

1st Floor, 24 Mulchan Seuchan Road, Chaguanas 6 Gallus Street, Woodbrook, Port of Spain. 27 Independence Avenue, San Fernando. Tel: 628-9100/221-7100 Fax: 665-5755 E-mail: admin@boursefinancial.com www.bourseinvestment.com

CLIENT APPLICATION FORM

DATE: __/__/__ DD/MM/YY CLIENT RELATIONSHIP OFFICER:

ACCOUNT NUMBER:

[] BLOCKED ACCOUNT

[] UNBLOCKED ACCOUNT

1. ACCOUNT REGISTRATION

Account type:

[] Individual [] Estate [] Other _____

1.1 APPLICANT INFORMATION

Name: Residential Address:				
Mailing Address:				
Gender: [] Male [] Female Marital Status: [] Single [] Married [] Other				
Place of Birth: Date of Birth: _/_/ (dd/mm/yyyy)				
Home Tel No: E-Mail Address: Occupation: Annual Income – From \$to \$				
Occupation:				
Employer: Years Employed: Business Address:				
Primary Bankers				
Identification Information	Identification Information			
Type: Drivers Permit [] National ID [] Passport []	Type: Drivers Permit [] National ID [] Passport []			
Identification Number:	Identification Number:	•		
Country of Issue:	Country of Issue:			
Date of Issue:// Expiry Date:// DD/MM/YY DD/MM/YY	Date of Issue:/ Expiry Date:/ DD/MM/YY DD/MM/YY			
Other information:				
Are you a citizen or resident of the United States of America? Are you a citizen or resident of any country other than Trinidad 8	[] YES [] NO & Tobago? [] YES [] NO			
If yes, state which country/countries:				
Are you the holder of a public office or have been a holder of pu	blic office? [] YES [] NO			
If yes, state which office and period in office: Are you related to, or a close associate of any individual who hol	ds or has held public office? [] YES [] NO			
If yes, state individual and which office:				
Are you, as an individual or as part of a group, a >= 5% sharehold If yes, state which company:	er in a publicly traded company? [] YES [] NO			
Are you a Director, Senior Officer or Insider of any publicly trade	d company? [] YES [] NO			
If yes, state which company: Are you an employee or officer of a stockbroker/dealer or Regula	itor? []YES []NO			
If yes, state which organization: Are you related to an employee or officer of a stockbroker/deale	r or Regulator? [] YES [] NO			
If yes, state which organization:				
Are you the holder of a beneficial interest in a Casino or operate If yes, state which company:				
Are you involved in internet gambling?	[] YES [] NO			
If yes, state which company:				



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2. ADDITIONAL INVESTOR INFORMATION:

a. Investment Objectives:

- [] Long Term Growth
- [] Asset Diversification
- [] Income
- [] Short Term Growth

c. Estimated amount of funds available for investment Purposes per annum:

[] Less than \$50,000 [] \$50,001 - \$100,000 [] \$100,001 - \$500,000 [] \$500,001 - \$1,000,000 [] over \$1,000,000

b. Risk Exposure:

[] Low [] Speculation [] Moderate [] High

3. CLIENT RISK TOLERANCE:

a. Expected Return: What is your desired level of investment return? Please explain:

b.	Can you accept occasional periods of negative investment returns?	[] YES	[] NO
c.	Liquidity: Would you need to be able to readily convert investments into cash	[] YES	[] NO
d.	Income Source: My major source of income is predictable and steadily growing	[] YES	[] NO
e.	Investment experience: Do you have prior investment experience with equities and debt Instruments. Please		
	explain to what extent		

f. Do you understand the concept of investment risk?

[]YES []NO

g. What is the purpose of this account?

4. SOURCE OF FUNDS:

What is the source of funds for this account? Please provide **<u>details</u>** in the space provided.

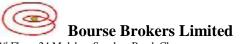
5. ACCOUNT INSTRUCTIONS:

How will instructions be issued to BOURSE on your behalf?

[] Telephone [] Email [] Face to Face Office

[] Other ______

6. OTHER INFORMATION (FOR COMPLETION BY CUSTOMER RELATIONSHIP OFFICER):



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7. DECLARATION

I/We the undersigned applicant(s) for an account with BOURSE declare that the statements made by me/us on this form and on the Broker/Investor Agreement are, to the best of my/our knowledge and belief, true and correct.

I/We agree to BOURSE processing my/our personal data contained in this form and other personal data that BOURSE may obtain from me/us or from other people or entities connected with my financial affairs.

I/We declare that the funds and securities covered by this application came from a legal source and are not connected to money laundering, terrorist activities, drug trafficking and other criminal offences.

In consideration of BOURSE opening an account for me/us, I/We promise to conduct such account in accordance with the agreed guidelines and the law and to check and verify each account statement received and to notify BOURSE forthwith of any errors in volume, type and value of securities that may have been wrongly or erroneously credited to my/our account.

I/We declare that I am/We are aware that should I/We dispose of, sell, transfer, or pledge any securities that have been wrongly or erroneously credited to my/our account, I/We may be liable to criminal prosecution and will be required to make full restitution to BOURSE.

I/We declare that in the event that any securities have been purchased on my/our behalf and I/We have not made full restitution to BOURSE within the settlement period, I/We give full authority to BOURSE to sell those securities in order to obtain said restitution.

I/We declare that I/We have read and understood the aforementioned declarations and consent is hereby given to BOURSE, to retain this form, conduct its normal investigations on me/us, and to seek and receive information from any person, agency, entity or financial institution holding or possessing any such information on me/us.

I/We acknowledge that BOURSE reserves the right to close or suspend an account for any reason in its discretion including if BOURSE determines that information provided for the purpose of the account is false or if in its opinion, there is unusual, improper or suspicious activity in the account or other activity which it deems is in breach of the law or the terms of the agreement that I/We have signed.

I/We hereby consent and grant permission to BOURSE to share all my personal data contained in this form and any other personal data obtained from BOURSE from me/us with its subsidiaries, namely BOURSE BROKERS LIMITED to ensure compliance with the Financial Obligations Regulations 2010 and the Financial Obligations (Financing of Terrorism) Regulations, 2011 and any amendments or enactments thereto that may be made from time to time.

I/We hereby consent and grant permission to BOURSE to share all my personal data contained in this form and any other personal data obtained from BOURSE from me/us with FIRST CITIZENS TRUSTEE SERVICES LIMITED in such circumstances where I/We have subscribed for Units in any of the mutual funds of which FIRST CITIZENS TRUSTEE SERVICES LIMITED is a Trustee and where the sharing of such information with FIRST CITIZENS TRUSTEE SERVICES LIMITED is to ensure compliance by FIRST CITIZENS TRUSTEE SERVICES LIMITED, as Trustee of any of the Funds with the Financial Obligations Regulations 2010 and the Financial Obligations (Financing of Terrorism) Regulations, 2011 and any amendments that may be made from time to time.

'BOURSE' refers to Bourse Brokers Limited.

Signature of Applicant

WITNESS NAME

WITNESS SIGNATURE

FOR OFFICIAL USE ONLY

AUTHORIZED BY:

BLOCK LETTERS

DD/MM/YYYY

ON

SIGNATURE