                                    |   |                                   |                      |                           |                                      |
| 4.                                    |   |                                   |                      |                           |                                      |
| 5.                                    |   |                                   |                      |                           |                                      |
| 6.                                    |   |                                   |                      |                           |                                      |
| 7.                                    |   |                                   |                      |                           |                                      |
| 8.                                    |   |                                   |                      |                           |                                      |
| 9.                                    |   |                                   |                      |                           |                                      |
| 10.                                   |   |                                   |                      |                           |                                      |
| <b>II.</b>                            | <b>Custody accounts</b>                     | <b>Name of credit institution</b> | <b>Currency code</b> | <b>Authorised persons</b> | <b>Function of authorised person</b> |
| 1.                                    |   |                                   |                      |                           |                                      |
| 2.                                    |   |                                   |                      |                           |                                      |
| 3.                                    |   |                                   |                      |                           |                                      |
| 4.                                    |   |                                   |                      |                           |                                      |
| 5.                                    |   |                                   |                      |                           |                                      |
| 6.                                    |   |                                   |                      |                           |                                      |
| 7.                                    |   |                                   |                      |                           |                                      |
| 8.                                    |   |                                   |                      |                           |                                      |
| 9.                                    |   |                                   |                      |                           |                                      |
| 10.                                   |   |                                   |                      |                           |                                      |
| <b>III.</b>                           | <b>Regular accounts</b>                     | <b>Name of credit institution</b> | <b>Currency code</b> |                           |                                      |
| 1.                                    |   |                                   |                      |                           |                                      |
| 2.                                    |   |                                   |                      |                           |                                      |
| 3.                                    |   |                                   |                      |                           |                                      |
| 4.                                    |   |                                   |                      |                           |                                      |
| 5.                                    |   |                                   |                      |                           |                                      |

**NS Form (assets from persons providing orders)- Report on Situation of Clients' Money Assets**

**NS Form (assets from persons providing orders)- Report on Situation of Clients' Money Assets**

**Legal Person:**

**OIB:**

| Reporting period: |   | dd.mm.yyyy.          | dd.mm.yyyy. | dd.mm.yyyy.          | dd.mm.yyyy. |                      |             |                      |             |        |
|-------------------|---|----------------------|-------------|----------------------|-------------|----------------------|-------------|----------------------|-------------|--------|
| Code              | Description:  | STATEMENT OF ACCOUNT |             | STATEMENT OF ACCOUNT |             | STATEMENT OF ACCOUNT |             | STATEMENT OF ACCOUNT |             |        |
|                   | List of accounts by persons providing orders  | Currency code        | In CURRENCY | In HRK               | In CURRENCY | In HRK               | In CURRENCY | In HRK               | In CURRENCY | In HRK |
| 1.                |   |                      |             |                      |             |                      |             |                      |             |        |
| 2.                |   |                      |             |                      |             |                      |             |                      |             |        |
| 3.                |   |                      |             |                      |             |                      |             |                      |             |        |
| 4.                |   |                      |             |                      |             |                      |             |                      |             |        |
| 5.                |   |                      |             |                      |             |                      |             |                      |             |        |
| 6.                |   |                      |             |                      |             |                      |             |                      |             |        |
| 7.                |   |                      |             |                      |             |                      |             |                      |             |        |
| 8.                |   |                      |             |                      |             |                      |             |                      |             |        |
| 9.                |   |                      |             |                      |             |                      |             |                      |             |        |
| 10.               |   |                      |             |                      |             |                      |             |                      |             |        |
| 11.               |   |                      |             |                      |             |                      |             |                      |             |        |
| 12.               |   |                      |             |                      |             |                      |             |                      |             |        |
| 13.               |   |                      |             |                      |             |                      |             |                      |             |        |
| 14.               |   |                      |             |                      |             |                      |             |                      |             |        |
| 15.               |   |                      |             |                      |             |                      |             |                      |             |        |
| II.               | Statement of money assets' for persons providing orders at business accounts opened at credit institutions          |                      | 0,00        |                      | 0,00        |                      | 0,00        |                      | 0,00        |        |
| III.              | Statement of money assets' for persons providing orders in internal records of the investment firms (by currencies) |                      | 0,00        |                      | 0,00        |                      | 0,00        |                      | 0,00        |        |
|                   |   |                      |             |                      |             |                      |             |                      |             |        |
|                   |   |                      |             |                      |             |                      |             |                      |             |        |
|                   |   |                      |             |                      |             |                      |             |                      |             |        |
|                   |   |                      |             |                      |             |                      |             |                      |             |        |
| IV.               | DISCREPANCY   |                      | 0,00        |                      | 0,00        |                      | 0,00        |                      | 0,00        |        |

|                                      |  |  |  |  |
|--------------------------------------|--|--|--|--|
| <b>NOTES RELATED TO DISCREPANCY:</b> |  |  |  |  |
|--------------------------------------|--|--|--|--|

**NS Form (custody services clients' assets)- Report on Situation of Clients' Money Assets**

|   |  |
|---|--|
| <b>NS Form (custody services clients' assets)- Report on Situation of Clients' Money Assets</b> |  |
| <b>Legal Person:</b>  |  |
| <b>OIB:</b>   |  |

| Reporting period: |  | dd.mm.yyyy.          | dd.mm.yyyy. | dd.mm.yyyy.          | dd.mm.yyyy. |        |             |        |             |        |
|-------------------|--|----------------------|-------------|----------------------|-------------|--------|-------------|--------|-------------|--------|
| Code              | Description:   | STATEMENT OF ACCOUNT |             | STATEMENT OF ACCOUNT |             |        |             |        |             |        |
| I.                | List of custody accounts   | Currency code        | In CURRENCY | In HRK               | In CURRENCY | In HRK | In CURRENCY | In HRK | In CURRENCY | In HRK |
| 1.                |  |                      |             |                      |             |        |             |        |             |        |
| 2.                |  |                      |             |                      |             |        |             |        |             |        |
| 3.                |  |                      |             |                      |             |        |             |        |             |        |
| 4.                |  |                      |             |                      |             |        |             |        |             |        |
| 5.                |  |                      |             |                      |             |        |             |        |             |        |
| 6.                |  |                      |             |                      |             |        |             |        |             |        |
| 7.                |  |                      |             |                      |             |        |             |        |             |        |
| 8.                |  |                      |             |                      |             |        |             |        |             |        |
| 9.                |  |                      |             |                      |             |        |             |        |             |        |
| 10.               |  |                      |             |                      |             |        |             |        |             |        |
| 11.               |  |                      |             |                      |             |        |             |        |             |        |
| 12.               |  |                      |             |                      |             |        |             |        |             |        |
| 13.               |  |                      |             |                      |             |        |             |        |             |        |
| 14.               |  |                      |             |                      |             |        |             |        |             |        |
| 15.               |  |                      |             |                      |             |        |             |        |             |        |
| II.               | Statement of money assets' for clients at custody accounts opened at credit institutions                               |                      | 0,00        |                      | 0,00        |        | 0,00        |        | 0,00        |        |
| III.              | Statement of money assets' for clients at custody accounts in internal records of the investment firms (by currencies) |                      | 0,00        |                      | 0,00        |        | 0,00        |        | 0,00        |        |
|                   |  |                      |             |                      |             |        |             |        |             |        |
|                   |  |                      |             |                      |             |        |             |        |             |        |
|                   |  |                      |             |                      |             |        |             |        |             |        |
|                   |  |                      |             |                      |             |        |             |        |             |        |
| IV.               | DISCREPANCY  |                      | 0,00        |                      | 0,00        |        | 0,00        |        | 0,00        |        |

|                                      |  |  |  |  |
|--------------------------------------|--|--|--|--|
| <b>NOTES RELATED TO DISCREPANCY:</b> |  |  |  |  |
|--------------------------------------|--|--|--|--|

## UI Form- Report on Transactions at the Accounts for Business Purposes

| UI Form- Report on Transactions at the Accounts for Business Purposes |  |             |             |             |             |             |
|---|--|-------------|-------------|-------------|-------------|-------------|
| Legal person:   |  |             |             |             |             |             |
| OIB:  |  |             |             |             |             |             |
| Reporting period:   |  | Date        | Date        | Date        | Date        | Date        |
| <b>I.</b>   | <b>MONEY ASSETS PAYMENTS TO THE ACCOUNT OF PERSONS PROVIDING ORDERS AND CUSTODY ACCOUNTS</b> | <b>0,00</b> | <b>0,00</b> | <b>0,00</b> | <b>0,00</b> | <b>0,00</b> |
| 1.  | PAYMENTS FROM PERSONS PROVIDING ORDERS   | 0,00        | 0,00        | 0,00        | 0,00        | 0,00        |
| 1.1.  | Clients  |             |             |             |             |             |
| 1.2.  | Relevant persons   |             |             |             |             |             |
| 2.  | PAYMENTS FROM REGULAR ACCOUNT OF INVESTMENT FIRM   | 0,00        | 0,00        | 0,00        | 0,00        | 0,00        |
| 2.1.  | For trade of its own behalf  |             |             |             |             |             |
| 2.2.  | Loans to clients   |             |             |             |             |             |
| 2.3.  | Other payments from regular account of investment firm                                       |             |             |             |             |             |
| 3.  | PAYMENTS BY CENTRAL DEPOSITORY AND CLEARING COMPANY  |             |             |             |             |             |
| 4.  | PAYMENTS BY CUSTODIANS   |             |             |             |             |             |
| 5.  | OTHER INCOMING PAYMENTS  |             |             |             |             |             |
| <b>II.</b>  | <b>PAYMENTS OF MONEY ASSETS FROM ACCOUNTS BY PERSONS GIVING ORDERS AND CUSTODY ACCOUNTS</b>  | <b>0,00</b> | <b>0,00</b> | <b>0,00</b> | <b>0,00</b> | <b>0,00</b> |
| 1.  | PAYMENTS TO PERSONS GIVING ORDERS  | 0,00        | 0,00        | 0,00        | 0,00        | 0,00        |
| 1.1.  | Clients  |             |             |             |             |             |
| 1.2.  | Relevant persons   |             |             |             |             |             |
| 2.  | PAYMENTS TO REGULAR ACCOUNT OF INVESTMENT FIRM   | 0,00        | 0,00        | 0,00        | 0,00        | 0,00        |
| 2.1.  | For sold financial instruments   |             |             |             |             |             |
| 2.2.  | Fees and commissions   |             |             |             |             |             |
| 2.3.  | Return of loans given to clients   |             |             |             |             |             |
| 2.4.  | Other payments to regular account of investment firm   |             |             |             |             |             |
| 3.  | PAYMENTS TO CENTRAL DEPOSITORY AND CLEARING COMPANY  |             |             |             |             |             |
| 4.  | PAYMENTS TO CUSTODIANS   |             |             |             |             |             |
| 5.  | OTHER PAYMENTS   |             |             |             |             |             |
| <b>III</b>  | <b>NET AMOUNT</b>  | <b>0,00</b> | <b>0,00</b> | <b>0,00</b> | <b>0,00</b> | <b>0,00</b> |

**PP Form-** Report on Realised Transactions and Calculated Income related to providing certain Investment Services

|  |  |
|--|--|
| <b>PP Form-</b> Report on Realised Transactions and Calculated Income related to providing certain Investment Services |  |
| <b>Legal Person:</b>   |  |
| <b>OIB:</b>  |  |
| <b>Reporting period:</b>   |  |

|             |  |             |
|-------------|--|-------------|
| <b>I.</b>   | <b>REALISED TRANSACTIONS AT CAPITAL MARKETS</b>                              | <b>0,00</b> |
| 1           | DOMESTIC CAPITAL MARKETS   | 0,00        |
| 1.1.        | Buying   |             |
| 1.2.        | Selling  |             |
| 2           | FOREIGN CAPITAL MARKETS  | 0,00        |
| 2.1.        | Buying   |             |
| 2.2.        | Selling  |             |
| <b>II.</b>  | <b>OVERVIEW OF REALISED TRANSACTIONS</b>                                     | <b>0,00</b> |
| 1.          | REGULAR CLIENTS  |             |
| 1.1.        | Volume by personal transactions  |             |
| 2.          | PORTFOLIO CLIENTS  |             |
| 3.          | FROM OWN TRADE   |             |
| <b>III.</b> | <b>FEES AND COMMISSIONS RELATED TO PROVIDING CERTAIN INVESTMENT SERVICES</b> | <b>0,00</b> |
| <b>1</b>    | <b>Income from accepting and transferring orders</b>                         |             |
| <b>2</b>    | <b>Income from executing orders for clients</b>                              |             |
| <b>3</b>    | <b>Income from storage and administration of financial instruments</b>       | <b>0,00</b> |
| 3.1.        | Storage fee  |             |
| 3.2.        | Transaction costs  |             |
| 3.3.        | Others   |             |
| <b>4</b>    | <b>Income from portfolio management</b>                                      | <b>0,00</b> |
| 4.1.        | Brokerage fee for portfolio management                                       |             |
| 4.2.        | Management fee   |             |
| 4.3.        | Efficiency fee   |             |
| 4.4.        | Entrance/exit fee  |             |
| 4.5.        | Others   |             |

**ZK form-** Report on given/provided credits and loans

|  |  |
|--|--|
| <b>ZK form-</b> Report on given/provided credits and loans |  |
| <b>Legal Person:</b>                                       |  |
| <b>OIB:</b>  |  |
| <b>Reporting period:</b>                                   |  |

|            |   |  |
|------------|---|--|
| <b>I.</b>  | <b>MARGIN CREDITS</b>                     |  |
| 1.         | TOTAL APPROVED MARGIN CREDITS             |  |
| 2.         | TOTAL COVERAGE OF APPROVED MARGIN CREDITS |  |
| 3.         | REALISED INCOME                           |  |
| <b>II.</b> | <b>LOANS/CREDITS</b>                      |  |
| 1.         | INVESTMENT FIRM'S GIVEN LOANS             |  |
| 1.1.       | To natural persons                        |  |
| 1.1.1.     | To related natural persons                |  |
| 1.2.       | To legal persons                          |  |
| 1.2.1.     | To related legal persons                  |  |
| 2.         | ACCEPTED LOANS/CREDITS                    |  |
| 2.1.       | From natural persons                      |  |
| 2.1.1.     | From related natural persons              |  |
| 2.2.       | From legal persons                        |  |
| 2.2.1.     | From related legal persons                |  |