Logo

Description automatically generated

GTN Middle East Financial Services (DIFC) Ltd. (“GTN ME”)

Individual Account

Application Form

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| **For GTNME use only** | |
| Type: | Check the box, where applicable |
| New client onboarding |  |
| Review upon occurrence of a trigger event (To indicate trigger event): |  |

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| **Explanatory Notes:** |
| All information requested in this form is required to be provided in full for client acceptance. If a question or field is not applicable, please mark “N.A.” in the space provided. Please use the “+” function in the tables to add rows where relevant. The “+” function can be viewed by clicking on a row in a table to be filled.  All information declared must be true and correct. Documents to verify the information will be requested. |

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| **Section A: Products and Services** |

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| Please select the products you wish to transact in and/or services you wish to engage in with GTNME. | | |
| Trading in securities (e.g., shares, debentures (including bonds) and units in a business trust) | Trading in exchange traded-derivatives contracts (e.g., Listed options referencing a share index) | Trading in units in a Collective Investment Schemes (e.g., exchange-traded funds) |

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| Please indicate the stock exchanges that you wish to trade through GTNME |
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| Please indicate the mode of settlement for the markets that you wish to trade through GTNME (Please check all the boxes that are applicable) | | |
| Trade Settlement with GTNME’ appointed execution brokers directly | Trade Settlement via third party custodian appointed by myself | Trade settlement by funds transfer to GTNME |

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| Please select the mode of trading that you prefer to engage with GTNME | | |
| Omnibus (Custody is with GTNME) | Fully disclosed cash settled | Fully disclosed direct settlement using custodian |

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| **Section B: Personal Details** |

Dr  Mr  Mrs  Ms

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| Full name (as in Passport): |  |

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| Aliases, if any: |  |

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| Date of Birth: |  |  | Nationality: |  |

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| Passport Number: |  |  | Are you a UAE resident?  (For foreign Applicant): Yes  No |

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| Residential Address (Full address not just PO Box): |  |

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| Mailing Address  (if different from residential address, please provide reason below): |  |

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| Reason: |  |

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| Home No.: |  |  | Mobile No.: |  |

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| Email address: |  |

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| Employment Status: | | |
| Salaried employee | Self-employed (Business owner/Commission earner) | Unemployed (please specify, e.g., Homemaker, Student, Retiree): |

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| Name of Employer: |  |

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| Address of employer: |  |

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| Position Held: |  |  | Office No.: |  |

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| Jurisdiction and description of the business (if self-employed): |  | | |
| Bank Account Details for Settlement | | | | |
| Bank Name: |  | City: |  |
| Account Type: |  | Country: |  |
| Account Name: |  | Account No.: |  |

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| **Section C: Joint Account Holder \*** |

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| Name: |  | Relationship with the account holder: |  |

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| Residential address: |  |  |

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| Tax residence: |  |

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| Date of Birth: |  | Nationality: |  |

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| Passport number: |  | Source of wealth: |  |

\*Please see the investment decision declaration.

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| **Section C: Financial Details** |

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| |  |  |  |  |  | | --- | --- | --- | --- | --- | | Source of funds that will be used for trading (Please check as appropriate): | | | | | | Savings | Business | Rental Income | Investment | | Salary | Inherited Wealth | Sale of Property | Others (please specify): | |  |  |  |  | | Source of wealth (Please check as appropriate): | | | | | Savings | Business | Rental Income | Investment | | Salary | Inherited Wealth | Sale of Property | Others (please specify): | |  |  |  |  | |  | | | | | Please state the country(ies) of origin for source(s) of wealth declared | | | | | UAE | Other countries |  | | |

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| Annual Income: | | | | | |
| <$100,000 | $100,001 – $300,000 | $300,001 – $400,000 | $400,001 – $500,000 | Above $500,000 |
| Net Worth (Shareholdings, assets, properties etc): | | | | |
| Less than $1m | $1,000,001 to $2m | $2,000,001 to $3m | $3,000,001 to $4m | Above $4m |

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| **Section D: Relationship and Trading Objectives** |

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| Are you related to any employee/ representative of GTNME?  Yes  No | | |
| If yes, please specify: | |
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| Do you have any prior experience in trading of capital markets products (CMPs)?  Yes  No | | | | |
| If yes, please indicate the type of CMPs that you have prior trading experience (Please check as appropriate): | | | |
| Trading in securities | Trading in exchange-traded derivatives contracts | Trading in units in a Collective Investment Schemes |

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| |  |  |  |  | | --- | --- | --- | --- | | Please indicate your investment objectives (Please check as appropriate) | | | | | Long Term Investment | Short Term Trading Profits | Passive Income / Dividend Yield | | Hedging | Others (please specify): |  | | | | |
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| Please provide an estimated number of transactions that you intend to trade via GTNME over the next three months | | |
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| Please provide an estimated value of transactions (in USD) that you intend to trade via GTNME over the next three months | |
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| **Section E: Foreign Account Tax Compliance Act (FATCA)/ Common Reporting Standard (CRS)** |

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| Country of tax residency: |  | Tax identification number: |  |

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| If country of tax residency differs from the country of your residential address, please specify reason: |  |

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| If you are not a tax resident in any jurisdiction, please check this box: |
| Note: If you wish to trade in U.S. shares and you are not a U.S. tax resident, please complete the W-8BEN Form. U.S. tax residents are not allowed to open account with GTNME to trade U.S. shares. |

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| **Section F: Other declarations** |

1. Kindly complete Part 1- Self -certified net-worth declaration for professional clients
2. Kindly complete Part 2- Declaration of investment knowledge and trading experience (professional clients)
3. Kindly complete Part 3- Politically Exposed Person (PEP) declaration

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| **Section G: Declaration by applicant(s)** |

I declare that the information provided in this form is true and correct. I am aware that I may be subject to prosecution and criminal sanctions under written law if I am found to have made any false statement which I know to be false or which I do not believe to be true, or if I have intentionally suppressed any material fact.

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| --- | --- |
| Signature primary account holder |  |
| Signature joint account holder |  |

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| Date |  |

**Investment Decisions for joint account holder:** I confirm that the investment decisions relating to the joint account are generally made for, or on my behalf, by the primary account holder.

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| Signature joint account holder |  |

**Important notice**: Please note that all information provided is kept confidential in accordance with the Personal Data Protection Act 2020 (No. 5 of 2020) of Dubai International Financial Centre.

**Complaints:** GTNME has a compliant policy which can be provided to you at request. Please write to us at [complaints@gtnme.com](mailto:complaints@gtnme.com) in case of any complaints.