

INSTITUTIONAL/CORPORATE ACCOUNT APPLICATION FORM

Guidance Notes:

1. Complete the form in full
2. You will need to supply documents confirming the identity and verifying the address of the company as well as authorised persons/ signatories to the account.
3. You will need to supply the details of a Bank referees.
4. Please contact your Client relationship officer if you have any questions in regards to completing this form.

Please indicate the type of service required: **MONEY MARKET PORTFOLIO** **WEALTH MANAGEMENT**

COMPANY INFORMATION

Name of Institution: _____

Nature of Business: _____

Registered Business Address: _____

Telephone Number(s): _____ E-mail address: _____

Date of Incorporation: _____ RC Number: _____ TIN Number: _____

Type of Firm: _____

AUTHORISED SIGNATORY

We may contact authorised representatives by telephone or email to verify details regarding the account or discuss Investment Portfolios which may be time and price sensitive.

1. Authorised Signatory: _____ 2. Authorised Signatory: _____

Phone Number: _____ Phone Number: _____

Email address: _____ Email address: _____

Position: _____ Position: _____

Signature & Date: _____ Signature & Date: _____

3. Authorised Signatory: _____ 4. Authorised Signatory: _____

Phone Number: _____ Phone Number: _____

Email address: _____ Email address: _____

Position: _____ Position: _____

Signature & Date: _____ Signature & Date: _____

INVESTOR'S PROFILE

Purpose of Invest: _____

Product or Sector to Exclude: _____

My Investment Timeframe is:

- Short Term 1-2years Medium Term (3 -5years)
 Long Term (Above 5 years)

Which outcome is most important to you for an investor portfolio?

- Preserving Capital Long-term growth and capital gains
 Generating Income

Which of the following asset classes have you owned previously or do you now own?

- Bank Deposit Unit Trust/Mutual Funds
 Treasury Bills Individual Company Shares

Which of the following best describes your main objective in investing?

- The education of my children Investment of Surplus Cash
 Capital Growth and Returns My Retirement

BANK ACCOUNT DETAILS

A/C Name: _____ A/C Number: _____

Bank Name & Address _____

BVN _____ Sources of Fund: _____

Politically exposed persons (peps) are defined as persons who currently hold/have held prominent Public functions (including political appointments e.g. high-ranking member of judiciary, member of senate, member of the House of representatives, ambassador, government official, or royal families, etc) as well as their close associations and relatives.

Please state if any of you or any family member(s) or close relative fall under this definition of PEP.

- 1) Name _____ Role _____ Date: From _____ To _____
2) Name _____ Role _____ Date: From _____ To _____

ATTESTATION

I/We hereby confirm that all the information provided is precise and correct and shall advise Inverness of any changes that may occur to any of the data stipulated herein.

Signed by _____ on behalf of

Company Name _____

Signature: _____ Date: _____

Affix Company Seal Here

KYC (KNOW YOUR CLIENT) DOCUMENTATION CHECKLIST

In conformity with Anti-Money Laundering Laws, **Inverness Wealth Management Limited** is required at a minimum to establish the identity of all clients prior to beginning a business relationship. The checklist below identifies all the information that we require to process your application. Please provide the documents relevant to your Company type. All documents marked as * will need to be notarized.

Unlisted / Private/ unquoted Company	Listed/ Regulated Financial Company (or a subsidiary)
1 Completed Institutional/ corporate Account Application	1 Completed Institutional/ Corporate Account Application
1 Certificate copy of Certificate of Incorporation	1 Certificate Copy of Certificate of Incorporation
1 Certified Copy of CAC Form 7 (Nigerian Companies Only)/ Particulars of Directors*	1 Certified Copy of Memorandum & Articles of Association
CAC Form 2 (Nigerian Companies only)/ Shareholding Structure of the Company*	Certified True Copy of CAC Form 7 (Nigerian Companies Only)/ Particulars of Directors*
Board Resolution Confirming: <ul style="list-style-type: none"> ✓ The Appointment of the Authorised Signatories or Representatives ✓ Inverness as Fund Managers 	Board of Resolution Confirming: <ul style="list-style-type: none"> ✓ The Appointment of the Authorised Signatories or Representatives ✓ Inverness as Fund Managers
Latest Audited Financial Statement of Account (If these can be found on your website, please provide details)	Latest Audited Financial Statement of Account (If these can be found on your website, please provide details)
1 Completed Anti- Money Laundering (AML) Questionnaire (For Financial Institutions only)	1 Completed Anti- Money Laundering (AML) Questionnaire (For Financial Institutions only)
Valid Identification of Ultimate Beneficial Owners (shareholder with a minimum of 5% shareholding)	Valid Identification of Ultimate Beneficial Owners (shareholder with a minimum of 5% shareholding)
Valid Identification for all Signatories, authorized representatives and 2 directors.	
Evidence of Address for Directors & Signatories (no older than 3 months) of the entity*	
Letter of Guarantee by Directors (If credit line is required)	

FOR OFFICIAL USE ONLY

RISK ASSESSMENT

Complete section ‘High Risk’ if the client is:

- Any of the directors or beneficial owners is politically exposed person (PEP)
- The company is domiciled in a high risk jurisdiction (FATF non-co-operative country jurisdiction or country subject to sanctions), has complex legal arrangements e.g. unregulated SPVs or has nominee shareholders.

Complete section ‘Low Risk’ for all other clients.

LOW RISK:

Approvals to establish relationship and open account (please print name and sign below)

CRO: _____

Business Head: _____

Compliance Officer: _____

HIGH RISK:

Rationale for high risk classification: _____

Approvals to establish relationship and open account (please print name and sign below)

CRO: _____

Business Head: _____

Senior Manager (Director): _____

Compliance officer: _____

CONTACT US

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