



## 6. Ownership information

Provide a list of beneficial owners who own or control, direct and indirect interest in the company. If space provided is not sufficient, please provide additional document.

Full legal name	Citizenship/ Country of formation	ID/SSN number	Ownership percentage

## 7. List of directors

Please list all directors. If you have more than four directors, please provide additional document.

### Person 1

Title	First name
Middle name	
Surname	
Date of birth	Country of birth
Citizenship	
ID/ PP/ DP number	
Job title	
Legal address line 1	
Legal address line 2	
City	State
Country	
Mobile phone	
Other phone	
Email	

### Person 2

Title	First name
Middle name	
Surname	
Date of birth	Country of birth
Citizenship	
ID/ PP/ DP number	
Job title	
Legal address line 1	
Legal address line 2	
City	State
Country	
Mobile phone	
Other phone	
Email	

### Person 3

Title	First name
Middle name	
Surname	
Date of birth	Country of birth
Citizenship	
ID/ PP/ DP number	
Job title	
Legal address line 1	
Legal address line 2	
City	State
Country	
Mobile phone	
Other phone	
Email	

### Person 4

Title	First name
Middle name	
Surname	
Date of birth	Country of birth
Citizenship	
ID/ PP/ DP number	
Job title	
Legal address line 1	
Legal address line 2	
City	State
Country	
Mobile phone	
Other phone	
Email	

## 8. List of authorized parties

Please complete the information below for the designated authorized parties for this account. If you have more than four parties, please provide additional document.

### Authorized party 1

Title	First name
Middle name	
Surname	
Date of birth	
Country of birth	
Citizenship	
ID/ PP/ DP number	
Job title	
Legal address line 1	
Legal address line 2	
City	
State	
Country	
Mobile phone	
Other phone	
Email	

### Authorized party 2

Title	First name
Middle name	
Surname	
Date of birth	
Country of birth	
Citizenship	
ID/ PP/ DP number	
Job title	
Legal address line 1	
Legal address line 2	
City	
State	
Country	
Mobile phone	
Other phone	
Email	

### Authorized party 3

Title	First name
Middle name	
Surname	
Date of birth	
Country of birth	
Citizenship	
ID/ PP/ DP number	
Job title	
Legal address line 1	
Legal address line 2	
City	
State	
Country	
Mobile phone	
Other phone	
Email	

### Authorized party 4

Title	First name
Middle name	
Surname	
Date of birth	
Country of birth	
Citizenship	
ID/ PP/ DP number	
Job title	
Legal address line 1	
Legal address line 2	
City	
State	
Country	
Mobile phone	
Other phone	
Email	

## 9. Legal and regulatory information

Yes No

1. Are you currently or have you ever been in the military?
2. Are you currently or have you ever been a member of parliament?
3. Have you ever been convicted of money laundering, fraud or any other crime of dishonesty in any jurisdiction?
4. Have you been or are you now involved in any terrorist activities or group?

The following questions relate to your knowledge of persons falling within the definition of Politically Exposed Person (PEP). A PEP is: (a) An individual such as the head of state or government, senior politician, senior government, judicial or military officials, senior executives of State-owned corporations and important political party officials who are or have been entrusted with prominent functions – (i) By a foreign country; or (ii) Domestically for Trinidad and Tobago; (b) Persons who are or have been entrusted with a prominent function by an international organization which refers to members of senior management such as directors and members of the board or equivalent functions; (c) An immediate family member of a person referred to in paragraph (a) such as the spouse, parent, siblings, children and children of the spouse of that person; and (d) Any individual publicly known or actually known to the relevant financial institution to be a close personal or professional associate of the persons referred to in paragraphs (a) and (b).

Do you know any PEP who is or was entrusted with important public functions in foreign country or locally, such as:

Yes No

- (a) A current or former senior official of a foreign government, whether elected or not?
- (b) A current or former senior official of government?
- (c) A senior officer of the judiciary of any country?
- (d) A senior military official, whether locally or internationally
- (e) An immediate family member of a person mentioned in paragraphs (a) to (e), meaning the spouse, parents, siblings or children of that person and the parents, siblings and additional children of the persons spouse?
- (f) Any individual publicly known or actually known to be a close or professional associate of a person mentioned in paragraphs (a) to (e)?
- (g) Do you or any other members of the senior management fall into this category? If yes, please list the persons name:

Name

I (client's full name) declare and confirm that the information given by me in this application for financial services(s) is true and correct and further confirm and declare that I am not engaged in money laundering, terrorist financing or any other crimes or illicit activities. I am aware that I am required by the account agreement to deposit only good items to my accounts and to refrain from using the account for money laundering, terrorist financing or for furthering criminal purposes or conduct. I have not assumed the identity of any other person and the property being dealt with is beneficially owned by me and no one else.

I hereby give consent to Capital Markets Elite Group Limited to disclose this application, any information contained in it, other related confidential information of mine and current and future deposits and other transactions of mine to law enforcement agencies, regulatory authorities and other institutions in accordance with the law.

I promise to abide by the terms of the account(s) agreement and I consent to all enquiries Capital Markets Elite Group Limited may make about me and to the retention of this application and all documents tendered by me in support of this application.

## 10. US person certification

### Certification as to U.S. Person Status

(CFR Part 240 Rule 15a-6 Compliance)

**Instructions:** Initial **EITHER Part A OR Part B** below as applicable and sign where indicated

### PARTIES

**Capital Markets Elite Group (Trinidad and Tobago) Limited**, a company incorporated under the laws of Trinidad and Tobago, with its registered office at 22-24 Albion Plaza, Victoria Avenue, Woodbrook, Port of Spain, Trinidad and Tobago W.I. with registered company number C2013070804456 (“**Capital Markets Elite Group**”); and

The undersigned potential customer (the “**Potential Customer**”).

### WHEREAS:

Capital Markets Elite Group's services involve providing brokerage and dealing services in connection with investments including shares and share options, debentures, warrants, futures, exchange traded funds, units in collective investment schemes, contracts for differences and forex spot contracts.

Capital Markets Elite Group is authorized and regulated by the Trinidad and Tobago Securities and Exchange Commission in Trinidad and Tobago and has permission under the Securities Act 2012 to offer and provide its services to customers and counterparties.

Capital Markets Elite Group can only accept a U.S. Person (as defined on Attachment 1) as a customer if that U.S. Person has not been solicited either directly or indirectly through accessing our websites, social media, or otherwise, under the ‘unsolicited’ exemption of Rule 15a-6 of the U.S. Securities and Exchange Commission.

The Potential Customer wishes to engage some or all the services of Capital Markets Elite Group described in 1 above.

### PART A

[Initial here if applicable] The Potential Customer, DOES HEREBY CERTIFY that the Potential Customer is NOT a U.S. Person.

### Part B

[Initial here if applicable] The Potential Customer, DOES HEREBY CERTIFY that:

(a) The Potential Customer was first made aware of Capital Markets Elite Group by a third-party source, not a Capital Markets Elite Group website, Capital Markets Elite Group social media, or a contact from Capital Markets Elite Group; (b) The Potential Customer has not been solicited either directly or indirectly through accessing these websites, social media, or otherwise by Capital Markets Elite Group; (c) The Potential Customer has approached Capital Markets Elite Group on the Potential Customer's own volition; and (d) The Potential Customer understands that if the Potential Customer establishes a relationship with Capital Markets Elite Group the Potential Customer will NOT be protected by U.S. laws, regulations and supervisory structures applicable to broker-dealers registered in the U.S., and the Potential Customer does not expect such protections to apply.

Date

Potential Customer signature

## 11. General business terms and agreements

### Client agreement

I acknowledge that I have received, read, understand and agree to be bound by the terms & conditions as set forth in the client agreement as currently in effect and as amended from time to time.

### Margin agreement

I acknowledge that I have received, read, understand and agree to be bound by the terms and conditions as set forth in this margin agreement as currently in effect and as amended from time to time.

### Day trading disclosure statement

I acknowledge that I have received, read, understand the information presented in the above disclosure.

### Disclaimer of warranty – third party software providers

I acknowledge that I have received, read, understand the information presented in the above disclaimer.

## 12. Supporting documents for business

Please ensure that your document submissions are well lit, clear and readable. Your documents should not be defaced or obscured. **Note, your proof of identification and proof of residence cannot be the same document.**

Photo identification 1

Proof of income

Proof of address  
(must be no more than 6 months old)

Guarantor identification

Guarantor proof of income

Guarantor approval letter

Client name

Job title

Client signature

Company seal

Date

## FOR OFFICIAL USE ONLY

Branch manager full name

Branch manager signature

Investment advisor full name

Investment advisor signature

Customer ID verified (must be completed):      Yes

Date opened

### ACCOUNT TYPE

**Institutional customer:** an institutional account as defined by the Trinidad and Tobago SEC.

**Employee account:** an employee or associated person of your broker-dealer.

**Foreign:** a non-broker-dealer foreign affiliate or non-reporting foreign broker-dealer.

**Individual customer:** an account that does not meet the definition of the Trinidad and Tobago SEC related to corporate accounts.