

## PRE-APPLICATION FORM

### REQUIRED DOCUMENTATION

- Passports of the Shareholders/Ultimate Beneficial Owners (UBOs) and Directors
- Proof of address of the Shareholders/UBOs and Directors (utility bill not older than 3 months)
- Resume(s) for the UBO(s)

### SECTION A -ABOUT THE CLIENT

<b>1. Client name</b>		
<b>2. Client contact details</b>	<b>Telephone</b>	<b>Mobile</b>
	<b>Email</b>	
<b>3. Country of residence/incorporation</b>		
<b>4. Select your required service(s)</b>	<input type="checkbox"/> Banking <input type="checkbox"/> Investment a/c <input type="checkbox"/> Deposit a/c <input type="checkbox"/> Trust <input type="checkbox"/> Investment Funds Services <input type="checkbox"/> Accounting <input type="checkbox"/> Corporate/Incorporations <input type="checkbox"/> Crypto/Digital Assets <input type="checkbox"/> Business Advisory Services <input type="checkbox"/> Payment Services <input type="checkbox"/> Other (Please provide full details below)	
<b>5. Provide a brief description of the required services</b>		
<b>6. Provide a brief description of the current business operations</b>		
<b>7. List <u>all</u> controlling persons of the entity and state their capacity</b>	<b>Controlling person 1</b>	<input type="checkbox"/> Shareholder <input type="checkbox"/> Beneficial Owner <input type="checkbox"/> Director <input type="checkbox"/> POA <input type="checkbox"/> Settlor <input type="checkbox"/> Protector <input type="checkbox"/> IM <input type="checkbox"/> Other _____
	<b>Controlling person 2</b>	<input type="checkbox"/> Shareholder <input type="checkbox"/> Beneficial Owner <input type="checkbox"/> Director <input type="checkbox"/> POA <input type="checkbox"/> Settlor <input type="checkbox"/> Protector <input type="checkbox"/> IM <input type="checkbox"/> Other _____
	<b>Controlling person 3</b>	<input type="checkbox"/> Shareholder <input type="checkbox"/> Beneficial Owner <input type="checkbox"/> Director <input type="checkbox"/> POA <input type="checkbox"/> Settlor <input type="checkbox"/> Protector <input type="checkbox"/> IM <input type="checkbox"/> Other _____



	Controlling person 4	<input type="checkbox"/> Shareholder <input type="checkbox"/> Beneficial Owner <input type="checkbox"/> Director <input type="checkbox"/> POA <input type="checkbox"/> Settlor <input type="checkbox"/> Protector <input type="checkbox"/> IM <input type="checkbox"/> Other _____
	Controlling person 5	<input type="checkbox"/> Shareholder <input type="checkbox"/> Beneficial Owner <input type="checkbox"/> Director <input type="checkbox"/> POA <input type="checkbox"/> Settlor <input type="checkbox"/> Protector <input type="checkbox"/> IM <input type="checkbox"/> Other _____
	Controlling person 6	<input type="checkbox"/> Shareholder <input type="checkbox"/> Beneficial Owner <input type="checkbox"/> Director <input type="checkbox"/> POA <input type="checkbox"/> Settlor <input type="checkbox"/> Protector <input type="checkbox"/> IM <input type="checkbox"/> Other _____
	Controlling person 7	<input type="checkbox"/> Shareholder <input type="checkbox"/> Beneficial Owner <input type="checkbox"/> Director <input type="checkbox"/> POA <input type="checkbox"/> Settlor <input type="checkbox"/> Protector <input type="checkbox"/> IM <input type="checkbox"/> Other _____
	Controlling person 8	<input type="checkbox"/> Shareholder <input type="checkbox"/> Beneficial Owner <input type="checkbox"/> Director <input type="checkbox"/> POA <input type="checkbox"/> Settlor <input type="checkbox"/> Protector <input type="checkbox"/> IM <input type="checkbox"/> Other _____
	Controlling person 9	<input type="checkbox"/> Shareholder <input type="checkbox"/> Beneficial Owner <input type="checkbox"/> Director <input type="checkbox"/> POA <input type="checkbox"/> Settlor <input type="checkbox"/> Protector <input type="checkbox"/> IM <input type="checkbox"/> Other _____
	Controlling person 10	<input type="checkbox"/> Shareholder <input type="checkbox"/> Beneficial Owner <input type="checkbox"/> Director <input type="checkbox"/> POA <input type="checkbox"/> Settlor <input type="checkbox"/> Protector <input type="checkbox"/> IM <input type="checkbox"/> Other _____

## SECTION B - ACCOUNT ACTIVITY QUESTIONNAIRE

8. Provide approximate size or value of the proposed account		
9. Provide the main currency for the account	<input type="checkbox"/> US Dollar <input type="checkbox"/> Euros <input type="checkbox"/> Pound Sterling <input type="checkbox"/> Swiss Francs <input type="checkbox"/> Other _____	
10. Provide the expected value and number of <u>incoming transactions</u> (deposits) per month	Number of transactions	Total Volume
11. What is the expected value and number of <u>outgoing transactions</u> (withdrawals) per month?	Number of transactions	Total Volume
12. What is the target business sector?		
13. List the countries of operation for <u>outgoing payments</u> (withdrawals)		



14. List the countries of operation for incoming payments (deposits)

### SECTION C- SOURCE OF FUNDS/WEALTH

15. What is the source of funds for the initial funding?

16. What is the source of wealth? (See examples attached)

### AUTHORIZED SIGNATURE(S) OF ACCOUNT HOLDER

Full Name:

Signature:

Capacity:

Date:

Shareholder  Beneficial Owner  Director  POA  Business Introducer  Other \_\_\_\_\_

### FOR INTERNAL USE ONLY

Entity to assign prospective relationship to

- Equity Investment Fund Services Ltd
- Equity Fiduciare SA
- Equity Trust Bahamas Limited
- Equity Bahamas Bank Limited
- Liongate Bahamas Limited

### AUTHORIZED BY

Full Name:

Full Name:

Signature:

Signature:

Date:



SOURCE OF WEALTH EXAMPLES	EXAMPLES OF SUPPORTING INFORMATION/DOCUMENTS
EMPLOYMENT INCOME	<ul style="list-style-type: none"> <li>a. Nature of employer's business</li> <li>b. Name and address of the employer</li> <li>c. Annual salary and bonuses for the last couple of years</li> <li>d. Last month/recent pay slip</li> <li>e. Confirmation from the employer of annual salary</li> <li>f. Latest accounts or tax declaration if self employed</li> </ul>
SAVINGS	Bank statement and enquiry of the source of wealth - reflecting that the savings are more than or equal to the amount being invested.
PROPERTY SALE	<ul style="list-style-type: none"> <li>a. Copy of contract of sale</li> <li>b. Details of the property sold (i.e., address, date of sale, sale value of property sold, parties involved)</li> <li>c. Title deed from land registry</li> </ul>
SALE OF SHARES OR OTHER INVESTMENT	<ul style="list-style-type: none"> <li>a. Copy of contract</li> <li>b. Sale value of shares sold and how they were sold (i.e. name of stock exchange)</li> <li>c. Statement of account from agent</li> <li>d. Transaction receipt/confirmation</li> <li>e. Shareholder's certificate</li> <li>f. Date of sale</li> <li>g. Copy of contract note</li> </ul>
LOAN	<ul style="list-style-type: none"> <li>a. Loan agreement</li> <li>b. Amount, date, and purpose of loan</li> <li>c. Name and address of Lender</li> <li>d. Details of any security</li> </ul>
COMPANY SALE	<ul style="list-style-type: none"> <li>a. Copy of the contract of sale</li> <li>b. Internet research of Company Registry</li> <li>c. Name and Address of Company</li> <li>d. Total sales price</li> <li>e. Clients' share participation</li> <li>f. Nature of business</li> <li>g. Date of sale and receipt of funds</li> <li>h. Media coverage</li> </ul>
COMPANY PROFITS/DIVIDENDS	<ul style="list-style-type: none"> <li>a. Copy of latest audited financial statements</li> <li>b. Copy of latest management accounts</li> <li>c. Board of Directors approval</li> <li>d. Dividend distribution</li> <li>e. Tax declaration form</li> </ul>
LOAN	<ul style="list-style-type: none"> <li>a. Name of Loan Provider</li> <li>b. Address of loan provider</li> <li>c. Reason for loan</li> <li>d. Total amount and currency provided</li> <li>e. Date of Loan</li> <li>f. A signed letter from the lender on letter-headed paper confirmation the name of borrower and amount of loan.</li> </ul>



INHERITANCE	<ul style="list-style-type: none"><li>a. Name of deceased</li><li>b. Date of death</li><li>c. Relationship to client</li><li>d. Date received</li><li>e. Total amount</li><li>f. Solicitor's details</li><li>g. Tax clearance documents</li><li>h. Grant of Probate (with a copy of the will)</li></ul>
GIFT	<ul style="list-style-type: none"><li>a. Name and residential address of person who gave the gift</li><li>b. Date received</li><li>c. Total amount</li><li>d. Relationship to client</li><li>e. Letter from donor explaining the reason for the gift and the source of donor's wealth</li><li>f. Certified identification documents of donor</li><li>g. Donor's source of wealth</li></ul>
COMPETITION WIN (INCLUDING LOTTERY)	<ul style="list-style-type: none"><li>a. Copy of the ticket/slip/receipt showing winnings and date of winnings</li><li>b. Bank statement showing the amount won if the amount was deposited into a bank account.</li></ul>