

Welcome

Thank you for your interest in PROVEN Wealth Limited. Our Mission is to meet your wealth management goals through sound investment advice and innovative financial solutions.

To become a PROVEN client the following documents and information are required.

Proof of address (utility bill, bank or credit card statement verifying clients residential address)

TRN Card (if not using Drivers' License)

Source of Funds Form (If Applicable)

Proof of Income (Job Letter, Pay Slips)

Photo ID (Drivers' License, Passport or National ID)

Two (2) References from list of Approved Referrers

Non-Residents (Driver's License, Passport, State ID, Social Security card, proof of non-US-person status if not a US Person) Two IDs Required

Politically Exposed Persons (PEPs) Two IDs required

Desired Product(s)/Service(s):

Unit Trust / Mutual Funds

Repurchase Agreements

Exempt Distributions

Equity Trading

Bond Trading

Credit Facilities

Managed Funds (Portfolio)

Cambio Trading

Delivering premium value to you is critical to our success.

We Are PROVEN for your Wealth and we look forward to serving you!



President & CEO
PROVEN Wealth - Region 2

Surname: First Name: M.I.: Title: Alias:

Home/Residential Address:

City: Parish/State: Zip: Country:

Home Phone: Mobile: Email Address 1:

Employment Status:

Employed Part Time Self Employed Retired Student Unemployed Minor Other

Date of Birth: Nationality: Tax Identification Number: Gender
Male Female

(TIN TRN, SIN, SSN)

Place of Birth: Mother's Maiden Name:

ID Type: ID#: Expiry Date:

Driver's License Passport National ID

Mailing Address (if different):

City: Parish/State: Zip: Country:

Marital Status: Spouse's Name:

Married Single Divorced Widowed Other

No. of Dependents: Date of Birth of Dependents:

Are you or any of your immediate family members (spouse, child, step & adopted child, parents, siblings, child's spouse) or their close business associates, a current or former Head of State, Head of Government, member of any House of Parliament, Minister of Government, member of the judiciary, military official above the rank of Captain, member of police above the rank of Assistant Commissioner, Permanent Secretary or Chief Technical Director in charge of a Government department/ministry/ executive agency/ statutory body, official of any political party &/or director or CEO of any company owned by your country of residence or a foreign government?

No Yes If Yes, in what capacity?

Name of Employer: _____ Type of Business: _____ Position: _____

Business Address: _____

City: _____ Parish/State: _____ Zip: _____ Country: _____

Business Phone: _____ Fax: _____ Email Address: _____

Approximate Annual Income: _____ Approximate Net Worth: _____

<J\$2M	J\$2M - J\$5M	J\$5M - J\$10M	>J\$10M	<J\$20M	J\$20M - J\$50M	J\$50M - J\$100M	>J\$100M
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Projected Monthly Transaction Frequency and amounts.

1 - 3	4 - 6	7 - 9	10 - 12	Under J\$50k	J\$50k - 250k	J\$250k - J\$1mil	>J\$1mil
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Main Source of Wealth:

Salary	Investments	Inheritance	Other, please state
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Primary Banker: _____ Branch Address: _____

Main Source(s) of Funds: _____ Account Number: _____ Account Type: _____

Name of Referee: _____ Reference Capacity: _____ Contact Number: _____ Years Known to Referee: _____

1-5 years	5-10 years	> 10 years
1-5 years	5-10 years	> 10 years

List of Approved References:

Lawyer, Justice of the Peace/Notary Public, Pastor/Minister of Religion, Certified Accountant, Medical Doctor, Bank Manager, Existing Clients of Good Standing (minimum 3 years), PROVEN Board Member/Executive/Manager, Former/Present Employer (Manager & Above), Principals & Teachers, Head/Senior Directors of FSC & BOJ (Regulated Institution), Member of PROVEN Staff (employed more than 2 years), Government Officials (eg. GG, MP, MAyor, etc), Head of Registered Corporations, Police & Military Officials (Sergeant & Above)

(Verified by) Internal Officer:

Name: _____ Signature: _____ Date: _____

Tax Rate: _____ Type of Client: _____ Estate _____ Co-Form _____

Resident	Non-Resident
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Risk Profile:

Preservation of Capital	Conservative Income	Income and Conservative Growth
Balanced Income and Growth	Moderate Growth	Aggressive Growth

How did you hear about us?

Press	Client Referral	Employee Referral	Internet	Other
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Knowledge of Financial Markets:

Very Minimal Experience	Basic and Minimal Experience	Good and Some Investment Experience
Strong Experience	Advanced Experience	

- Full Discretion** - Client grants full authority without consultation.
- Partial Discretion** - Client must be contacted before execution of any trade/transaction
- Custody Only** - No discretion to trade; assets are for safe-keeping and reporting only

To: PROVEN Wealth Limited

Whereas it would be convenient and in my/our interests if I/we could at any time and from time to time send instructions by means of:

- Facsimile transmission (meaning the sending of transmissions between fax machines via the telephone network. Instructions sent by such transmissions are hereinafter referred to as "fax instructions"); and/or
- Electronic mail (meaning the sending of transmissions electronically between computers via the telephone network or wireless communication. Instructions sent by such transmissions are hereinafter referred to as e-mail instructions"), to PROVEN Wealth Limited (hereinafter referred to as "PROVEN") in relation to any and all my/our existing accounts, facilities, transactions and other arrangements with PROVEN and any accounts, facilities, transactions and other arrangements which I/we may now or in the future have with PROVEN.

Now in consideration of PROVEN at my/our request (which request I/we hereby make to PROVEN) accepting and/or acting on fax instructions and/or e-mail instructions purportedly received from me/us as aforesaid, and for other good and valuable consideration moving from PROVEN the receipt and sufficiency of which I/we hereby acknowledge, I/we HEREBY AGREE:

- That PROVEN may act on any fax instructions and/or e-mail instructions received by PROVEN and purportedly sent by me/us from time to time, and I/we voluntarily and with full knowledge take and assume any and all risks associated therewith;

- That where fax instructions and/or e-mail instructions received by PROVEN have purportedly been sent or given by the person (or by any of the persons, if more than one) specified below, PROVEN shall have no obligation to check or verify the authenticity or accuracy of such fax instructions and/or e-mail instructions and may act thereon as if same had been duly sent or given by me/us;
- That in acting on such fax instructions and/or e-mail instructions, PROVEN shall be deemed to have acted properly and to have fully performed all obligations owed to me/us, notwithstanding that such fax instructions and/or e-mail instructions received by PROVEN and purportedly sent by me/us may have been initiated, sent or otherwise communicated in error or fraudulently, and I/we shall be bound by any received by PROVEN and purportedly sent by me/us from time to time on which PROVEN may act if PROVEN has in good faith acted in the belief that such fax instructions and/or e-mail instructions were given by me/us;
- That PROVEN may, in its absolute discretion, decline to act on or in accordance with the whole or any part of any fax instructions and/or e-mail instructions pending further enquiry to or further confirmation (whether written or otherwise) by me/us, so however that PROVEN shall not be under any obligation to so decline in any case, and PROVEN shall in no event or circumstances be liable in any respect either for declining or not so declining;
- That I/we hereby release PROVEN from, and hereby agree to indemnify and hold PROVEN harmless against, all claims, losses, damages, costs and expenses howsoever arising in consequence of, or in any way related to, PROVEN having acted in accordance with the whole or any part of any fax instructions and/or e-mail instructions purportedly received from me/us (or anyone of us, if we are more than one) or having exercised (or failed to exercise) the discretion conferred upon PROVEN in Clause 4 above; and
- That PROVEN may rely on and enforce against me/us (and against my successors and assigns) the provisions set forth in this instrument.
- For the purposes of (ii) above, the email address(es), which will be used by me is/are:

Email: _____ Email: _____

Client Name: _____ Signature: _____ Date: _____

The information below will be used to comply with the requirements of the Foreign Account Tax Compliance Act ("FATCA"):

1. Are you a resident of the United States?

No Yes If yes, please provide Tax Identification Number (TIN): _____

- If yes, kindly complete Form W-9 establishing U.S. status.
- If no, kindly complete a W-8BEN form and provide a copy of your non-U.S. passport or other government-issued evidence of citizenship in a country other than the United States.

2. Are you a resident or citizen of any other country (or countries) other than the United States?

No Yes If yes, please list countries and provide Tax Identification Number (TIN) for each: _____

Country: _____

TIN: _____

I hereby certify that the information provided on this form is true, accurate and complete and that I have not withheld any information that might affect the Company's decisions. I understand that the given information may be disclosed to local and/or foreign authorities.

I/We _____ the undersigned, being the person(s) specified above (hereinafter, together jointly and severally if more than one, referred to as "the client") hereby request Proven Wealth Limited of 2-4 Gladstone Drive, Kingston 10, Jamaica, a company duly incorporated under the laws of Jamaica (herein referred to as "the Company") to open one or more accounts in my/our name(s) with respect to instruments issued to me/us by and/or securities and other investments held by me/us through the Company, and all accruals, payments, receipts and transactions relating thereto.

I/We acknowledge and agree that the Company's General Terms and Conditions attached hereto, as varied by the Company from time to time, are accepted by and are binding on me/us, and shall govern the said account(s) and all instruments issued to me/us by and/or securities and other investments held by me/us through the Company, and all accruals, payments, receipts and transactions relating thereto. I/We hereby agree to abide by and comply with the provisions set forth in the said General Terms and Conditions attached hereto, as varied by the Company from time to time. I/We hereby acknowledge having received a copy of this Client Account Agreement and the said General Terms and Conditions.

Client Signature: _____ Date: _____

Signature: _____ Date: _____

ACCOUNT EXECUTIVE/PFA

Name: _____ Signature: _____ Date: _____

APPROVING OFFICER

Name: _____ Signature: _____ Date: _____

APPROVED (COMPLIANCE MANAGER)

Name: _____ Signature: _____ Date: _____