



ACCOUNT APPLICATION

Please take your time to fill out this form truthfully and accurate. If the form is not completely filled in and/or the required documents (**PROOF OF IDENTITY AND PROOF OF ADDRESS**) are not submitted, RWIBrokers.com is unable to open your trading account.

1. PERSONAL INFORMATION

Surname

Given Name(s)

Date of Birth

_____(dd) _____(mm) _____(yyyy)

Phone Number

Residential Address

Number of people relying on your income

Sex

☐ Male

☐ Female

Status

☐ Not Married

☐ Married

☐ Divorced

☐ Widowed

Email

Highest Level of Education ☐ Master ☐ Bachelor ☐ Secondary

2. TAX INFORMATION

Country of Tax Residency

Tax Reference Number

3. PROFESSIONAL INFORMATION

Profession

Employer

Employer Address

4. BANK ACCOUNT (both bank and trading account must be in the same name)

Bank Name

Account Holder

Bank Address

Accountnumber (IBAN/BIC/SWIFT)

Initial Deposit

\$ _____,

5. TRADING EXPERIENCE & FINANCIAL BACKGROUND (in US\$)

- Do you have sufficient knowledge and experience to trade in financial instruments and understand the risks involved? ☐ Yes ☐ No
- Are you aware that you should only trade with funds not necessary for your livelihood? ☐ Yes ☐ No
- Is your financial position sufficient enough to bear possible severe losses in your trading portfolio? ☐ Yes ☐ No
- Is the difference between your income and expenses large enough to trade freely in financial instruments? ☐ Yes ☐ No
- Should you lose 50% or more of your portfolio, are you still capable of paying incidentals? (f.e. hurricane necessities) ☐ Yes ☐ No
- Trading objective ☐ Income ☐ Trading Profits ☐ Speculation ☐ Growth ☐ Hedging ☐ Preservation of Capital
- Disposable capital for trading ☐ < 25.000* ☐ 25.000 – 75.000 ☐ >75.000

*Limited Trading Options

6. REGULATORY INFORMATION

- Are you, or any immediate household family member, registered as a broker-dealer or an employee, director or owner of a securities or commodities brokerage firm? ☐ Yes ☐ No
- Have you ever been the subject of, or initiated litigation, arbitration or any other type of dispute or settlement procedure with another broker or dealer? *If yes, RWIBrokers.com will contact you.* ☐ Yes ☐ No
- Are you a director, a 10% shareholder or do you exercise effective control of any publicly traded company? ☐ Yes ☐ No
- Do you exercise control over the trading or profits of any other depository bank account(s)? *If yes, RWIBrokers.com will contact you.* ☐ Yes ☐ No



CLIENT AGREEMENT: EXECUTION ONLY

1. RWIBrokers.com is a tradename of **ROYAL WEST INDIES BROKERS N.V.**, a securities intermediary and asset manager incorporated in Sint Maarten (Trade Registry #24645) and licensed by the Central Bank of Curacao and Sint Maarten (licenses: #0001LSI and #0004LAM).

2. RWIBrokers.com opens, upon filling out this form, a trading account in your name and for your own risk with a depository bank (your *Account*). We are the introducing broker and provide support through our helpdesk. The account will be opened with the common currency of the land of residency.

3. RWIBrokers.com expects the Account Application information you provided to be true and up-to-date because we submit the same to the depository bank to open and configure your Account.

4. CLIENT is responsible for keeping his or her information up-to-date and accurate during the terms of service with RWIBrokers.com and the depository bank. You declare that you will pass on all changes of your contact, financial and personal information immediately on the website of the depository bank.

5. CLIENT agrees that RWIBrokers.com does not perform any checks on information provided by you and is not in any way liable in that regard, nor is RWIBrokers.com responsible for any errors or mistakes in the information RWIBrokers.com provides to the depository bank. In the event the information displayed in the Client's account is not accurate, it is the responsibility of the Client to pass on any and all necessary changes to the depository bank.

6. RWIBrokers.com concludes legally binding agreements between you and a depository bank for the opening and use of your Account. While we are not a party to the agreements between you and the depository bank, those agreements are an integral part of this Agreement.

7. RWIBrokers.com is not responsible or liable for any losses (or damages) resulting from any use of your Account. We are not liable for any mistake when we submit orders on your request.

8. CLIENT, with this Agreement, also enters into a contractual relation with a depository bank. You hereby give us power of attorney to submit and request any information and conclude any agreement related to the opening, configuration and use of your Account on your behalf.

9. CLIENT hereby agrees to all agreements with the applicable depository bank. We advise you to carefully read the clauses on the exclusion of liabilities and the order execution policy. We will send you a copy after the opening of the Account, by funding your Account you confirm your agreement.

10. CLIENT understands that he/she is an Execution Only Client. This means that you are trading for your own risk and account. We don't provide you with any trading advice and nothing we state or do can be considered as advice. You are responsible for the losses you incur while trading. You hereby hold harmless and indemnify RWIBrokers.com for any losses you may incur.

11. CLIENT agrees that the "RWIBrokers.com General Terms and Conditions Execution Only" forms an integral part of this Agreement. This document is available on the RWIBrokers.com website and a copy will be sent to you upon first request. By funding your Account you accept the "RWIBrokers.com General Terms and Conditions Execution Only".

12. CLIENT agrees to the pricing structure as published on our website and/or communicated to you in writing. We reserve the right to change our pricing structure with thirty days' notice.

13. CLIENT agrees that we may communicate in English or Dutch. You can contact our helpdesk at clientservices@rwibrokers.com or the phone number indicated on our website. You also agree that we may record all communication between us for training and as evidence if necessary.

14. THIS AGREEMENT is considered a full agreement between us. If there is any discrepancy between this Agreement and the agreements with a depository bank, the latter will take precedence but only in so far as they regulate the relation between the depository bank and you. Any amendments made to this document will henceforth be sent to the Client by electronic means.

15. THIS AGREEMENT is written in English, but where it describes legal concepts of the Kingdom of the Netherlands, the meaning of these words will be interpreted as such (any other meaning in foreign legal systems will be disregarded). It is governed by Sint Maarten law and the Court of First Instance of Sint Maarten will have exclusive jurisdiction for any disputes arising from it.

(date)

Start trading like a professional

(name)

(signature)

PLEASE SEND US THE FOLLOWING DOCUMENTS TO COMPLETE YOUR ACCOUNT APPLICATION

Please send us a **COPY OF YOUR PASSPORT OR IDENTITY CARD** (front and back), and **PROOF OF YOUR RESIDENTIAL ADDRESS** when submitting this form. The following documents will be considered proof of address: a bank account statement, credit card statement (less than 6 weeks old), electricity, gas or water bill, phone bill (not mobile), household or property insurance bill, mortgage statement, government issued tax bill for personal or property tax, signed letter issued by a bank or government or confirmation from the local authorities or house bank. All documents listed above **SHOULD NOT BE OLDER THAN 6 MONTHS**.