

Firstline Securities Limited | Client Due Diligence Checklist

Client Name:

DATE

Institutional Requirements	Status	Notes
A. Client Information Form – Institution (CIF) <i>(signed by verifiable Director or Officer of the company)</i>	Required	To be completed for the Company
A. Client Information Form – Institution Supplement	Required	<i>To be completed for the following:</i> Each Director of the Company Each Officer of the Company Each Shareholder owning 10% or more of the shares of the Company Company Secretary
B. Incorporation Documents <ul style="list-style-type: none"> ○ Certificate of Incorporation ○ Articles of Incorporation ○ By Laws ○ Notice of Directors ○ Notice of Secretary ○ Notice of Address 	Required Required Required	Articles of incorporation and By Laws for the Company required
C. Current Annual Return <ul style="list-style-type: none"> ○ Annual Return for 2016 ○ Annual Return for 2017 	Required Required	Please ensure that the shareholders are listed on the Annual Return
D. Audited Financial Statements / Management Accounts <i>(3yr to current)</i>	Required	3 Years Audited Financial Statements required
E. Photo Identification Acceptable documents include the following: Valid National ID Valid Drivers Permit Valid Passport	Required	<i>Two Forms Required for the following:</i> <ul style="list-style-type: none"> ○ Each Director of the Company ○ Each Officer of the Company ○ Each Shareholder owning 10% or more of the shares of the Company ○ Company Secretary Originals of these documents must be seen or documents must be notarized
F. Proof of Address Acceptable documents include the following: WASA Bills TTEC Bills Telephone Landlines Cable Bills	Required	<i>Required for the following:</i> <ul style="list-style-type: none"> ○ Each Director of the Company ○ Each Officer of the Company ○ Each Shareholder owning 10% or more of the shares of the Company ○ Company Secretary ○ The Incorporated entity Originals of these documents must be seen or documents must be notarized
G. Other <ul style="list-style-type: none"> ○ Business Plan ○ FIU Registration ○ VAT Compliance Certificate ○ Income Tax Compliance Certificate ○ Business Levy and Green Fund ○ Fire Insurance 	Required	Business Plan to include Projected Financial Statements and bios of key personnel

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<p>H. Project Documentation Title Deeds Land and Building Taxes WASA Clearance Certificate Valuation Reports Wasa Bill T&TEC Bill Completion Certificate</p> <p>Approved Plans</p> <ul style="list-style-type: none"> ○ Town and Country Planning – Outline and Final ○ Regional Corporation ○ WASA- Outline and Final ○ Fire Services ○ EMA ○ Ministry of Works – Highways Division ○ Ministry of Works – Drainage Division 	<p>Required for Real Estate Projects</p>	<p>From an approved Valuator</p>
<p>I. Collateral Documentation</p> <ul style="list-style-type: none"> ○ Notices of Assignment ○ Notice of Direction to Pay 		