

CLIENT INFORMATION FORM – INDIVIDUAL

Please complete in block letters

EXPLANATORY NOTES

- Firstline requires this form to be fully completed in order to **begin** our client relationship with you. Its primary purpose is to ensure that the identity of our clients and their source of funds are properly verified in accordance with national legislation and international guidelines.
- **Do not leave any section blank.** State 'N/A' if we prompt you to answer anything that is not applicable to your situation. We may request additional information.
- Copies of all submitted documents should be accompanied by originals for verification. If an original is not produced, the copy must be notarised or certified by a bank officer, member of the judiciary, Member of Parliament or legal practitioner.
- **NB: If you are self-employed, do not complete this form. Please complete the Client Information Form for Self-Employed Persons**

A. ABOUT YOU			
1. Full Name:			
2. Title:		Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Other: _____	
3. Status:		Single <input type="checkbox"/> Married <input type="checkbox"/> Divorced <input type="checkbox"/> Common-Law <input type="checkbox"/> Widowed <input type="checkbox"/>	
4. Date of Birth:		5. Place of Birth:	
dd/mm/yy			
6. All Nationalities / Citizenships:		7. T&T Resident? yes/no	
		if answer to A7 is 'no'	
8. Country of Residence:			
9. Physical Address:			
10. Mailing Address:			
11. Telephone Numbers:		Home:	Mobile:
		Work:	Other:
12. Email Addresses:		Primary:	Secondary:
		13. Bank Details: <i>If you are not resident in T&T, we require a bank reference letter.</i>	
<i>This information shall be used for remittances to you. Be sure it is correct and provide supporting documentation as per H below.</i>			
Bank Name & Branch:			
Bank Account #:			
Bank Reference Letter:		Enc.? y/n	

B. ID VERIFICATION			
<i>If originals not submitted for verification to Firstline, copies must be notarised or certified</i>			
1. ID Type (2 forms):		Number	Country of Issue
National ID			Expiry Date dd/mm/yy
Driver's Permit			
Passport			
2. Address Verification		<i>Required for both physical and mailing addresses. Must be no more than 3 months old.</i>	
Utility Bill (not mobile) <input type="checkbox"/>		Bank Statement <input type="checkbox"/>	

C. OCCUPATION			
<i>Pay slip and / or job letter required as verification</i>			
1. Classification:		Private Sector <input type="checkbox"/>	Public Sector <input type="checkbox"/>
		Retired <input type="checkbox"/>	
		Homemaker <input type="checkbox"/>	Student <input type="checkbox"/>
		Self-Employed* <input type="checkbox"/>	
Other:			
<i>*If you are self-employed, do not complete this form. Please complete the Client Information Form for Self-Employed Persons</i>			
2. Occupation:		<i>Current or last employment details as applicable (C2 to C6 must be completed)</i>	
3. Employer Name:			
4. Employer Address:			

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5. Employer Telephone:	
6. Gross Annual Income:	
7. Other Income Source:	<i>Should you engage in any activities which provide significant additional source of income, other than the occupation listed above, please list them here along with the names of any relevant business entities as applicable:</i>

D. OUR RELATIONSHIP		<i>If you select "wealth management" in D1, please be sure to complete D5 to D7.</i>	
1. Business Activity:	Wealth Management <input type="checkbox"/> Corporate Finance <input type="checkbox"/>	Specific Investment <input type="checkbox"/> Other <input type="checkbox"/>	
2. Frequency of Activity:	Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-annually <input type="checkbox"/> Other:		
3. Will you be conducting business on behalf of, or for the benefit of any other entity or individual through this account?			
4. What will be the sources of funding which will provide for the activities that you contemplate to undertake with us?			
5. What is your level of direct experience in years with these different forms of investments?	Equities (local)	Equities (foreign)	
	Bonds	ETFs	
	Mutual Funds	Commodities	
6. What are your investment objectives?	Income <input type="checkbox"/>	Growth & Income <input type="checkbox"/>	Growth <input type="checkbox"/>
7. What are your current financial goals?	<i>You can be as specific or as preliminary as you like</i>		
Next 2 years			
Next 5 years			
And beyond...			

E. LEGAL INFORMATION		<i>Please write Yes or No (If Yes, please give as much detail as possible)</i>	
1. Have there ever been any criminal or civil proceedings brought against you? If yes, please describe:			
2. Are you or your spouse, singularly or as part of a group, in a position of control or similarly connected to any publicly listed company of any jurisdiction? If yes, please state details:			

F. POLITICALLY EXPOSED PERSONS		YES <input type="checkbox"/> NO <input type="checkbox"/>
1. Have you been or are you an individual, or the immediate family of, or a close personal or professional associate of:	Head of State or Government <input type="checkbox"/> Senior Government, Judicial or Military Officials <input type="checkbox"/> Senior Politician <input type="checkbox"/> Senior executives of state-owned corporations <input type="checkbox"/> Important political party officials <input type="checkbox"/> Senior executives of international non-governmental organisations <input type="checkbox"/>	
2. If you selected any at F1, please give details here:		

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G. U.S. INDICIA (FATCA)	<i>The Govt of T&T has agreed with the U.S. to collect data on persons with U.S. indicia</i>		
Indicate 'Y' if any of the below applies to you or select 'NO' here if none apply NO <input type="checkbox"/>			
U.S. Indicia	Documentation Required	Doc Enc? State Yes or No	
U.S. citizen or permanent resident <input type="checkbox"/>	W-9 or W-8BEN		
U.S. birthplace <input type="checkbox"/>	W-9 or W-8BEN or Non-US passport		
U.S. residence or mailing address <input type="checkbox"/>	W-9 or W-8BEN or Non-US passport		
Fund Transfer required to U.S. bank account <input type="checkbox"/>	W-9 or W-8BEN or Non-US passport		
Power of Attorney granted to U.S. person <input type="checkbox"/>	W-9 or W-8BEN or Non-US passport		

H. REQUIRED DOCUMENTS	<i>Please enclose the following documents (originals to be seen or copies certified)</i>		
1. Two forms of current photo identification (as selected in B1) <input type="checkbox"/> 2. Proof of physical and mailing address (utility bill or bank statement, 3 months to current) <input type="checkbox"/> 3. Pay slip or job letter <input type="checkbox"/> 4. Confirmation of bank account number <input type="checkbox"/> 5. Bank reference letter (if non-resident in T&T) <input type="checkbox"/> 6. If you are unable to provide a pay slip or job letter and / or you answered yes to F1, you must complete a Source of Wealth form and provide supporting documentation <input type="checkbox"/> 7. Minimum one form of current photo identification for each Beneficiary <input type="checkbox"/> 8. Information on additional Beneficiaries (as applicable) <input type="checkbox"/>			

I. BENEFICIARIES	I request that in the event of my death, my assets held at Firstline Securities shall be distributed equally to the below-mentioned beneficiaries, unless I state otherwise in writing to the Compliance Department of Firstline Securities Limited.		
BENEFICIARY #1	<i>Please provide copies of at least one government issued photo identification</i>		
1. Full Name:			
2. Title:	Mr. <input type="checkbox"/>	Mrs. <input type="checkbox"/>	Ms. <input type="checkbox"/> Other: <input type="text"/>
3. Date of Birth: <i>dd/mm/yy</i>			
4. T&T Resident? Yes/No		5. Country of Residence if answer to A4 is 'no'	
6. Mailing Address:			
7. Telephone Numbers:	Home:	<input type="text"/>	Mobile: <input type="text"/>
	Work:	<input type="text"/>	Other: <input type="text"/>
8. Email Addresses:	Primary: <input type="text"/>	Secondary: <input type="text"/>	
9. Relationship to Client:			

BENEFICIARY #2	<i>Please provide copies of at least one government issued photo identification</i>		
1. Full Name:			
2. Title:	Mr. <input type="checkbox"/>	Mrs. <input type="checkbox"/>	Ms. <input type="checkbox"/> Other: <input type="text"/>
3. Date of Birth: <i>dd/mm/yy</i>			
4. T&T Resident? Yes/No		5. Country of Residence if answer to A4 is 'no'	
6. Mailing Address:			
7. Telephone Numbers:	Home:	<input type="text"/>	Mobile: <input type="text"/>
	Work:	<input type="text"/>	Other: <input type="text"/>
8. Email Addresses:	Primary: <input type="text"/>	Secondary: <input type="text"/>	
9. Relationship to Client:			

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Should you wish to list any further beneficiaries, please attach the required information on a separate sheet and advise of its inclusion in H above.

J. YOUR DECLARATION			
<p>I declare that the information I have provided on this form is true and correct to the best of my knowledge. I authorise Firstline Securities Limited to obtain independent verification of any information provided in respect of this application or as may be required by law, using any legal means available to it, including but not limited to performing background checks, credit checks, and checks against lists of politically exposed persons and terrorist watch lists. I understand Firstline may be legally compelled to share my information with local or foreign regulatory organisations.</p>			
Signature:		Date: dd/mm/yy	
<p><i>If this form has been completed by an intermediary (power of attorney or other authorised individual), Firstline requires original authorization from you on the appointment of your intermediary.</i></p>			
Intermediary Name:		Signature:	
		Date:	
		dd/mm/yy	
ID Detail:	Natl ID <input type="checkbox"/>	DP <input type="checkbox"/>	PP <input type="checkbox"/>
		Number:	
Seal/ Stamp of intermediary if applicable			

INTERNAL USE (check all that apply)			
	Non-resident individual		Real estate agent
	Non-resident business		Motor vehicle sales
	Institutional investor		Gaming / betting house
	Financial services business		Accountant / Attorney
	Money remittance / exchange provider		Art dealer
	Precious metals & stones dealer		Trust / trustee
	Politically exposed person		Connected person to publicly traded co / issuer
	International non-governmental organisation		Charity / Not for Profit
	U.S. indicia		FATF High-Risk Jurisdiction
REVIEWED & SIGNED BY:			
Originals verified: <input type="checkbox"/>		Certified document copies received: <input type="checkbox"/>	
Account Executive		Compliance Officer	
Date:		Date:	