



First Citizens

Investment Services

FIRST CITIZENS BROKERAGE ACCOUNT OPENING/UPDATING CHECKLIST

A Trinidad and Tobago Central Depository (TTCD) Brokerage account can be opened with any broker. Each person opening an account at First Citizens Brokerage and Advisory (FCBAS) is required to provide the following:

WHAT	WHICH	WHY	DETAILS	EXCEPTIONS				
2 forms of ID	<ul style="list-style-type: none"> National ID Driving Permit Passport 	As part of regulatory requirements and KYC documentation	<p>IDs must not have expired.</p> <p>Names on the IDs should match.</p> <p>Copies must be done in colour.</p> <p>Copies must be certified as “original seen” by FCBAS representative</p>	<p>Names not matching on the ids because of a name change? Please provide any affidavits to support same or a marriage certificate in the case of maiden name/married name differences.</p> <p>Do not own 2 forms of valid identification? Please refer to the FCIS Centre Manager.</p>				
Proof of Address	<table border="0"> <tr> <td> <ul style="list-style-type: none"> T&TEC WASA TSTT B-Mobile </td> <td> <ul style="list-style-type: none"> Digicel FLOW Green Dot </td> </tr> <tr> <td colspan="2">UTC/Credit Card/Bank Statement</td> </tr> </table>	<ul style="list-style-type: none"> T&TEC WASA TSTT B-Mobile 	<ul style="list-style-type: none"> Digicel FLOW Green Dot 	UTC/Credit Card/Bank Statement		Proof that the address provided is valid	<p>Utility bills should not be more than 3 months old</p> <p>Copies must be certified as “original seen” by FCBAS representative</p>	<p>Don’t have a bill in your name? The bill will be accepted along with a letter from the person, whose name is on the bill; authorizing the applicant to use the bill. A copy of the authoriser’s ID should also accompany this letter.</p> <p>In the case of child/parent or husband/wife relationship, a copy of a birth certificate or marriage certificate can also be provided respectively. This indicates the relationship between the person stated on the bill and the account opening applicant.</p>
<ul style="list-style-type: none"> T&TEC WASA TSTT B-Mobile 	<ul style="list-style-type: none"> Digicel FLOW Green Dot 							
UTC/Credit Card/Bank Statement								
Proof of Income	A copy of a pay slip or job letter.	To show proof of employment as part of regulatory requirements and KYC documentation	Pay slips and job letters should not be more than 1 month old	No exceptions allowed				
Individual data form	First Citizens internal data form	As part of regulatory requirements and KYC documentation	Must be completed in full and signed by the individual	No exceptions allowed				
Client Application form	First Citizens internal data form	To establish a settlement account with FCIS.	Settlement accounts are established to place funds for the purchase of shares or to remit funds from the sale of shares	No exceptions allowed				
TTCD Account opening form	TTCD form provided by FCBAS	To establish a brokerage account with the TTCD	Brokerage accounts hold your shares	No exceptions allowed				
Bank mandate form	TTCD form provided by FCBAS	To record your bank information for the payment of any dividends declared.	Dividend payments will be sent automatically to this account at established payment dates. Must be savings/chequing account	No exceptions allowed				
Residency Declaration Form	First Citizens internal data form	To disclose any need for compliance with tax residency	Must be completed in full and signed by the individual	No exceptions allowed				

- **Already have a TTCD account?** You may be asked to provide up-to-date copies of documents to ensure KYC information is kept current.
- Any brokerage account opened can be used for equity (share) purchases on the local stock exchange
- **Names cannot be added to accounts after they have been opened to effect joint ownership.** A new account will have to be opened with the names of the joint account owners and a put through fee paid of 0.7% of value of shares or a minimum of \$25.
- Clients who are resident outside of Trinidad and Tobago are required to submit a bank reference letter.
- Clients opening accounts remotely are required to have the documents listed above notarized. Picture identification must be copied in full colour.