



Guyana Americas Merchant Bank Inc.
 GBTI Corporate Office
 High & Young Streets
 Kingston, Georgetown
 Telephone: 592-223-5193/4
 Fax: 592-223-5195
 E-mail: gambi@guyambank.com
 Website: www.guyambank.com

Guyana Americas Merchant Bank Inc.
 Subsidiary of Secure International Finance Co. Inc.

Member of Guyana Association of Securities
 Companies & Intermediaries Inc. (GASCI)

CLIENT APPLICATION FORM INSTITUTIONAL CUSTOMER

Section A: Legal Entity Information

Legal Entity Name	TRADE NAME/DBA		Organization Type
			Industry/Sector
Registered Address	DOI/DOR	Reg. #	TIN/SSN #
	Registration Country		Domicile Country
Mailing address (if different from above)	Telephone #	Comp. Email	Company Website

Section B: Legal Entity Contacts

Name of person opening the Account: _____

Capacity of person opening the account: _____ DOB: _____

Residential Address: _____

Section C: References

	Name	Position	Address
Bank Reference 1			
Bank Reference 2			



Section D: Investment Profile

Profile Area	Options	Remarks
Investment Experience		
Investment Tenure		
Investment Objective		
Risk Tolerance		
Annual Income (all sources)		
Intended value of funds incoming into this account		
Source of funds incoming into this account		
Intended trading frequency		

Section E: Terms and Conditions

1. I/We certify to the Guyana Americas Merchant Bank Inc. that the person(s) indicated in Section A of this form is/are either 18 years or older.
2. 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 this form.
3. I/We certify that the signatures in the section labeled “Signatories” are authentic and that the person(s) indicated as having trading authorization are authorized to give instructions for the operation of the account.
4. 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. I/We therefore commit to inform the Guyana Americas Merchant Bank Inc. of any changes made to customer’s information immediately, in writing.
5. 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.
6. I/We agree that all transactions executed on behalf of me/us are subject to the rules and regulations of the Guyana Stock Exchange and as stipulated in Sections A through D of this form, **in keeping with the Securities Industry Act 1998.**
7. 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.
8. I/We understand that the Government does not insure the investments, there are no bank guarantees and the investments may lose value.
9. I/We consent to GAMBI’s due diligence and verification procedures and to the retention by the Bank of this application, all supporting documents and all transactional documents related to the account.
10. I/We confirm and declare that I/we are not engaging in money laundering, terrorist financing, proliferation financing, drug trafficking, fraud or any other crime or illicit activities. I/We also confirm that I/we shall refrain from using the account for money laundering, terrorist financing, proliferation financing, criminal activities and/or for furthering criminal purposes of conducts.
11. Consent is hereby given to GAMBI to disclose the information provided herein to Regulatory and Law Enforcement Authorities. I/We understand that under the Anti Money Laundering and Countering the Financing of Terrorism Act 2009, GAMBI has an obligation to report any suspicious transaction(s).



12. GAMBI 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. I/We declare that the money in this transaction comes from a legal source.

Instructions- Authority and Indemnity

Select all that apply: VERBAL FAX EMAIL

To: Guyana Americas Merchant Bank (GAMBI)

It would be convenient and in our interest if we could, at any time and from time to time, send verbal instructions/facsimile transmissions/instructions by means of electronic mail to GAMBI in relation to our account with GAMBI. In consideration of GAMBI agreeing to accept verbal instructions/facsimile transmissions/instructions by means of electronic mail from me/us, I/we agree:

1. That GAMBI may act on any verbal instructions/facsimile transmissions/instructions by means of electronic mail given by me/us from time to time, and I/we voluntarily and with full knowledge take and assume all risks associated therewith.
2. That once verbal instructions/facsimile transmissions/instructions by means of electronic mail have been given to GAMBI purportedly by the person (or by any of the persons, if more than one) specified below, GAMBI shall have no obligation to check or verify the authenticity or accuracy of such verbal instructions/facsimile transmissions/instructions by means of electronic mail purporting to have been sent by me/us and may act thereon as if same had been duly given by me/us;
3. That in acting on verbal instructions/facsimile transmissions/instructions by means of electronic mail GAMBI shall be deemed to have acted properly and to have fully performed all obligations owed to us, notwithstanding that such verbal instructions/facsimile transmissions/instructions by means of electronic mail may have been initiated, sent or otherwise communicated in error or fraudulently, and I/we shall be bound by any verbal instructions/facsimile transmissions/instructions by means of electronic mail on which GAMBI may act if GAMBI has in good faith acted in the belief that such verbal instructions/ facsimile transmissions/ instructions by means of electronic mail were given by me/us;
4. That GAMBI may, in its absolute discretion, decline to act or in accordance with the whole or any part of a verbal instruction/facsimile transmission/instruction by means of electronic mail pending further enquiry to or further confirmation (whether written or otherwise) by me/us, so however that GAMBI shall not be under any obligation to so decline in any case, and GAMBI shall in no event or circumstance be liable in any respect for not so declining; and
5. To release GAMBI from and indemnify GAMBI against all claims, losses, damages, costs and expenses howsoever arising in consequence of or in any way related to GAMBI having acted in accordance with the whole or any part of any verbal instruction/facsimile transmissions/instructions by means of electronic mail or having exercised (or failed to exercise) its discretion pursuant to 4 above.

For email indemnity, please list all authorized persons and their e-mail addresses below:

Name	Email

Please note that GAMBI will only acknowledge correspondence originating from the above email addresses



Section F: Signing Authorities

Name	DOB	Residential Address	Position	Specimen Signature

Signing Limits: Any two can sign All to Sign Other: _____

Section G: Trading Authorization

The persons listed below are hereby authorized to act as traders:

Name	DOB	Address	Signature

Section H: Signatories

I/We, the undersigned, have read and understood all of the terms and conditions stated in this application and I/We declare and confirm that the information given in this application is true and correct.

	Signature	Date	Witness	Date
Director				
Director				
Corp. Sec.				

Where the space provided is not sufficient for a complete list of signatories or authorized traders, the customer can submit any additional names on a separate company letterhead.

OFFICIAL GAMBI USE ONLY

Acc. Reviewed by: _____ Signature: Date: _____

Acc. Approved by: _____ Signature: Date: _____

Notes on Completing this Form

Required KYC Documents

The below documents are required for the persons listed as Signing Authorities/Signatories (Section F)

1. **Proof of Identity**- any one of the listed ID documents below are admissible (all ID documents must be valid on the date of submission)
 - a. Passport
 - b. National Identification card
 - c. Driver's License
2. **Proof of Address**- any of the documents below are admissible as proof of address (no older than 6 months):
 - a. Utility bills
 - b. Statements from other regulated financial institutions
 - c. Rental Agreement and receipt

Required Company Documents

ENTITY TYPE	DOCUMENTARY REQUIREMENTS
Corporate	<ul style="list-style-type: none"> • Copy of Audited Financial Statements for the last 3 financial years • Current Annual Return submitted to Company's Registrar establishing shareholdings, i.e., whether there is/are shareholders owning 5% of the company paid up share capital • List of Directors/Authorized signatories with specimen signatures • Board Resolution for investment in securities market • Articles of Incorporation • Certificate of Incorporation • Notice of Address of Registered Office • Notice of Secretary • Notice of Directors • Consent to act as Secretary • Consent to act as Director • Notice of Change of Directors/Secretary (if applicable) • Copy of Articles of Continuance (applicable for companies incorporated before April 1997) • Copy of Certificate of Continuance (applicable for companies incorporated before April 1997) • Declaration of Compliance for purposes of Incorporation of a Company (applicable to Companies incorporated after April 1997) • By-Laws (applicable to Companies incorporated after April 1997)
Partnership	<ul style="list-style-type: none"> • Copy of financials for the last 3 financial years • Copy of certificate of registration • Copy of partnership deed/agreement • List of Authorized Signatories list with specimen signatures • Copies of two forms of Government issued IDs of all Partners/Authorized Signatories
Trust	<ul style="list-style-type: none"> • Copy of Audited Financial Statements for the last 3 financial years (to be submitted) • Copy of certificate of registration (for registered trust only) • Copy of Trust Deed • Copy of Resolution for investment in securities • Copies of two forms of Government issued IDs of all Trustees/ Authorized Signatory(ies) • List of Trustees / Signatories

ENTITY TYPE	DOCUMENTARY REQUIREMENTS
Credit Unions/ Registered Society	<ul style="list-style-type: none"> • Identity of beneficial Owner(s) • Audited Financials for the last 3 years • Copy of registration certificate under Societies Registration Act • List of Managing Committee / Board / Authorized Signatories with specimen signatures • Copy of Bylaws • Copy of Board/Committee Resolution for investment • Copies of two forms of Government issued IDs of all Directors/Authorized Signatories
Investment Clubs/ Unincorporated Associations/A body of individuals/Non- Profit Organizations (Registered)	<ul style="list-style-type: none"> • Proof of Existence / Constitution • At least 3 years of Committee payments and expenditure • Resolution of the Managing body & Power of Attorney granted to transact business on its behalf • Copy of Audited Financial Statements for the last 3 financial years (to be submitted) • Current Annual Return submitted to Company's Registrar • Copies of two forms of Government issued IDs of all Directors/ Authorized Signatories • Copy of Resolution for investment in securities • List of Directors/Authorized signatories with specimen signatures • Copy of Board Resolution for investment in securities market • Copy of Articles of Incorporation • Copy of Certificate of Incorporation • Copy of Notice of Address of Registered Office • Copy of Notice of Change of Directors • Copy of Articles of Continuance (applicable, only if Companies incorporated before April 1997) • Copy of Certificate of Continuance (applicable only if Companies incorporated before April 1997) • Copy of Notice of Change of Secretary • Statutory Declaration of Compliance for purposes of Incorporation of a Company (applicable to Companies incorporated after April 1997) • Copy of By-Laws (applicable to Companies incorporated after April 1997)

NOTES

1. Applicants are required to complete one (1) Application form. All fields must be completed.
2. If any proof of identity or address is in a foreign language, then an English translation is required.
3. The name and address of individuals listed on this form should be the same as the documentary proof.
4. If the registered address and the mailing address are different, you are required to provide proof of address for both addresses (except when one of the addresses is a PO Box).
5. For non-residents and foreign nationals, two notarized copies of IDs (inclusive of a passport) and proof of address must be submitted.
6. Bank and other references are optional. However, all non-residents and foreign nationals must provide written reference from his/her bank.
7. For estate accounts where probates or Letters of Administrations (LOAs) are executed abroad, documents must be resealed in Guyana.
8. 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.



9. A certified copy of 'Death Certificate' must be submitted for Estate accounts.
10. 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 signatures on Stock Transfer Form notarized/witness.
11. Copies of all documents submitted by the applicants and signatures must be certified/witnessed by entities authorized for certifying /notarizing documents below:
 - a. Guyana Americas Merchant Bank Inc. Officer
 - b. Notary Public (Non- Residents or persons living abroad should use a Notary Public)
 - c. Commissioner of Oaths/Affidavits
 - d. Authorized official of the applicant's Bank (Name, Designation and Seal should be affixed)
 - e. Magistrate/Judge
 - f. Senior police /military officer (Name, Rank and Seal should be attached)
 - g. Guyana Embassy/Consulate General in the country where the applicants resides.