



Bourse Securities Limited

6 Gallus Street, Woodbrook, Port of Spain. Tel: 628-9100/221-7100 Fax: 665-5755
27 Independence Avenue, San Fernando.
2nd Floor, 23 Mulchan Seuchan Road, Chaguanas
E-mail: admin@boursefinancial.com
www.bourseinvestment.com

PURCHASE NOTIFICATION FORM

DATE: __/__/__
DD/MM/YY

CLIENT RELATIONSHIP OFFICER:

ACCOUNT NUMBER:

1. ACCOUNT REGISTRATION

Account type: Individual Estate
 Joint Other _____
Number of Joint members: _____ Relationship: _____

Signing authority: Either to sign
 Two to sign other _____

2. TYPE OF INVESTMENT

SAVINVEST STRUCTURED INVESTMENT FUND
Initial Investment Amount: TT\$ _____ Initial Payment details: _____

SAVINVEST TT CAPITAL GROWTH FUND
Initial Investment Amount: TT\$ _____ Initial Payment details: _____

SAVINVEST GROUP RETIREMENT FUND
Initial Investment Amount: TT\$ _____ Initial Payment details: _____

SAVINVEST INDIVIDUAL RETIREMENT FUND
Initial Investment Amount: TT\$ _____ Initial Payment details: _____

SAVINVEST US INVESTMENT INCOME FUND
Initial Investment Amount: US\$ _____ Initial Payment details: _____

SAVINVEST US CAPITAL GROWTH FUND
Initial Investment Amount: US\$ _____ Initial Payment details: _____

SAVINVEST INDIA ASIA FUND
Initial Investment Amount: US\$ _____ Initial Payment details: _____

PAYMENT OF DISTRIBUTION OPTION

DISTRIBUTION REINVESTED

DISTRIBUTION TO BE PAID
DETAILS: _____



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2.1 SOLE OR PRIMARY APPLICANT

Name: _____ Citizenship: _____	
Residential Address: _____	
Mailing Address: _____	
Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female Marital Status: <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Other _____	
Place of Birth: _____ Date of Birth: __/__/____ (dd/mm/yyyy)	
Home Tel No: _____ Mobile No: _____ E-Mail Address: _____	
Occupation: _____ Annual Income – From \$ _____ to \$ _____	
Net Worth <input type="checkbox"/> Under \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> over \$5,000,000	
Employer: _____ Years Employed: _____	
Business Address: _____	
Primary Bankers _____	
Identification Information Type: Drivers Permit <input type="checkbox"/> National ID <input type="checkbox"/> Passport <input type="checkbox"/> Identification Number: _____ Country of Issue: _____ Date of Issue: __/__/__ Expiry Date: __/__/__ DD/MM/YY DD/MM/YY	Identification Information Type: Drivers Permit <input type="checkbox"/> National ID <input type="checkbox"/> Passport <input type="checkbox"/> Identification Number: _____ Country of Issue: _____ 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? <input type="checkbox"/> YES <input type="checkbox"/> NO Are you a citizen or resident of any country other than Trinidad & Tobago? <input type="checkbox"/> YES <input type="checkbox"/> NO If yes, state which country/countries: _____ Are you the holder of a public office or have been a holder of public office? <input type="checkbox"/> YES <input type="checkbox"/> NO If yes, state which office and period in office: _____ Are you related to, or a close associate of any individual who holds or has held public office? <input type="checkbox"/> YES <input type="checkbox"/> NO If yes, state individual and which office: _____ Are you, as an individual or as part of a group, a >= 5% shareholder in a publicly traded company? <input type="checkbox"/> YES <input type="checkbox"/> NO If yes, state which company: _____ Are you a Director, Senior Officer or Insider of any publicly traded company? <input type="checkbox"/> YES <input type="checkbox"/> NO If yes, state which company: _____ Are you an employee or officer of a stockbroker/dealer or Regulator? <input type="checkbox"/> YES <input type="checkbox"/> NO If yes, state which organization: _____ Are you related to an employee or officer of a stockbroker/dealer or Regulator? <input type="checkbox"/> YES <input type="checkbox"/> NO If yes, state which organization: _____ Are you the holder of a beneficial interest in a Casino or operate a Casino account? <input type="checkbox"/> YES <input type="checkbox"/> NO If yes, state which company: _____ Are you involved in internet gambling? <input type="checkbox"/> YES <input type="checkbox"/> NO If yes, state which company: _____	



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3. **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

4. **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? _____

5. **SOURCE OF FUNDS:**

What is the source of funds for this account? Please provide **details** in the space provided

6. **ACCOUNT INSTRUCTIONS:**

How will trading instructions be issued to BOURSE on your behalf?

Telephone Email Face to Face Office Other: _____

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



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8. DECLARATION

I/We the undersigned applicant(s) for an account with BOURSE declare that the statements made by me/us on this form 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 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 in such circumstances where I have invested in any securities from such institution 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 Securities Limited.

SOLE or primary applicant First Joint Holder Second Joint Holder Third Joint holder

WITNESS NAME WITNESS SIGNATURE

FOR OFFICIAL USE ONLY

AUTHORIZED BY: _____ ON _____
BLOCK LETTERS DD/MM/YYYY

SIGNATURE