



# West Indies Stockbrokers Limited

Member of The Trinidad & Tobago Stock Exchange Limited

1<sup>st</sup> Floor, Albion Plaza 22-24 Victoria Avenue, P.O. Box 259, Port of Spain, Trinidad

Tel.: (868) 625-WISE (9473), 623-4861, 625-4009, 625-4010 \* Fax: 627-5002

Southern Branch: Cor. Sutton & Gomez Streets, San Fernando Tel: (868) 657-2128

Central Branch: Upper Level, Room 414, Centre Pointe Mall, Chaguana Tel: (868) 671-8917

E-mail: [info@wisett.com](mailto:info@wisett.com) Website: <http://wiseequities.com>

## Investor Application Form

Application Date dd / mm / yyyy / /
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Account No.:
Account Type:

Tick  one box only:  Existing Investor  New Investor

1.  Mr.  Mrs.  Miss  Dr.  Other

Investor's First Name/Company Name: \_\_\_\_\_

Investor's Middle Name(s): \_\_\_\_\_

Investor's Surname: \_\_\_\_\_

Birth Date: \_\_\_\_\_ Birth Place: \_\_\_\_\_ Citizenship: \_\_\_\_\_

I.D. No.: \_\_\_\_\_ Type: \_\_\_\_\_ I.D. No.: \_\_\_\_\_ Type: \_\_\_\_\_

Home Address: \_\_\_\_\_

\_\_\_\_\_

E-mail Address: \_\_\_\_\_ Mobile No.: \_\_\_\_\_ Home Tel. No.: \_\_\_\_\_

Employer: \_\_\_\_\_

Business Address: \_\_\_\_\_

\_\_\_\_\_ Business Tel. No.: \_\_\_\_\_

Fax No.: \_\_\_\_\_ E-mail Address: \_\_\_\_\_

Type of Business: \_\_\_\_\_

2. First Joint Holder:

3. Second Joint Holder:

Mr. Surname: \_\_\_\_\_  
 Mrs. \_\_\_\_\_  
 Miss First Name: \_\_\_\_\_  
 Dr. \_\_\_\_\_  
 Other Middle Name(s): \_\_\_\_\_

Mr. Surname: \_\_\_\_\_  
 Mrs. \_\_\_\_\_  
 Miss First Name: \_\_\_\_\_  
 Dr. \_\_\_\_\_  
 Other Middle Name(s): \_\_\_\_\_

Date of Birth: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

Place of Birth: \_\_\_\_\_

Place of Birth: \_\_\_\_\_

Citizenship: \_\_\_\_\_

Citizenship: \_\_\_\_\_

I.D. Nos.: 1. \_\_\_\_\_

I.D. Nos.: 1. \_\_\_\_\_

2. \_\_\_\_\_

2. \_\_\_\_\_

Occupation: \_\_\_\_\_

Occupation: \_\_\_\_\_

Employer: \_\_\_\_\_

Employer: \_\_\_\_\_

### 4. INVESTOR PROFILE: Kindly take a few moments to fill out the following investor profile

i. Investment Objectives:

- Capital Appreciation
- Asset Diversification
- Income
- Other

iii. Annual Income:

- 0 - \$49,999
- \$50,000 - \$99,999
- \$100,000 - \$199,999
- \$200,000 and over

\$500,001 - \$1,000,000

Over \$1,000,000

v. How long would you leave money in an investment?

- Less than 1 year
- 1 to 5 years
- Over 5 years

ii. Net Worth:

- 0 - \$199,999
- \$200,000 - \$299,999
- \$300,000 - \$499,999
- \$500,000 and Over

iv. Estimated amount of money per annum available for investment:

- Less than \$50,000
- \$50,001-\$100,000
- \$100,001-\$500,000

vi. My investment decisions are based on:

- The recommendation of friends;



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- Professional advice
- Reports in the news
- Advertisements
- My previous experience

vii. I currently have investments in:

- Bank savings account
- Building Society /Credit Union
- Partner Plan
- Life Insurance
- Foreign Currency
- Real Estate
- Stocks
- Bonds
- My mattress

viii. When investing, I would:

- Prefer a mix of investments
- Prefer stocks
- Prefer bonds
- Prefer a managed fund

ix. When investing in stocks, bonds or unitized funds, I consider myself:

- Very inexperienced
- Somewhat experienced
- Very Experienced

x. Estimated Total Annual Household Income (Gross):

- Under \$500,000
- \$500,001 - \$1,000,000
- \$1,000,001- \$3,000,000
- Over \$3,000,000

xi. I would prefer investments:

- With a guaranteed rate of return, even if rate is low;
- Which offer capital gains;
- With little or no risk;
- Which provide a hedge against inflation and/ or devaluation

xii. What do you save for? (tick all that apply)

- Home
- Pension
- Children
- Vehicle
- Lump sum Education
- Other \_\_\_\_\_

5. Types of Securities to be deposited: \_\_\_\_\_

Total value of investment \$ \_\_\_\_\_

6. Source of Funds: [ ] Cash [ ] Cheque [ ] Wire Transfer [ ] Other

7. Are Securities to be held as security for any loan? \_\_\_\_\_

If yes, State Institution: \_\_\_\_\_

8. Who will give instructions on this account and how instructions will be given to WISE? \_\_\_\_\_

9. Are you, as an individual or as part of a group, in a control position of a publicly traded company? [ ] Yes [ ] No

If yes, State Company: \_\_\_\_\_

10. Are you a Director, Senior Officer or Insider of any publicly traded company? [ ] Yes [ ] No

If yes, State Company: \_\_\_\_\_

11. What volume of trading activities can be expected on this account? \_\_\_\_\_

12. (a) Are the Securities deposited beneficially owned by any other person or entity? \_\_\_\_\_

If yes, provide details in 12 (b) \_\_\_\_\_

12. (b) Full Name: \_\_\_\_\_

Current Address: \_\_\_\_\_

Date of Birth: \_\_\_\_\_ Place of Birth: \_\_\_\_\_

I.D. No.: \_\_\_\_\_ Type: \_\_\_\_\_ I.D. No.: \_\_\_\_\_ Type: \_\_\_\_\_

13. Declaration

I/We the undersigned applicant(s) for an account with WISE declare that the statements made by me/us on this form and on the Broker/Investor Agreement are, to the best of my/our knowledge and belief, true and correct.

I/We agree to WISE processing my/our personal data contained in this form and other personal data that WISE may obtain from me/us or from other people or entities connected with my financial affairs and my/our antecedent.



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## Investor Application Form

I/We declare that the funds and securities covered by this application came from a legal source and are not connected to money laundering, terrorists activities, drug trafficking or other specified offences.

In consideration of WISE opening an account for me/us we promise to conduct such account in accordance with the agreed guidelines and to check and verify each account statement received and to notify WISE forthwith of any errors in the volume, type and value of any securities mentioned in the account statement received by me/us and not to sell, pledge or otherwise dispose of such securities that may have been wrongly or erroneously credited to my/our account.

I/We declare that I am/We are aware that should I/We dispose of, sell, transfer, or pledge any securities that have been wrongly or erroneously credited to my/our account, I/We may be liable to criminal prosecution and will be required to make full restitution to WISE.

I/We declare that I/We have read and understood the aforementioned declarations and consent is hereby given to WISE, to retain this form, conduct its normal investigations on me/us, and to seek and receive information from any person, agency, entity or financial institution holding or possessing any such information on me/us.

\_\_\_\_\_  
Applicant's Signature                      1<sup>st</sup> Joint Applicant's Signature                      2<sup>nd</sup> Joint Applicant's Signature

14. \_\_\_\_\_  
Witness Signature & Name                      Witness Signature & Name                      Witness Signature & Name

15. Authorized By: \_\_\_\_\_ on \_\_\_\_\_

\_\_\_\_\_  
Signature

16.

**FOR WISE USE**

### Particulars of Securities Received by WISE.

Name(s) on Certificate(s): \_\_\_\_\_

AMOUNT	PRICE/DEPOSIT TO TTCD	SECURITIES NAME	DATE OF CERTIFICATE	CERTIFICATE NO.

17. Stockbroker's Receipt for Securities number: \_\_\_\_\_ and date \_\_\_\_\_

18. Stockbroker's Agreement number \_\_\_\_\_ and date \_\_\_\_\_

19. TTCD receipt number \_\_\_\_\_ and date \_\_\_\_\_

20. Securities Received by: \_\_\_\_\_ Signature: \_\_\_\_\_

21. Cash Received by: \_\_\_\_\_ Signature: \_\_\_\_\_

22. Stockbroker's Agreement Signed by: \_\_\_\_\_ Date: \_\_\_\_\_

Investor's Name

23. Agreement authorized by: \_\_\_\_\_

WISE Employee Name and Signature

24. Investor's identity verified by: \_\_\_\_\_

on \_\_\_\_\_ Signature: \_\_\_\_\_

25. Account created by: \_\_\_\_\_ on \_\_\_\_\_ Signature: \_\_\_\_\_

26. Certified by \_\_\_\_\_ on \_\_\_\_\_ Signature: \_\_\_\_\_

Supervisor