# Corporate application



#### PLEASE COMPLETE THE FORM IN BLOCK CAPITALS

# 1. Select account type

# Standard Account

If you like the idea of buying and holding a position for somewhat longer periods of time, the Standard Account is for you.

#### **Active Account**

Our Active Account is designed with the day trader in mind. You will have access to multiple powerful trading platforms with ultra-low latency for fast execution with real-time market-data.

### **Enhanced Account**

Professional and proprietary groups need more than the fastest technology and low clearing and execution costs—they need ready access to firm capital when the market becomes fertile for trading. Enhanced accounts offer additional proprietary leverage when it's needed most.

#### FX Account

Our FX brokerage account is designed with the FX trader in mind. You will have access to MT5, one of the most powerful trading platforms with ultra-low latency for fast execution with real-time market-data.

#### What platform would you like to use?

https://www.cmelitegroup.com/platforms/compare-platforms/

Standard Account users only	Active Account users only	FX Trading
DAS Web/Mobile	Sterling Trader Pro	MT5
	DAS Trader Pro	
	Takion	
2. Company information		
2. Company mormation		

Company name				
Company registration number				
Tax identification number				
Country of formation				
Formation date				
Company classification				
Sole proprietor	Partnership	Corporation/LLC	Oth	ner
Was the company formed	for the purpose of	f opening this account?	Yes	No
Nature of industry				
Describe the nature of the	business. What de	o you do/offer?		
What is your customer bas	se?			
,				
	ation of your busi			

# 3. Address and contact information

Address line 1	
Address line 2	
City	
Zip code	State
Country	
Website	
Email	
Business phone	
Other phone	

# 4. Financial information

Estimated net worth (USD \$)				
< 500,000	500,000-2,000,000	2,000,000-10,000,000		
10,000,000-20,000,000	>20,000,000			
Estimated liquid net worth (USD \$)				
< 500,000	500,000-2,000,000	2,000,000-10,000,000		
10,000,000-20,000,000	>20,000,000			
Annual net income (USD \$)				
< 500,000	500,000-2,000,000	2,000,000-10,000,000		
10,000,000-20,000,000	>20,000,000			
Total assets (USD \$)				
< 500,000	500,000-2,000,000	2,000,000-10,000,000		
10,000,000-20,000,000	>20,000,000			

# 5. Banking information

Name of banking institution

Address of bank

# Name of bank manager (optional)

Bank contact information - phone number/email/website (optional)

Bank account number

Name(s) on account

# 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.

Title First name Title	e First name
Middle name Middle	dle name
Surname Surna	name
Date of birth Country of birth Date of	e of birth Country of birth
Citizenship Citizen	enship
ID/ PP/ DP number ID/ PP,	PP/ DP number
Job title Job tit	title
Legal address line 1	al address line 1
Legal address line 2	al address line 2
City State City	State
Country Count	ntry
Mobile phone Mobile	ile phone
Other phone Other	er phone
Email Email	il
Person 2 Perso	son 4
Title First name Title	e First name
Middle name Middle	dle name
Surname Surna	name
Date of birth Country of birth Date of	e of birth Country of birth
Citizenship Citizen	enship
ID/ PP/ DP number ID/ PP,	PP/ DP number
Job title Job tit	title
Legal address line 1	al address line 1
Legal address line 2	al address line 2
City State City	State
Country Count	ntry
Mobile phone Mobile	ile phone
Other phone Other	er phone
Email Email	il

# 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		Authorized party 3	
Title	First name	Title	First name
Middle name		Middle name	
Surname		Surname	
Date of birth		Date of birth	
Country of birth		Country of birth	
Citizenship		Citizenship	
ID/ PP/ DP number		ID/ PP/ DP number	
Job title		Job title	
Legal address line 1		Legal address line 1	
Legal address line 2		Legal address line 2	
City		City	
State		State	
Country		Country	
Mobile phone		Mobile phone	
Other phone		Other phone	
Email	Email		
Authorized party 2		Authorized party 4	
Authorized party 2 Title	First name	Authorized party 4 Title	First name
	First name		First name
Title	First name	Title	First name
Title Middle name	First name	Title Middle name	First name
Title Middle name Surname	First name	Title Middle name Surname	First name
Title Middle name Surname Date of birth	First name	Title Middle name Surname Date of birth	First name
Title Middle name Surname Date of birth Country of birth	First name	Title Middle name Surname Date of birth Country of birth	First name
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Title 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	First name	TitleMiddle nameSurnameDate of birthCountry of birthCitizenshipID/ PP/ DP numberJob titleLegal address line 1Legal address line 2CityStateCountry	First name

# 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 politicalny, 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 prominent functional 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] CERTIFY that: The Potential Customer, DOES HEREBY

(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
Clier	nt name	
Job	title	
Clier	nt signature	
Com	ipany 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 Trindad and Tobago SEC related to corporate accounts.