

Individual KYC

A. Account Information

Account Number Account Opening Date

B. Personal Information

Full Name Gender Male Female
 Place & Date of Birth Citizenship
 Mother's Maiden Name Resident Non-resident
 Civil Registry Number ID/Passport Number

Client's Detailed Residential Address

Other foreign residence address (if applicable)

Country
 Line 1 (e.g. House/Apt/Suite Name, Number, Street, if any)* Line 2 (e.g. Town/City/Province/County/State)
 Tel Zip code if any

Mailing Address (please only complete if different to the address stated above)

Line 1 (e.g. House/Apt/Suite Name, Number, Street, if any) Line 2 (e.g. Town/City/Province/County/State)
 Country Postal Code/Zip code (if any)

Home Number Mobile Number
 Other Telephone Email
 Position/Title Length of Employment
 Employer's Name Employer's Address
 Nature of Business Previous Occupation (if retired)
 Employer's Telephone
 Marital Status Single Married Divorced Widowed
 Spouse Full Name Number of Dependents
 Spouse Detailed Profession

If you are a shareholder of a company, please fill in the below section:

Client's Detailed Profession/Shareholder
 Company Name
 Company's Nature of Business
 Company's Detailed Address
 Company's Telephone
 Email Address

Please enter the legal name of the relevant entity Account Holder(s) of which you are a Controlling Person

Legal Name of Entity 1
 Legal Name of Entity 2
 Legal Name of Entity 3

Is the client a director or officer in a publicly listed company? Yes No

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C. Financial Information

1) Initial Deposit

2) Approximate Annual Income

- < \$25.000 \$25.001 - \$50.000
- \$50.001 - \$100.000 \$100.001 - \$250.000
- \$250.001 - \$500.000 \$500.001 - \$1.000.000
- > \$1.000.000

3) Approximate Net worth

(excluding primary residence); (require breakdown of assets and debt, including cash, investments, and real estate)

- < \$25.000 \$25.001 - \$100.000
- \$100.001 - \$500.000 \$500.001 - \$1.000.000
- \$1.000.001 - \$5.000.000 > \$5.000.000

4) Investable Assets Net Worth

- < \$25.000 \$25.001 - \$50.000
- \$50.001 - \$100.000 \$100.001 - \$250.000
- \$250.001 - \$500.000 \$500.001 - \$1.000.000
- > \$1.000.000

5) Banking Information

Primary Bank	<input type="text"/>	Branch & Address	<input type="text"/>
Account Type	<input type="text"/>	Main Account Number	<input type="text"/>
Source of Funds	<input type="text"/>		

Additional information related to the financial status of the client

D. Beneficiary Right Owner (BRO)

If not the same BRO

Reason	<input type="text"/>	Full Name	<input type="text"/>
Relationship	<input type="text"/>	Profession	<input type="text"/>
Address	<input type="text"/>		

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E. Investment Information and Objectives

The following section is intended for an evaluation of investment risk. This will help in the determination of funds vis-à-vis risk appetite and investment objectives.

1) Current investments and values of:

- a. Equity common shares
- b. Preferred Shares
- c. Government bonds & other debt instruments
- d. Other bonds & debt instruments
- e. Investment funds (specify typed of funds)
- f. Foreign exchange
- g. Real estate (for investment purposes)
- h. Bank deposits and certificates
- i. Structured products and notes
- j. Commodities
- k. Futures contracts (specify type of contract)
- l. Options contracts (specify types of contracts)

2. What is the investment objective?

- a) Capital-preservation
- b) Income-generation
- c) Maximize Capital-growth

3. Investment Knowledge and Experience

Type of financial Instrument				
	No experience	Up to three years	Three to five years	Five years and above
Bonds and other debt instruments				
Bank deposits, Treasury bills, T notes				
Mutual funds				
Stocks				
Currencies				
Options contracts				
Futures contracts				
Swaps				
Structured Financial Products				
Certificates of deposit (CDs)				
Derivatives				
Commodities				
Real Estate (for investment purposes)				
Other, Name of financial instrument:				

4. Risk Tolerance: High Medium Low

Additional information related to ability to withstand losses:

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F. Insider Trading Questionnaire

1- Are you member of the Board of Directors or officer of a publicly listed company or an issuer of securities?

Yes No

If yes, please list such company(ies)

Do you have a close relationship with anyone with access to insider information related to a public firm or a firm going public?

Yes No

2- Are you an insider aware of inside non-public information at a listed company or an issuer of securities?

Yes No

If yes, please list such company(ies)

3- Do you have a close relationship with an insider aware of inside non-public information at a listed company or an issuer of securities?

Yes No

If yes, please list such company(ies)

Client Full Name

Update Date

Client Signature

Date

Authorized Officer Signature

Supervising Officer Signature

Compliance Officer Signature