

Account Opening Form

Personal Details

* First Name	
* Last Name	
* Country of Residence	
* Preferred Language	
* Code	
* Phone	
* E-mail Note: Only 1 email address is allowed per client	
* Date of Birth (DD/MM/YY)	
* Are you a US citizen for tax purposes?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Tax Identification Number	
Tax Residency	
Are you a Politically Exposed Person (PEP)?	<input type="checkbox"/> Yes <input type="checkbox"/> No

Address Details

* City / Town	
* Street Number	
* Residential Address	
* Postal/Zip code Note: Please ensure the address written is the same as the one displayed on your supporting documents	

Commented [5C1]: If less than 18 years, should not be accepted as a client

Commented [5C2]: If Yes - a pop up window should appear and say that "we are not provide services to US citizens/residents" and do not allow them to open an account

Commented [NX3]: This is required to be obtained for FATCA/CRS purposes.

In case the client does not provide same, he/she should not be able to proceed with the next step forward.

Commented [NX4]: As per Section 2 of FIAMLR 2018, "politically exposed person" or "PEP" – (a) means a foreign PEP, a domestic PEP and an international organisation PEP; and

(b) for the purposes of this definition – "domestic PEP" means a natural person who is or has been entrusted domestically with prominent public functions in Mauritius and includes the Head of State and of government, senior politicians, senior government, judicial or military officials, senior executives of state owned corporations, important political party officials and such other person or category of persons as may be specified by a supervisory authority or regulatory body after consultation with the National Committee;

"foreign PEPs" means a natural person who is or has been entrusted with prominent public functions by a foreign country, including Heads of State or of government, senior politicians, senior government, judicial or military officials, senior executives of state owned corporations, important political party officials and such other person or category of persons as may be specified by a supervisory authority or regulatory body after consultation with the National Committee;

"international organisation PEP" means a person who is or has been entrusted with a prominent function by an international organisation and includes members of senior management or individuals who have been entrusted with equivalent functions, including directors, deputy directors and members of the board or equivalent functions and such other person or category of persons as may be specified by a supervisory authority or regulatory body after consultation with the National Committee".

A PEP is an individual who is or has been entrusted with a prominent public function such as:

- heads of state;
- heads of government;
- ministers and deputy or assistance ministers;
- members of parliament;
- influential functionaries in nationalised industries and government administration;
- judges and senior magistrates;
- senior political party functionaries;

Trading Account Details

* Trading Platform Type	<input type="checkbox"/> MT5 (Forex, CFDs on Stock, Equity Indices, Metals, Energy, Shares) <input type="checkbox"/> MT4 (Forex, CFDs on Equity Indices, Metals, Energies)
* Account Type	<input type="checkbox"/> Standard (1 lot = 100,000) <input type="checkbox"/> Micro (1 lot = 1,000)
* Account Bonus	<input type="checkbox"/> Yes, I want to receive the bonus <input type="checkbox"/> No, I do not want to receive the bonus

Commented [5C5]: Pls amend based on your set up as applicable

Commented [5C6]: optional

Investor Information

* What is the amount that you expect to deposit in the next 12 months? (USD)	<input type="checkbox"/> 0 – 20,000 <input type="checkbox"/> 20,001 – 50,000 <input type="checkbox"/> 50,001 – 250,000 <input type="checkbox"/> 250,001 – 500,000 <input type="checkbox"/> 500,001 – 1,000,000 <input type="checkbox"/> More than 1,000,000
* Intended Purpose and Nature of Transactions	<input type="checkbox"/> Speculative <input type="checkbox"/> Hedging <input type="checkbox"/> Investment <input type="checkbox"/> Risk Management <input type="checkbox"/> Diversification
* Employment Status	<input type="checkbox"/> Employed <input type="checkbox"/> Self employed <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Not working
What is the nature of your profession/business or relevant former profession/business?	<input type="checkbox"/> Financial Services <input type="checkbox"/> Legal Services <input type="checkbox"/> Accounting Services <input type="checkbox"/> IT <input type="checkbox"/> Government Activities <input type="checkbox"/> Computers and/or Mathematics <input type="checkbox"/> Education <input type="checkbox"/> Engineering and/or Construction <input type="checkbox"/> Other

* Your total Annual Estimated Income (USD)	<input type="checkbox"/> Less than 50,000 <input type="checkbox"/> 50,001 – 100,000 <input type="checkbox"/> 100,001 – 500,000 <input type="checkbox"/> 500,001 – 1,00,000 <input type="checkbox"/> More than 1,000,000
* Your total Estimated Net Worth (USD)	<input type="checkbox"/> Less than 50,000 <input type="checkbox"/> 50,001 – 100,000 <input type="checkbox"/> 100,001 – 500,000 <input type="checkbox"/> 500,001 – 1,00,000 <input type="checkbox"/> More than 1,000,000

Trading Knowledge & Experience

* Professional experience or qualifications which would assist your understanding of our services	<input type="checkbox"/> Recent work experience in a financial institution <input type="checkbox"/> A relevant professional qualification and / education <input type="checkbox"/> Both of the above <input type="checkbox"/> None of the above
* How many times have you personally traded in over-the-counter (OTC) derivatives (i.e. contracts for differences, rolling spot forex) over the past three years?	<input type="checkbox"/> More than 25 times <input type="checkbox"/> 10 to 25 times <input type="checkbox"/> Less than 10 times <input type="checkbox"/> Never
*Do you understand that trading on CFDs carries significant risk of loss?	<input type="checkbox"/> Yes <input type="checkbox"/> No

Commented [5C7]: The answer should be YES. If they select NO the Risk warning at the bottom of the website shall appear on a pop-up message and the clients should click YES to continue.

Confirmation (tick boxes)

I declare that I have carefully read, accept and fully understood the entire content of the Terms and Conditions, Order Execution Policy, Risk Disclosure, Conflicts of Interest Policy, Privacy Policy and any other legal documentation.

I have approached the Company on my own exclusive initiative and I authorize the Company and/or any of the Company's representatives to contact me by phone or email.

The below are for internal use and to assist you in preparing the onboarding questionnaire and request the appropriate KYC/DD documentation of individual clients.

You should request the below documents from each client during the onboarding stage, as applicable:

1. Verification of Identity

Certified true copy^{1*} of **one** of the below:

- a national identity card;
- a current valid passport; or
- a current valid driving licence with a photograph.

2. Verification of current and permanent residential address²:

Original or certified true copy* of **one** of the below:

- recent³ utility bill (gas, water, electricity or landline telephone); or
- recent bank or credit card statement; or
- recent reference or letter of introduction from
 - (i) a financial institution that is regulated in Mauritius;
 - (ii) a regulated financial services business which is operating in an equivalent jurisdiction or a jurisdiction that complies with the FATF standards; or
 - (iii) a branch or subsidiary of a group headquartered in a well-regulated overseas country or territory which applies group standards to subsidiaries and branches worldwide, and tests the application of, and compliance with, such standards.

3. Source of funds:

- Information on the source of funds (as per the account opening form)
- Evidence of source of fund: to be requested **above a specific threshold**, as this is decided internally (e.g. above USD 10,000) – this needs to be clearly depicted in your AML policies.

4. World Check / Screening report – you are required to perform screening and have this record in your files for each client

5. Validation of Passport via an online Screening software

¹ The term 'certified true copy' implies that the document must be appropriately certified as a true copy of the original document either by a lawyer, notary, actuary, accountant or any other person holding a recognized professional qualification, director or secretary of a regulated financial institution in Mauritius or in an equivalent jurisdiction, a member of the judiciary or a senior civil servant.

The certifier should clearly state his/her name, address and position/capacity on it together with contact details to aid tracing of the certifier.

² If the current and permanent address differ, the client needs to provide a separate utility bill for each address. PO Box addresses are not acceptable.

³ 'Recent' means issued within the last 3 months.

The Company reserves the right to request additional information and documentation, including source of wealth, as part of its onboarding process and prior to accepting the Client.

Additional measures that you may implement:

1. Internet Check / Background Information to be collected – you can collect some information on each client and check their background
2. Declaration of source of fund (for shareholders, beneficial owners, ultimate beneficial owners, investors, settlors/contributors)

****Electronic verification can be used instead of certified true copies - In case electronic verification is preferred over certified true copies, you are required to have in place an electronic system that can verify electronically the proof of identity /proof of address for each client. This procedure needs to be submitted to the FSC for approval prior implementing same.***