

D. OTHER REFERENCE (S)

CSR(s) ANOTHER GAMBI CLIENT

OTHER (specify) _____

E. POLITICALLY EXPOSED PERSONS

ARE YOU A POLITICALLY EXPOSED PERSON (PEP)? YES NO

IF YES GIVE DETAILS _____

ARE YOU RELATED TO POLITICALLY EXPOSED PERSONS (PEP)? YES NO

IF YES GIVE DETAILS _____

F. INVESTMENT PROFILE

INVESTMENT EXPERIENCE	TENOR	INVESTMENT OBJECTIVE	ANNUAL INCOME (from all Sources)	RISK TOLERANCE
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<input type="checkbox"/>	NONE	<input type="checkbox"/>	SHORT TERM	<input type="checkbox"/>	CAPITAL PRESERVATION	<input type="checkbox"/>	Under \$1,000,000	<input type="checkbox"/>	LOW
<input type="checkbox"/>	LIMITED	<input type="checkbox"/>	MEDIUM TERM	<input type="checkbox"/>	CAPITAL APPRECIATION	<input type="checkbox"/>	\$1,000,000 to \$1,500,000	<input type="checkbox"/>	MEDIUM
<input type="checkbox"/>	GOOD	<input type="checkbox"/>	LONG TERM	<input type="checkbox"/>	INCOME	<input type="checkbox"/>	Over \$1,500,000	<input type="checkbox"/>	HIGH

G. DECLARATIONS

1. SOURCE OF FUNDS

HOW MUCH WILL PASS THROUGH THIS ACCOUNT GS _____

HOW OFTEN WILL INVESTMENTS BE MADE MONTHLY QUARTERLY OTHER (SPECIFY) _____

I/WE DECLARE THAT THE Source of Funds for this transaction is _____

As a matter of policy, Guyana Americas Merchant Bank Inc. verifies the source of funds before accepting funds for settlement on the purchase of any securities or bonds on both local and foreign markets and for any other transaction. Consent is hereby given to Guyana Americas Merchant Bank Inc. to disclose the information provided herein to Regulatory and Law Enforcement Authorities. I/We declare that the information given is true and correct and that the money in this transaction comes from a legal source, and that the account is not to be operated for the purpose of laundering money, funding terrorists or any such illegitimate activities. I/We understand that under the Anti Money Laundering and Countering the Financing of Terrorism Act 2009, Guyana Americas Merchant Bank Inc. has an obligation to report any suspicious transaction(s).

Signature of Client or person conducting transaction

2. OTHER TERMS AND CONDITIONS

In the case of Individual Client Applications, I/We certify to Guyana Americas Merchant Bank Inc. that the person(s) indicated in Section B, of this form is/are either 18 years or older. In cases where mail is forwarded to my/our P.O. Box or in care of a third party, I / We agree that "all correspondence(s) of any nature whatsoever" sent to me/us in such address will have the same force and effect as if it had been delivered to me personally. I/We have listed my/our permanent address on the application form. I/We certify that the signatures in the section labeled "Signatories" are authentic and that the person(s) indicated as having trading authorization, and are authorized to give instructions for the operation of the account. In the case of non-face-to-face customers all documents including Applications, copy of IDs, Certificate of Incorporation, Articles of Association must be certified by a regulated and supervised entity. I/We certify that all information provided is true and correct. I/we understand that this information can be used by Guyana Americas Merchant Bank Inc. to verify the identity of the Individual(s) / Entities, therefore any changes made to Customers Information should be immediately communicated to this company in writing. Guyana Americas Merchant Bank Inc. reserves the right to reject any application or to close any account, in particular those suspected of any illegitimate activities that are counter to the values of this company and the rules and regulations governing our business. I/We agree that all transactions executed on behalf of me/us are subject to the rules and regulations of the Guyana Stock Exchange, as stipulated in the Guyana Americas Merchant Bank Inc. Client Agreement Form in Section A through D and Sections 1 through 6, in keeping with the Securities Industry Act 1998. Guyana Americas Merchant Bank Inc. may communicate to the applicant the reason(s) for the rejection of any application or the closure of any account. I/We understand that the investments are not insured by the Government, there are no bank guarantees and the investments may lose value.

CLIENT OBLIGATION IN PURCHASE BARGAIN

Where a client in a purchase bargain fails to settle within the stipulated T+5 settlement cycle, Guyana Americas Merchant Bank Inc. shall sell out as soon as is reasonably possible in order to make good its position. The client will be responsible for costs any further loss incurred after selling out. Defaulting client will also be reported to the Guyana Stock Exchange.

This condition will also apply in the event of death of a purchaser between the time of placing the order and settlement day except that Executors (or Administrators) of deceased purchaser will be responsible for the costs and any loss incurred after selling out.

I/We the undersigned have read and understand all Terms and Conditions stated in this Section Other Terms and Conditions and attached Guyana Americas Merchant Bank Inc. Client Application and Agreement Form.

H. SIGNATORIES

	SIGNATURE	DATE	WITNESS TO SIGNATURES	DATE
CLIENT PRINCIPAL	▷		▷	
JOINT 1.	▷		▷	
	SIGNATURE (Agent/Fund Manager/Investment Broker/Other)	DATE		
	▷			

INSTRUCTIONS / KYC CHECKLIST

A. IMPORTANT POINTS

1. Applicants are required to complete one (1) Individual Application form. All fields must be completed.
2. Source of Funds / Wealth for the account must be declared by applicant(s). Supporting evidence must be provided (pay slips, financial statements, dividend slips, etc.)
3. Copies of all documents submitted by the applicants and signatures must be certified / witnessed by entities authorized for certifying / notarizing documents, as per list below.
4. If any proof of identity or address is in a foreign language then English translation is required.
5. Applicants must provide two (2) forms of Government issued proof of IDs.
6. Name and address of applicant on the KYC form should be the same as the documentary proof.
7. If mailing address and permanent address are different, then proofs for both must be submitted. If mailing address is a P.O. Box then permanent address and proof must be submitted.
8. Sole proprietor or self-employed persons must complete the application in his individual name and capacity. He/she must declare his line of business; provide at least three years financial / bank statements and all relevant supporting company documents.
9. Students and other unemployed persons must declare their status and provide evidence / information on the person(s) who will be financing the account.
10. For non-residents and foreign nationals two notarized copies of IDs (inclusive of a passport) and proof of address must be submitted.
11. Bank Reference and Other References are optional however, all non-residents and foreign nationals must provide written reference from his / her foreign bank.
12. Politically Exposed Persons are defined as individuals who are or have been entrusted with prominent public functions, e.g., Heads of States or of Governments, senior politicians, senior government/ judicial/military officers, senior executives of state owned corporations (political appointees), important political party officials, financiers, etc.
13. For estate accounts, where probates or Letters of Administrations (LOAs) are executed abroad, documents must be resealed in Guyana.
14. If the applicant to this account is different from the person with signing authority, then a Power of Attorney (POA), or letters of Administration (LOA) / Probate (If estate account) must be provided.
15. A certified copy of Death Certificate must be submitted with Estate Account.
16. Applicants wishing to deposit shares for sale or transfer shares (estates, individual or joint stock transfers) must also submit signed stock transfer form along with stock certificates. Non-resident / foreign nationals or non-face to face client(s) must have signature(s) on Stock Transfer Form notarized / witness.

B. Proof of Identity (POI): Any two of the listed identification documents. All Identification documents must be valid on the date of submission.

1. Passport
2. National Identification card
3. If applicant(s) has/have only one (1) form of Identification, then a Birth Certificate or similar document must be submitted (affidavit of identity)

C. Proof of Address: List of documents admissible as proof of address

1. Utility bills
2. Statements from other regulated financial institutions
3. Rental Agreement and receipt

D. Source of Funds / Wealth

1. Payslip (if employed)
2. Recent Financial Statement (business owners)
3. Statements from other regulated financial institutions
4. Business registration (if any)
5. Any other document to evidence same.

E. Other

1. Copy of TIN Certificate
2. Copy of Valid regulatory permit / licence

f. List of people authorized to certify documents

1. Guyana Americas Merchant Bank Inc. Officer
2. Notary Public (Non- Residents or persons living abroad should use a Notary Public)
3. Commissioner of Affidavits
4. Authorized official of the applicants bank (Name, Designation & Seal should be affixed on the copy)
5. Magistrate / Judge
6. Senior police /military officer (Name, Rank and Seal should be attached)
7. Guyana Embassy/Consulate General in the country where the applicants resides.

FOR OFFICIAL USE ONLY

ANTI MONEY LAUNDERING ASSESSEMENT

1. Has the applicant name been checked against the list of known and suspected terrorist or blocked person and entities?	MATCH	<input type="checkbox"/>	NO MATCH	<input type="checkbox"/>
If a match was found, was a Suspicious Activity Report completed and submitted to the Compliance Officer	YES	<input type="checkbox"/>	NO	<input type="checkbox"/>
2. Is the applicant a Politically Exposed Person (PEP) i.e. a holder or former holder of public office or related to or closely associated with such a person?	YES	<input type="checkbox"/>	NO	<input type="checkbox"/>
3. Is the applicant engaged in any of the following businesses?				
Internet Gambling	YES	<input type="checkbox"/>	NO	<input type="checkbox"/>
Real Estate	YES	<input type="checkbox"/>	NO	<input type="checkbox"/>
Motor Vehicle Sales	YES	<input type="checkbox"/>	NO	<input type="checkbox"/>
Gaming Houses	YES	<input type="checkbox"/>	NO	<input type="checkbox"/>
Pool Betting	YES	<input type="checkbox"/>	NO	<input type="checkbox"/>
National Lottery Online Betting Games	YES	<input type="checkbox"/>	NO	<input type="checkbox"/>
Charitable Organization	YES	<input type="checkbox"/>	NO	<input type="checkbox"/>
Cash Intensive Business	YES	<input type="checkbox"/>	NO	<input type="checkbox"/>
Jewellers	YES	<input type="checkbox"/>	NO	<input type="checkbox"/>
Professional Service Providers e.g. Lawyers, Accountant, Doctors	YES	<input type="checkbox"/>	NO	<input type="checkbox"/>
4. Two (2) forms of ID received?	YES	<input type="checkbox"/>	NO	<input type="checkbox"/>
5. Proof of Address	YES	<input type="checkbox"/>	NO	<input type="checkbox"/>
6. Has / Have the applicant (s) provided supporting evidence?	YES	<input type="checkbox"/>	NO	<input type="checkbox"/>
7. Was/Were the applicant(s) information verified?	YES	<input type="checkbox"/>	NO	<input type="checkbox"/>
8. Was the Source of Funds declared?	YES	<input type="checkbox"/>	NO	<input type="checkbox"/>

CUSTOMERS RISK RATING

LOW MEDIUM HIGH

CUSTOMERS RELATIONS OFFICER CONFIRMATION ON CUSTOMER DUE DILLIGENCE

I confirm that I have complied with Guyana Americas Merchant Bank Inc. Anti-Money Laundering and Anti-Terrorist Financing Policies and Procedures.

Officer's Signature Date

APPROVAL OF ACCOUNT

ACCOUNT CREATED BY: _____ DATE: _____ SIGNATURE: _____

APPROVED BY: _____ DATE: _____ SIGNATURE: _____