

Client's Name: \_\_\_\_\_

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

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

Comments:

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Approved Chief Executive Officer: \_\_\_\_\_

Date: \_\_\_\_\_