

Thank you for deciding to join the First Citizens Group. Please fill in the requested information necessary to commence this process.

PERSONAL INFORMATION

Title: Click to enter	Last Name:	First Name:	Middle Names(s):
Other Names: Maiden Name or Prior Names (If applicable)	Marital Status: ☐ Single☐ Married☐ Separated☐ Common Law☐ Divorced☐ Widowed		
Date of Birth (dd/mm/yyyy): Click or tap to enter a date.	Sex: ☐ Male☐ Female	Country of Birth:	Nationality:
Power of Attorney (if applicable):			
Identification: National ID #:	Driver's License #:	Passport #:	Other ID# & Type:
Country of Issue:	Country of Issue:	Country of Issue:	Country of Issue:

CONTACT INFORMATION

Residential/Permanent Address:			
City:	State:	Zip Code:	Country:
Mailing Address, if different from Residential Address:			
Telephone Numbers: Home:	Work:	Mobile:	
Email Address 1:		Email Address 2:	
Preferred Method of Contact: Call: ☐ Home☐ Work☐ Mobile☐ Email☐ SMS☐ Whatsapp			

EMPLOYMENT INFORMATION

Primary Employment Status: ☐ Permanent☐ Temporary☐ Contract☐ Retired☐ Self-Employed☐ Student☐ Unemployed☐ Minor			
Industry:	Occupation:	Start Date (dd/mm/yyyy): Click or tap to enter a date.	
Employer's Name (Business name if self-employed):			
Employer's Address:			
City:	Country:	Monthly Income: \$	

EXPECTED INVESTMENT

☐ <\$20K☐ \$20K - \$199K☐ \$200K - \$499K☐ \$499 - <\$1M

☐ >\$1M

Frequency: ☐ Monthly☐ Annually

SOURCE OF INVESTMENT

☐ Salary☐ Spousal Support☐ Rent☐ Inheritance

☐ Other – (please state):

POLITICALLY EXPOSED PERSONS (PEP)

Are you or any of your immediate family members (spouse, common-law, ex-spouse, child, step and adopted child, parents, siblings, child's spouse) or close personal/ professional associate, a current or former Head of State, Head of Government, Senior Member of the Legislature, Senior Politician, Senior Government Official, Senior Judicial Officers, Senior Executive of a State-owned Corporation, Military Official, Senior Political Party Official entrusted with a prominent public function in a foreign country, or associated or connected to the United Nations and affiliated International Organization, Inter-American Development Bank, Caribbean Financial Action Task Force, Organization of American States, International Labour Organization of any company owned by your country of residence or a foreign country?

☐ No, I confirm that I am not a Politically Exposed Person.☐ Yes, I confirm that I am a Politically Exposed Person.

If Yes by association, please state the name of the PEP, the PEP's job title, and your relation to the PEP:

TAX DECLARATION & CONSENT

1. Please confirm whether you are a U.S. National, Citizen or hold U.S. residency status (U.S. Green Cardholder)? ☐ Yes☐ No

2. Do you currently hold any citizenship, nationality, residency status, residence rights or tax residency in any jurisdiction(s) other than the United States and those disclosed in the Contact Information Section above. ☐ Yes☐ No

3. Did you obtain residence rights under a Citizenship by Investment (CBI)/Residency by Investment (RBI) scheme? ☐ Yes☐ No

4. Are you a person who must comply with a disclosure requirement of tax residency? ☐ Yes☐ No

5. In which jurisdiction(s) have you filed personal income tax returns during the previous year
(Provide tax information for the country you have filed your personal income tax returns as stated above)

If Yes, to either questions above, please list country/countries of residency, citizenship or nationality for tax purposes, and your corresponding tax identification information, e.g. Social Security Number (SSN), Individual Tax Identification Number (ITIN) or Inland Revenue Number (IRN) where applicable:

Country	Tax ID Type and Number	If Tax ID is unavailable, please state reason A, B or C. (with explanation where necessary)

Reason A - The country/jurisdiction where Account Holder is liable to pay tax does not issue Tax IDs to its residents.

Reason B - The Account Holder is otherwise unable to obtain a Tax ID or equivalent number (Include explanation above).

Reason C - No Tax ID is required (note: only select this reason if the authorities of the country of residence for tax purposes do not require the Tax ID to be disclosed).

DATA PRIVACY ACKNOWLEDGEMENT

☐

I acknowledge that for the purpose of reviewing my application to open an account at First Citizens Investment Services Limited ("FCIS"), FCIS is authorised to collect, access, share and otherwise process my personal information within the First Citizens Group and with its third-party service providers as outlined in the Group's data privacy policies.

CONFLICT OF INTEREST RULES STATEMENT

(APPLICABLE TO TRINIDAD AND TOBAGO CUSTOMERS ONLY)

I hereby confirm that I have read and understood the FCIS Conflict of Interest Rules Statement.

☐ Yes

☐ No

I hereby confirm that I have read and understood the FCBAS Conflict of Interest Rules Statement.

☐ Yes

☐ No

I hereby confirm that I have read and understood the FCPIMS Conflict of Interest Rules Statement.

☐ Yes

☐ No

FAIR ALLOCATION POLICY

I hereby confirm that I have received, read and understood the Fair Allocation Policy Statement.

☐ Yes

☐ No

DECLARATION AND CONSENT

I, _____ do hereby solemnly and sincerely declare as follows:

1. I hereby certify/confirm that the information on this Form is to the best of my knowledge and belief, true, correct and complete.
2. I am not a citizen, national or resident for tax purposes of any country other than those listed on this form under the "Tax Declaration and Consent" section.
3. I will notify First Citizens immediately, but no later than thirty (30) calendar days, in the event of any change whatsoever to the information stated on this Form. I agree that I may be required, under certain circumstances, to provide additional information/documents confirming my tax status before an account is opened.
4. I agree that First Citizens may provide to the United States Internal Revenue Service and to any relevant tax authority (or any party authorized to act on behalf of such an authority) any of the information provided on this Form or any information that may be required to be provided by law to the United States Internal Revenue Service or any other relevant tax authority relating to my account(s) with First Citizens.

SIGNATURES

Please note that it is your obligation to inform the FCIS of a change to any of the above responses subsequent to making this Declaration

Customer Signature:

Date:
Click or tap to enter a date.

Parent, Guardian or Legal Representative Signature (If applicable):

OFFICIAL USE ONLY

☐

Tax Identification Number Validated
(For Barbados Customers Only)

T.I.N Validation: <https://www.oecd.org/en/networks/global-forum-tax-transparency/resources/aeoi-implementation-portal/tax-identification-numbers.html>

Officer’s Name:

Job Title:

Officer’s Signature:

Date:
Click or tap to enter a date.

Authorized by:

Authorizer Name:

Date:
Click or tap to enter a date.

Definitions

Domestic PEP - an individual who is or was entrusted with a prominent public function domestically.

Includes but not limited to:

- **Head of State** - The President;
- **Head of Government** - The Prime Minister;
- **Senior Members of the Legislature** e.g. The Speaker of the House of Representatives and the President of the Senate;
- **Senior Politicians** - a person elected to office in national or local elections; a person appointed to serve as a Senator in Parliament; or as an Alderman in a Municipality or Regional Corporation.
 - E.g. all Members of Parliament, Government Ministers, Mayors, Leader of the Opposition, Assemblyman, Chief Secretary and Deputy Chief Secretary and Parliamentary Secretaries;
- **Senior Government Officials** e.g. Permanent Secretaries, Chief Technical Officers, Ambassadors or High Commissioners, Assistant Commissioner of Police or higher rank, any other person appointed as an Accounting Officer;
- **Senior Judicial Officials** e.g. Chief Justice, Judges of the Supreme Court (Court of Appeal and High Court Judges), Judges of the Industrial Court, Judges of the Caribbean Court of Justice, Masters, Chief Magistrate, Deputy Chief Magistrate, Magistrates, the Registrar, Deputy Registrar and Assistant Registrars;
- **Senior Executives of State-owned Corporations**, including Statutory Bodies, State Enterprises and those bodies in which the State has a controlling interest.
 - All Statutory Bodies and State Enterprises including those bodies in which the state has a controlling interest;
 - Chairman, Deputy Chairman, President or Vice President of the Board of Directors;
 - Managing Director, General Manager, Comptroller, Secretary or Treasurer;
 - Any other person who performs for the body corporate functions similar to those normally performed by the holder of offices specified above and who is duly appointed to perform those functions.
- **Military Officials** - a Lieutenant Colonel or higher rank, Major General, Brigadier General and Colonel; Senior Air Guard Officials: including: Group Captain, Wing Commander and Squadron Leader. Senior Coast Guard Officials including: Rear Admiral, Commodore, Captain and Commander or higher rank;
- **Senior Political Party Officials** e.g. Chairman, Deputy Chairman, Political Leader, Deputy Political Leader, Secretary and Treasurer of a political party or individuals holding equivalent positions in a foreign country.

Foreign PEP - an individual who is or have been entrusted with a prominent public function in a foreign country. Refers to individuals in a foreign country holding equivalent positions to the above listed for Domestic PEPs.

International Organization PEP - an individual who is or have been entrusted with a prominent function by an international organization and refers to members of senior management or individuals who have been entrusted with equivalent functions, i.e., Directors, Deputy Directors and members of the board or equivalent functions.

These organizations include but are not limited to:

- United Nations (UN) and affiliated international organizations;
- Organization of American States (OAS);
- Inter-American Development Bank (IDB);
- International Labour Organization (ILO);
- Caribbean Financial Action Task Force (CFATF).

Immediate Family Member of PEP - an individual who is related to a PEP either through birth or marriage (current or past). Refers to Spouse (legal or common-law)/ Ex-spouse, Parent, Siblings, Half-Siblings, Children (includes legally adopted children), Children of PEP spouse.

Close Associate of a PEP includes any individual publicly known or actually known to be a close personal or professional associate of a PEP. For example, a business partner or associate, prominent member of a political party or girlfriend/boyfriend of a PEP.