



## **KYC Form for Natural Person (Individual)**

Date: .....

Type:  New  Update

### **Client's information:**

▪ Identification Document Type:

ID  passport  family book  other (please specify)

▪ ID document No. ....

▪ Issuance place: .....issuance date : ..... Expiry date: .....

▪ Entry No. (only for citizens) .....

▪ Client's full Name (as Per Passport).....

▪ Date of birth: ..... Residence place: .....

▪ Gender:  Male  Female

▪ Nationality: ..... Other nationalities: 1) .....2) ..... 3) .....

▪ Educational level:  Higher studies  Bachelor's degree  High school  Others.....

▪ Type of Residence:  Own  Rent  With family  Offered by the employer

▪ Employment Status:  Employed  Unemployed  Businessman/woman  Investor Housewife

Student  Retired  Others .....

▪ Current Employer's name: ..... Address: .....Tel No. ....

▪ Date of joining: ..... Job title: .....

▪ Correspondence address:

Tel No. .... Cellphone No. .... Fax No. ....

P.O. Box: ..... Postal code: .....

City/town: ..... Province/ Emirate: ..... Country: .....

Email: .....

▪ Dealing Capacity:  Personal  Caretaker  Proxy  Guardian

▪ Ref. No. of the proxy or custodianship/Guardianship .....issuance place .....

Notes: .....

If the client signed as per a proxy, a clear copy must be attached after properly reviewing original document. In case deletion, amendment, both parties must sign

The client hereby approves and authorizes al Sahel shares center to fill in the accounts number after having this agreement signed properly and completing all required procedures to open a trading account.

### **Other information**

Client's Sign.

Please ...  
SIGN HERE



- Is the client, chairman or a director, general manager, executive manager or an employee has occupied a position which within his responsibilities and duties would be an insider information person at a public listed company in the state or one of his relatives up to the second degree?

Yes  No .....if you answer yes, print the company's name .....Capacity .....  
 Relativity..... Name of the relative .....

- Does the client, chairman or a director, general manager, executive manager or an employee occupies a position of chairman or a director, general manager, executive manager or an employee at a licensed brokerage firm by UAE Securities & Commodities Authority (SCA) or one of his/her relatives up to the 2<sup>nd</sup> degree:  Yes  No

(1<sup>st</sup> degree includes father, mother, son, daughter and spouse. 2<sup>nd</sup> degree includes: grandfather, grandmother, sibling, Grandsons).

- Is there commercial partnership between you and one of company's director or any one relates to one of them?

Yes  No if yes, please define this partnership .....

- Have you recently worked or currently working or one of your family members up to the second grade at a high position in the government sector?  Yes  No, if you answer yes, please provide briefed explanation:

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I hereby acknowledge to inform you in writing of any change would occur to my status or relationship with any listed companies in the state within 7 working days of occurrence of such change, Al Sahel Shares Center holds no responsibility due to any damage or fines would be caused due to failure to notify us properly and timely in writing of such change, I take full responsibility for any possible consequences or fines.

For legal person, is there commercial partnership between you and any of the company's director or any one relates to one of them?  Yes  No if yes, please explain it

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- Do you have more than 5% in any public listed company,  Yes  No. if yes, please provide name of the company .....

- Reasons for and the purpose of opening account

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- Is this account for your personal use and not for others?  Yes  No.....if yes, please provide information on the ultimate beneficial owner?

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**Clients' Financial information**

- Annual income (in AED )

Less than 10,000  500,000 – 100,000  +500,000 – 2,500,000  More than 2,500,000

- Source of income:

Saving  Salary  Inheritance  Capital markets  Others please specify .....

Client's Sign.	
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- Bank information (which will be used to transfer dividends):

Bank name: .....Country: .....

IBAN No. ....

- Allocated amount of money designated for investment (in UAD) : .....
- Investment strategy:  Long term  Short term  Speculation
- Do you have financial obligations/loans: .....  Yes  No , if yes, please explain .....
- Do you have a trading account at other brokerage firm: Yes No.....please name it/them

**Client's investment information**

- Investment experience in capital markets (equities):

None  Limited (less than 1 year)  Moderate (from 1 to 3 years)  Experienced (more than 3 years)

- Preferred sector:

Banks  Industry  Services  Insurance  Real Estate  Investment And Financial Services

Communication  Transportation  Consumer Commodities  all of them

- Is there specific companies you prefer to invest in ? yes no ...if yes, please list them below:

1. .... 2. .... 3. ....

- **Risk Tolerance:**  Low  Medium  High (Please read explanation below).

It means the client's ability to tolerate total loss of the principal amount taking into consideration the following factors:

- The positive relationship between risk and return, if required return increase, risk will increase too.
- Client's degree of dependence on the principal invested amount to meet his/her household needs.
- How do the client classify himself/herself as to risk acceptance level, preservative, risk-taker
- Client's experience in equities investment

- **General Investment Objectives:**

Capital Protection  Capital Growth/Appreciation  Income  Balanced (Income with Capital Appreciation)

- Do you have any commercial activity with any internationally sanctioned countries  Yes  No.

if yes, please explain this activity .....

- Orders giving mode:  In Person  Mail  E-Mail  Fax  Phone
- Approved correspondence mode:  Mail  E-Mail  Fax  Personal Receipt

**DECLARATION**

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

Client Name: .....

Signature: .....

Date: .....

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<p>Client's Sign.</p>	
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**FOR OFFICE USE ONLY**

1. KYC verification carried out by (against attached list of required documentation)  
 Customer Service Dept.: Emp. Name: ..... Date: ..... Signature:

2. KYC review carried out by:  
 Compliance /AML Dept.: Emp. Name: ..... Date: ..... Signature:

3. KYC approval carried out by:  
 Operations Dept.: Emp. Name: ..... Date: ..... Signature:

**Required Documentation for Opening Trading Account:**

1. For Citizens:

1. Copy of Valid passport
2. Copy of Family book
3. Copy of Valid national Emirates ID
4. Bank account No. message (should be properly stamped by the bank's seal or has bank's logo and IBAN No. which will be designated for receiving dividends.
5. FATCA & CRS Forms filled in and signed properly and completely.

2. Non-Citizens:

1. Valid passport
2. Copy of Valid Emirates ID
3. Bank account No. message (should be properly stamped by the bank's seal or has bank's logo and IBAN No. which will be designated for receiving dividends.
4. FATCA & CRS Forms filled in and signed properly and completely

3. In Case of Custodianship or Power of Attorney:

1. Power of attorney or custodianship decision issued properly by a competent court which clearly stipulates for trading in securities authorization.
2. Copy of Valid passport
3. Copy of Valid Emirates ID