

Munkedamsveien 62 C | 0270 Oslo | Norway
Phone: +47 22 01 63 00
Company reg. no. 942 274 238

Registration of sustainability preferences is optional. If this “sustainability preferences” form is not returned, Clarksons Securities AS assume that the client does not have sustainability preferences that CS advisers shall take into account when providing investment advice.

Clarksons Securities AS (CS) is required by EU legislation to map whether clients have “sustainability preferences” for their investment advice. Sustainability preferences relates to whether a client want investment advice directed towards financial instruments defined as sustainable in accordance with the definitions in the legislation. The term “sustainability preferences” is legally defined and refers to whether a client want all or a portion of its investments to be in financial instruments/financial products that:

- I. are environmentally sustainable as defined by the EU Taxonomy,
- II. are sustainable with a particular emphasis on environmental, social, and corporate governance conditions (ESG) as defined by the SFDR, and/or
- III. consider Principal Adverse Impacts on sustainability factors (PAIs).

Registration of sustainability preferences is optional, and clients can change their preferences at any time. Please see more information about sustainability preferences here: <https://securities.clarksons.com/Investment-Banking/Compliance>

1. CLIENT INFORMATION

Name/Company name:	
National ID number (for private persons):	
Company number (for companies):	

2. SUSTAINABILITY PREFERENCES

I/We want CS advisers to take my/our sustainability preferences into account when providing investment advice:

- No
- Yes - CS would point out that taking sustainability preferences into account will narrow the range of investment opportunities and may negatively affect the risk and return on potential investments. Due to the fact that not all companies that issue or create financial instruments report on sustainability yet, we may not be able to give specific advice within your preferences. As sustainability data becomes available from such companies, we will be able to advise within a greater range of financial instruments.

Questions 3-5 are only to be filled out if YES to question 1.

3. SUSTAINABILITY PREFERENCES WITH REFERENCE TO THE EU TAXONOMY

This includes financial instruments that fall within an EU classification system for economic activities, and which are considered environmentally sustainable (the taxonomy). It involves contributing significantly to at least one of six environmental goals below and not having any significant negative impact on the other five environmental goals, as well as meeting minimum requirements for social and governance conditions:

1. Reducing and preventing greenhouse gas emissions
2. Climate adaptation
3. Sustainable use and protection of water and marine resources
4. Conversion to a circular economy, waste prevention and recycling
5. Prevention and control of pollution
6. Protecting and restoring natural diversity and ecosystems

I/we want investments to be environmentally sustainable according to the EU taxonomy:

- No
- Yes

If yes, what minimum proportion of investment advice from CS shall take into account your sustainable preferences according to the EU taxonomy:

_____ %

4. SUSTAINABILITY PREFERENCES WITH REFERENCE TO THE SFDR REGULATION

This includes financial instruments that are considered sustainable investments according to the SFDR regulation. That is, investments in economic activity that contribute positively to environmental goals (e.g. preventing climate change) or social goals (e.g. promoting human rights), provided that such investments are not significantly detrimental to any of the goals, and that the enterprise in which the investment is made follows good corporate governance practice.

I/we want investments to be sustainable, with particular focus on environmental, social and business ethics factors (ESG) according to the SFDR regulation:

- No
- Yes

If yes, what minimum proportion of investment advice from CS shall take into account your sustainable preferences according to the SFDR regulation:

_____ %

5. SUSTAINABILITY PREFERENCES WITH REFERENCE TO PAI (PRINCIPAL ADVERSE IMPACT)

This includes financial instruments that take into account "significant negative impacts on sustainability factors" according to the SFDR regulation, including the most important negative impacts on sustainability factors such as the environment, social conditions and corporate governance.

I/We want investments to emphasise avoidance of significant negative sustainability impacts - PAI (Principal Adverse Impact):

No

Yes

If yes, what minimum proportion of investment advice from CS shall take into account your sustainable preferences to PAI:

_____ %

6. SIGNATURES

The undersigned confirm that the information provided above is accurate and complete and that I will notify CS if there is any material change in the information provided.

CS will, to the best of our ability, take the feedback into account in our investment advice without necessarily having knowledge of your total portfolio. We will fulfill your sustainability preferences as far as possible.

Place/Date: _____

Signature: _____

Name in capital letters: _____

Title (if applicable) _____