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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

1. Client name		
2. Client contact details	Telephone	Mobile
	Email	
3. Country of residence/incorporation		
4. Please confirm tax residency/ies of the prospective client. *Note: Where a prospective client is tax resident in multiple jurisdictions, please provide all.*		
5. Please provide the TIN No(s) for each tax jurisdiction.		
6. How much days out of the calendar year has the prospective client resided in its tax reportable jurisdiction? OR Have you spent more than ninety (90) days in any other jurisdictions during the previous year?		
7. Has the prospective client gained citizenship/residence through a Citizen-By-Investment (CBI) or Resident-by-Investment (RBI) Program? a. *If yes, provided details.*		
8. Select your required service(s)	☐ Banking ☐ Investment a/c ☐ Deposit a/c ☐ Trust ☐ Investment Funds Services ☐ Accounting ☐ Corporate/Incorporations ☐ Crypto/Digital Assets	

	☐ Business Advisory Services ☐ Payment Services ☐ Other (Please provide full details below)	
9. Provide a brief description of the required services		
10. Provide a brief description of the current business operations		
11. List all controlling persons of the entity and state their capacity	**Controlling person 1**	☐ Shareholder ☐ Beneficial Owner ☐ Director ☐ POA ☐Settlor ☐Protector ☐ IM ☐ Other_____________
	Controlling person 2	☐ Shareholder ☐ Beneficial Owner ☐ Director ☐ POA ☐Settlor ☐Protector ☐ IM ☐ Other_____________
	Controlling person 3	☐ Shareholder ☐ Beneficial Owner ☐ Director ☐ POA ☐Settlor ☐Protector ☐ IM ☐ Other_____________
	Controlling person 4	☐ Shareholder ☐ Beneficial Owner ☐ Director ☐ POA ☐Settlor ☐Protector ☐ IM ☐ Other_____________
	Controlling person 5	☐ Shareholder ☐ Beneficial Owner ☐ Director ☐ POA ☐Settlor ☐Protector ☐ IM ☐ Other_____________
	Controlling person 6	☐ Shareholder ☐ Beneficial Owner ☐ Director ☐ POA ☐Settlor ☐Protector ☐ IM ☐ Other_____________
	Controlling person 7	☐ Shareholder ☐ Beneficial Owner ☐ Director ☐ POA ☐Settlor ☐Protector ☐ IM ☐ Other_____________
	Controlling person 8	☐ Shareholder ☐ Beneficial Owner ☐ Director ☐ POA ☐Settlor ☐Protector ☐ IM ☐ Other_____________
	Controlling person 9	☐ Shareholder ☐ Beneficial Owner ☐ Director ☐ POA ☐Settlor ☐Protector ☐ IM ☐ Other_____________
	Controlling person 10	☐ Shareholder ☐ Beneficial Owner ☐ Director ☐ POA ☐Settlor ☐Protector ☐ IM ☐ Other_____________
12. Provide your Legal and/or Tax Advisor (If Available)		

SECTION B -ACCOUNT ACTIVITY QUESTIONNAIRE

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13. **Provide approximate size or value of the proposed account**		
14. **Provide the main currency for the account**	☐ US Dollar ☐Euros ☐Pound Sterling ☐Swiss Francs ☐Other________	
15. **Provide the expected value and number of <u>incoming transactions</u> (deposits) per month.**	**Number of transactions**	**Total Volume**
16. **What is the expected value and number of <u>outgoing transactions</u> (withdrawals) per month?**	**Number of transactions**	**Total Volume**
17. **What is the target business sector?**		
18. **List the countries of operation for <u>outgoing</u> payments (withdrawals)**		
19. **List the countries of operation for <u>incoming</u> payments (deposits)**		

SECTION C- SOURCE OF FUNDS/WEALTH

20. **What is the source of funds for the initial funding?**	
21. **What is the source of wealth? (See examples attached)**	

SECTION D-DIGITAL ASSET CLIENTS ONLY

22. **Select your required service(s)**	☐Sale ☐Purchase ☐Custody
23. **Wallet Address**	

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24. **Wallet Address Type (select all that apply)**	☐Custodial ☐Non-Custodial ☐Cold Storage ☐Hot Storage
25. **Associated Exchanges**	☐Decentralized ☐Centralized ☐Other________________
26. **Digital Asset Type**	☐BTC ☐ETH ☐USDT ☐OTHER____________________

AUTHORIZED SIGNATURE(S) OF ACCOUNT HOLDER

Full Name:	**Signature:**
Capacity: ☐ Shareholder ☐ Beneficial Owner ☐ Director ☐ POA ☐Business Introducer ☐ Other_____________	**Date:**

FOR INTERNAL USE ONLY

Were there any tax-related adverse media or screening hits found during the due diligence check? **a. If yes, provide details.** **Is the prospective client tax resident in any of the following:** **b. A non-OECD Country** **c. A jurisdiction Listed on EU list of non-cooperative jurisdiction for tax purposes.** **How was the prospective client Introduced:** ☐ **Business Introducer** ☐ **Eligible Introducer** ☐ **Business Development** ☐**Through an existing client, requiring an additional Account.** **Entity to assign prospective relationship to:** ☐ **Equity Investment Fund Services Ltd** ☐ **Equity Fiduciare SA** ☐ **Equity Trust Bahamas Limited** ☐ **Equity Bank Bahamas Limited** ☐ **Liongate Bahamas Limited**	

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AUTHORIZED BY

Full Name:	**Full Name:**
Signature:	**Signature:**
Date:	

SOURCE OF WEALTH EXAMPLES	EXAMPLES OF SUPPORTING INFORMATION/DOCUMENTS
EMPLOYMENT INCOME	a. Nature of employer's business b. Name and address of the employer c. Annual salary and bonuses for the last couple of years d. Last month/recent pay slip e. Confirmation from the employer of annual salary f. Latest accounts or tax declaration if self employed
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	a. Copy of contract of sale b. Details of the property sold (i.e., address, date of sale, sale value of property sold, parties involved) c. Title deed from land registry
SALE OF SHARES OR OTHER INEVESTMENT	a. Copy of contract b. Sale value of shares sold and how they were sold (i.e. name of stock exchange) c. Statement of account from agent d. Transaction receipt/confirmation e. Shareholder's certificate f. Date of sale g. Copy of contract note
LOAN	a. Loan agreement b. Amount, date, and purpose of loan c. Name and address of Lender d. Details of any security
COMPANY SALE	a. Copy of the contract of sale b. Internet research of Company Registry c. Name and Address of Company d. Total sales price e. Clients' share participation f. Nature of business g. Date of sale and receipt of funds h. Media coverage
COMPANY PROFITS/DIVIDENDS	a. Copy of latest audited financial statements b. Copy of latest management accounts c. Board of Directors approval d. Dividend distribution e. Tax declaration form
LOAN	a. Name of Loan Provider b. Address of loan provider

	c. Reason for loan d. Total amount and currency provided. e. Date of Loan f. A signed letter from the lender on letter-headed paper confirmation the name of borrower and amount of loan.
INHERITANCE	a. Name of deceased b. Date of death c. Relationship to client d. Date received. e. Total amount f. Solicitor's details g. Tax clearance documents h. Grand of Probate (with a copy of the will)
GIFT	a. Name and residential address of person who gave the gift. b. Date received. c. Total amount d. Relationship to client e. Letter from donor explaining the reason for the gift and the source of donor's wealth. f. Certified identification documents of donor g. Donor's source of wealth
COMPETITION WIN (INCLUDING LOTTERY)	a. Copy of the ticket/slip/receipt showing winnings and date of winnings b. Bank statement showing the amount won if the amount was deposited into a bank account.
DEVELOPMENT (E.G. BLOCKCHAIN, CRYPTO, DEFI, NFT)	a. Description of projects developed (incl. URLs, GitHub, DApps). b. Proof of role or ownership (e.g., employment contract, founder agreement) c. Smart contract addresses showing token distribution or income. d. Screenshots of token allocations or distributions. e. Invoices for freelance/contract development (if applicable). f. Wallet addresses used to receive earnings. g. On-chain verification of earnings from project(s) h. Tax returns or declarations of crypto income
MINING	a. Mining pool payout logs or dashboards. b. Wallet addresses used to receive mining rewards. c. On-chain confirmation of mining income. d. Tax documents showing mining as income.
PURCHASE AND SALE (TRADING) OF CRYPTOCURRENCY	a. Screenshots or exports of exchange trading history (e.g., Binance, Coinbase) b. Wallet addresses used to store or trade crypto. c. On-chain activity supporting trading patterns (e.g., regular transfers to/from exchanges) d. Fiat deposit and withdrawal history (bank or exchange statements) e. Records showing profit/loss reports from trading bots or portfolios. f. Screenshots or logs from trading platforms (Pionex, 3Commas, etc.) g. Tax filings showing capital gains/losses from crypto trades. h. Evidence of arbitrage trading strategies (if claimed). i. Bank statements showing fiat conversion of crypto income.