

INSTITUTIONAL GLOBAL CUSTOMER APPLICATION FORM

Please select your new account location/s

NCBCM JA:

NCBCM KY:

NCB KY:

NCBCM BDS:

NCBMB TT:

 CAYMAN
LIMITED

 CAPITAL MARKETS
LIMITED

 CAPITAL MARKETS
(BARBADOS) LIMITED

 CAPITAL MARKETS
(CAYMAN) LIMITED

 MERCHANT BANK
(TRINIDAD AND TOBAGO)
LIMITED

New Account

Updating Account Information

Branch:

Opening/ Updating Date:

Wealth Manager:

Legal Name Of Company/Business/Entity:

Trade or Registered Business Name Of Company/Business/Entity:

Registered Office Address (Including Street Name and Number):

Physical Address of Business Operations (if different from above):

Mailing Address if different from above (Including P.O Box):

Office Phone:

Mobile Phone:

Other Phone/Fax:

Company Email:

Position:

Contact Person:

Contact Person Email:

Tax Identification Number (TIN, TRN, SSN, etc.):

Country of Issue

Date of Incorporation/ Registration:

Incorporation #/ Registration #:

Country of Incorporation:

Organisation Type:

Non-Profit Organisation

Partnership

Governmental Org.

Sole Proprietor

Limited Liability Company

Fund

Other

Describe the Company/ Business Main Activity:

State purpose of the account(s):

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SOURCE OF WEALTH *Refers to the origin of the entire body of wealth (i.e. total assets)*

Earned Income

Investment Proceeds, Loans

Sale of Property, Gift/Inheritance

Ownership in a Company

Other

Indicate estimated net worth of the company:

SOURCE OF FUNDS *Origin of funds expected to be deposited to the account*

USUAL DESTINATION OF FUNDS *Please list countries*

ESTIMATED ANNUAL VOLUME OF DEPOSITS AND WITHDRAWALS

Estimated Annual Revenue:

Estimated Annual Volume of Withdrawals:

Account Type

Savings

Term Deposit

Loan

Investment

Lease

Discretionary Management

Account Currency

JMD

USD

KYD

TTD

BBD

OTHER

POWER OF ATTORNEY

Does any other person have a Power of Attorney over this account? Yes No

If Yes – Provide Copy of registered document and Name of Appointed Attorney

Attorney Name:

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RISK TOLERANCE

Conservative (low risk)

Moderate (medium risk)

Aggressive (high risk)

Conservative: Cautious, having a risk-averse investment strategy which has preservation of capital as a high priority.

Moderate: Willing to accept some risk for a potential higher rate of return.

Aggressive: An investment strategy characterized by a willingness to accept above-average risk in pursuit of above-average returns.

ACCOUNT CLASSIFICATION

Private Client

Individuals and small businesses. Reasonable care regarding advice on suitability and understanding of risk are the minimum basic protections afforded under the regulations.

Professional Client

A public authority, Securities Investment Business Intermediary, High Net Worth Individual (Assets $\geq$ \$4M), Closed-ended funds, Sophisticated Clients who exhibit sound knowledge and experience in business and financial matters and a Private Client that has been re-classified as a professional client under regulation 12(2). Note that the protection afforded under the regulatory regime is lower than that offered to a private client.

Market Counterparty

Experienced professional with full understanding of the market works and the risks and rewards involved. A government, central bank or other national monetary authority, state investment body or public debt management body, supranational whose members are countries or central banks and a professional client where classified as a market counterparty under the provisions of Regulation 12.

I understand and agree to the terms and definitions outlined in the selected classification.

.....
CEO/ Managing Director/Executive Director

INVESTMENT SERVICE REQUIRED

Investment Advisory

Discretionary Management

Execution Only

Custody

Investment Advisory - (Client must be contacted before execution of any trade or transaction)

Execution Only - (Client does not require investment advice)

Custody - (No discretion to trade, assets are for safe-keeping and reporting only)

Discretionary Management - (Client grants full decision-making authority to the Portfolio Manager regarding the purchase or sale of investments without the need to consult the client)

How did you hear about NCB? (Please tick)

Existing Customer

Referred

Advertisement

Other

Referred by:

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OWNERSHIP STRUCTURE

List of Beneficial Owners /Shareholders owning 10% or more

Name(s) of shareholder/s (10% and more)	# of shares	% Shareholding
Name(s) of Beneficial Owner(s)	# of shares	% Shareholding

List of Directors, Officers, Secretary/ies/ Partners- Please provide one (1) form of ID and Proof of Address
(Utility bill not older than 3 months for NCBCM entities and 6 months for Banking entities)

Name of Officer	Position

▶

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ACCOUNT SIGNING AUTHORITY

All CEO/MD Only Any One Any Two Other

Other - Please provide details of signing mandate including signing levels, maximum limits and specimen signatures specific to the organization in a separate letter.

Please provide the names and signatures of all officers who are authorised to act on behalf of the entity with respect to opening an account, executing all relevant entity documents, and dealing with NCB in connection with all aspects of the said account singly or jointly.

Name	Position Title	Signature	ID #	Signing Authority A or B

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I/We hereby certify, declare and confirm that:

1. The information given by me in this Application is true and correct.
2. I/We have read and fully understand and agree to each of the terms and conditions contained in the respective agreement pertaining to the account(s) in respect of which
3. I/We am submitting this Application (the "Account/s"). NCB Capital Markets Limited, NCB Capital Markets (Cayman) Limited, NCB Capital Markets (Barbados) Limited, NCB Merchant Bank (Trinidad and Tobago), NCB (Cayman) Limited collectively or individually referred to as "NCB", is authorized to deal with me/our and each joint holder or authorized signatory on the Account(s) ("Authorized Person") to accept all orders for purchases and sales and all instructions given verbally or in writing by me, him or her without further inquiry as to my, his or her authority; to receive any funds, securities or other property for the Account(s); to honour written instructions from each Authorized Person to deliver either in bearer form, in street certificates, in any names or in any other manner any funds, securities or other property held for the account.
4. I/We are not engaged in Money Laundering, Drug Trafficking, Fraud, Identity Theft or any other money laundering, criminal activities and I/we are aware that I/we are required by the Account terms and conditions to deposit only good items to the Account and to refrain from using the Account for money laundering, criminal activities, specified offences or for furthering criminal purposes and conducts.
5. I/We have not assumed the identity of any other person and the funds/deposits are beneficially owned by myself/us and no one else.
6. I/We hereby consent and agree that NCB is entitled to at any time and with such notice to me/us as may be required by law:
 - disclose this application, any information contained in it, other related confidential information regarding me/us and current and future transactions on the Account to law enforcement agencies, regulatory authorities, credit bureaus, other financial institutions, or regulated persons as may be required to comply with legal or regulatory requirements, execute activities in relation to the Account(s) or otherwise as deemed necessary or appropriate by NCB and I/we waive my/our rights of confidentiality in that regard;
 - disclose information relating to me/us (including, but not limited to, information set out in this Application) to affiliates of NCB and NCB's third party service providers, where NCB, in its sole discretion, deems it necessary and/or appropriate to do so in providing me/us with accurate and up to date services provided by NCB or its affiliates or for marketing products and services provided by NCB or its affiliates and I/we waive my/our rights of confidentiality in that regard. I/we agree that NCB may use or share the information provided by me/us to NCB in this Application or otherwise in order to augment and update information currently held by it or its affiliates;
 - make enquiries about me/us and to the retention of this application and all documents tendered by me/us in support of this application to any third parties as NCB may deem necessary;
 - withhold the funds (or part thereof) standing to the credit of the Account(s) in accordance with the requirements of the Foreign Account Tax Compliance Act (the 'FATCA') or any other applicable legislation;
 - close the Account(s) (or terminate the obligations, as the case may be) and/or sell all the assets standing to the credit of the Account(s), where such Account(s) produce (or could produce) withholdable payments (as defined in the FATCA);
 - terminate its/their relationship with me/us and close all accounts in my/our name, where NCB considers it necessary to do so or, otherwise, in compliance with NCB's obligations under any applicable law or regulation.

Director

Signature:

Date:

Director

Signature:

Date:

Company Stamp or Seal

The signatures on this document must be certified or notarized by a Notary Public, or a Justice of the Peace, or an NCB Official.

Note: If executed by a Company, the Company Seal is to be affixed. If no seal is required by the Articles of Association, please state so.

Signed by NCB Representative:

Date:

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AFFILIATED PARTY DISCLOSURE

Director

Officer

Member (Shareholder more than 10%)

Signatory

Beneficial Owner

Signature:

Completion by a Signatory is a requirement only for a Cayman company.

Full Name:

Telephone No.:

Permanent Address:

Nationality:

Date of Birth:

Place of Birth:

Occupation:

ID No. or Passport No.* & Place of Issue

Issue Date (dd/mm/yyyy):

Expiry Date (dd/mm/yyyy):

Are you a PEP? Yes No Are you the family member of a PEP? Yes No

If Yes, please state NAME _____ and RELATION _____

Are you the associate of a PEP? Yes No Please see below for the definition of a politically exposed person (PEP).

If Yes, please state NAME _____ and RELATION _____

**Mandatory for NCB Cayman Clients*

**ID Number acceptable for NCBMBTT*

Are you affiliated with or employed by a stock exchange or member firm of an exchange or a securities broker-dealer? Yes No

(If "yes", you must attach a letter from your employer approving the establishment of your account when submitting this application.)

Are you a director, 10% or more shareholder or policy-making officer of a publicly held company? Yes No

If "yes", state all company name(s)

and trading symbol(s)

Are you a Director/Officer of NCB? Yes No

Are you a relative (spouse, parent, sibling, child) of a Director/Officer of NCB? Yes No

Are you a person who holds 10% or more of any class of shares of NCB? Yes No

Are you a controlling or significant shareholder of NCB? Yes No

If yes to any of the above, please provide details:

The Financial Action Task Force (FATF) defines Politically Exposed Persons (PEPs) as: individuals who are or have been entrusted with prominent public functions in a foreign country. Examples: Heads of State or of government, senior politicians, senior government, or executive council of government, judicial or military officials, senior executives of state owned corporations, important political party officials, ambassadors, ambassadors' attachés. Business relationships with family members or close associates of PEPs involve reputational risks similar to those with PEPs themselves.

Entity with Beneficial Interest (Member/ Shareholder holder 10% or more)

Full Name:

Telephone No.:

Permanent Address:

Completion by the Signatory is a requirement for KY Only