

Client's Name: _____

Documents	Description	Section of the Application with which you must match	Yes	No
Form	- Application to Open an Investment Account Legal Entity	-----		
Legal Documents	<ul style="list-style-type: none"> - Social Pact with its main amendments - Public Registry Certificate valid for no more than 90 days - For _____ companies _____ and Anglo-Saxon companies: Articles of Association or Memorandum of understanding and Certificate of Good Standing. - For companies in Venezuela: Articles of Incorporation and its updates. - Tax Identification Document (RUC or for foreign companies the equivalent documents. Ex: In Venezuela, the Tax Information Registry (RIF). 	Legal Entity Data		
Identifications of the Persons with Links to the Legal Entity	<ul style="list-style-type: none"> - Copy of 2 valid identification documents: Passport and Identity Card of: - Shareholders (100%) - Board of Directors - Signatories - Shareholders holding more than 10% of the shares and signatories on the account must complete the "FINAL BENEFICIARY OR CONTROL PERSON INFORMATION FORM". - For companies with complex legal structures: obtain the "Affidavit of Beneficial Ownership of the Legal Entity". 	Links to the Legal Entity/Personal Data		
Service receipt public of Applicant, Shareholders (>10%) and Signatories	- Copy of a utility bill (water, electricity or gas). phone number, or bank statement showing the customer's address, valid for no more than 90 days. Applies also rental agreement or resident agent letter.	Address		

Evidence of Income and Equity Analysis	<ul style="list-style-type: none"> - Applicant: Financial Statements for the last two (2) years or Last two (2) Income Tax Returns - Shareholders with 10% or more: Work Letter or Certification of Income signed by a Certified Public Accountant - Signatories: Letter of Employment or Certification of Income signed by a Certified Public Accountant. 	<i>Financial Profile</i>		
Evidence Source of Funds	<ul style="list-style-type: none"> - In case of custody transfer: attach the Investment Portfolio Statement of Account - In the case of bank transfer: 1 Bank Reference of the Bank with a validity between 30 and 90 days, according to the period of the Bank for its verification. - If the following transactions (debits or credits) will be from/to Entities other than the previous one: attach Bank Reference with a validity between 30 and 90 days, according to the Bank's period for verification. 	<i>Transactional profile</i>		
Bank References of Shareholders (>10%) and Signatories	<ul style="list-style-type: none"> - Attach 1 Bank Reference with a validity between 30 and 90 days, according to the policy of the Banking Institution. 	<i>Validation of References Final Beneficiary Form and Control</i>		
Board of Directors Meeting Minutes Format	<ul style="list-style-type: none"> - Complete and sign the BOARD OF DIRECTORS MEETING MINUTES form. 	<i>Signatories / Board of Directors / type of signature / Beneficiaries</i>		
Signature card	<ul style="list-style-type: none"> - Signature card indicating ID number and type of signature (individual or joint). The signature must be identical to the document 			
Stock Brokerage Account Agreement	<ul style="list-style-type: none"> - It must be signed by the account holder(s) (in case of joint signatures it must be signed by the authorized parties). 			
FATCA Questionnaire (APPLICANT)				
FATCA Certification (APPLICANT)				
W-8Ben-E or W-9 Form (APPLICANT AND SHAREHOLDERS)				
Self-Certification of Legal Tax Residency Form (APPLICANT)				
Self-Certification of Tax Residency Form Person Exercising Control (Natural Person)				

Comments:

Approved Chief Executive Officer: _____

Date: _____