

### APPLICATION TO OPEN AN INVESTMENT ACCOUNT FOR A NATURAL PERSON

#### Requested Service Data

Margin Accounts <input type="checkbox"/>	Mutual or Securities Lending Accounts <input type="checkbox"/>
Shares <input type="checkbox"/>	Bonds <input type="checkbox"/>
Custody <input type="checkbox"/>	Mixed Portfolio <input type="checkbox"/> Specify: _____

IMPORTANT: 1. The management of the account will be NON DISCRETIONARY where the client gives instructions to AVANZA at the moment of making any transaction based on clause 10 (a) of the STOCK EXCHANGE ACCOUNT AGREEMENT where it indicates that AVANZA will limit itself to execute express orders of the Client, therefore the Client will be the only responsible for the investment decisions.

2. The client acknowledges that the Margin Account involves among others, the following risks: (a) The client may incur losses in excess of the value of the assets in the account. (b) AVANZA Casa de Valores S.A. may apply automatic clearing (by margin event or unilateral decision of the company). (c) AVANZA Casa de Valores S.A. may modify at any time the margin rates and the maintenance rate in the account. (d) After a clearing, the client's asset composition will vary.

3. The Client further acknowledges that securities lending involves the taking of credit, price and liquidity risk of the security that is the subject of the transaction.

**Number of Signatories on the account:**    1                      2     more than 2. Indicate number: \_\_\_\_\_    **Note: Each signatory must complete the form of Application to open an Investment Account for a Natural Person**

#### Account Name

#### Personal Data

Paternal Surname:		Mother's Last Name:		Married Surname:	
First Name:			Middle Name:		
Marital Status:			Place of Birth:		Sex: <input type="radio"/> M <input type="radio"/> F
Date of Birth:	Occupation:	Academic Level:	Occupation:		
Nationality 1:	ID / Passport number:	Expiration Date:			
Nationality 2:	ID / Passport number:	Expiration Date:			
Nationality 3:	ID / Passport number:	Expiration Date:			

#### Residence Address and Contact Information

Avenue / Street:		Building / House:		Apartment / Apt:	
City / County:		State / Province:		Postal Address	
Country:	Residential Telephone:	Cellular:	Email:		

#### LABOR AND SOCIOECONOMIC DATA

##### Salaried employees

Company where he works:			Activity of the Company:		
Company Address: Avenue / Street:			Building / House / Premises / Warehouse:		
Floor / Office no:		City / County:		State / Province:	
Postal Address:	Country:	Office Telephones:	Email:		
Position held:	Seniority	Are you a shareholder of the company where you work? Yes      No      %:	Do you have commercial relations with any governmental entity?    Yes      No Detail: _____		

##### Independent

Type of Commercial or Professional Activity:		Seniority:	Do you have commercial relations with any Government Entity?    Yes      No Detail: _____		
Address where the activity takes place: Avenue / Street:			Building / House / Premises / Warehouse:		
Floor / Office or Premises No:		City / County:		State / Province:	
Postal Address:	Country:	Office Telephones:	Email:		

**FINANCIAL PROFILE**
**Amount of Fixed Income:** \_\_\_\_\_ **Currency:** **USD** **EURO** **Other** **Indicate:** \_\_\_\_\_

**Frequency of Receipt of Fixed Income:** Daily  Weekly  Biweekly  Monthly  Bimonthly  Other (please specify): \_\_\_\_\_

**Method of Payment:** Cash  Quasi-cash  Check  Wire Transfer  Other (please specify): \_\_\_\_\_

**Do you receive Variable Income?** Yes  No  If yes, please indicate approximate amount: \_\_\_\_\_

**Frequency of Receipt of Variable Income:** Daily  Weekly  Biweekly  Monthly  Bi-monthly  Other (specify): \_\_\_\_\_

**Method of Payment:** Cash  Quasi-cash  Check  Wire Transfer  Other (please specify): \_\_\_\_\_

Country(ies) Source of Income: \_\_\_\_\_

**Amount of Monthly Expenses:** \_\_\_\_\_ **Currency:** **USD** **EURO** **Other** **Indicate:** \_\_\_\_\_

**INVESTOR PROFILE**
**Investment Experience** None:  Limited:  Good:  Excellent: 
**Type of previous investments**

 None:  Bonds:  Stocks:  Options:  Mutual Funds:  Other:  Specify: \_\_\_\_\_

**Risk Tolerance** **Low:** Prefer lower risk exposure which could mean lower returns, but higher probability of preserving capital.

**Average:** He is willing to assume temporary losses in order to obtain returns above the inflation level in the medium term.

**High:** May take significant losses on certain types of investments in order to achieve higher long-term returns.

Investment Objective:	SECURITY	INCOME	CAPITAL APPRECIATION	SPECULATION
	Capital Preservation: (Treasury Notes, Investment Grade Bonds)	High Current Income: (Emerging Bonds, High Yield, Structured Notes, Hedge Funds)	Growth: (Common Stocks, Mutual Funds, ETF's)	

**Investment horizon** Liquidity (0 to 1 year):  Short term (1 to 3 years):  Medium term (3 to 7 years):  Long term (7 to more): 
**TRANSACTIONAL PROFILE**
**The client must provide supporting documents that sustain the initial amount, country of origin of the funds and the financial institution indicated below. For subsequent transactions outside the Bank mentioned below, the customer must provide a bank reference for proper verification.**

 Amount of the initial transaction: \_\_\_\_\_ Transfer of Custody of Securities:  Transfer of funds via ACH: 

 Transfer International  Other (indicate) \_\_\_\_\_

Country of origin of the initial operation: \_\_\_\_\_;

Bank/Entity/Custodian: \_\_\_\_\_

**Substantiation of the origin of the funds:** \_\_\_\_\_

**Note:** The substantiation of the origin of funds must be supported with the corresponding documentation (Article 7, paragraph 5, Agreement 6 of August 19, 2017. Sole Text).

**Products and Services**

 Shares:  Bonds:  Options:  Mutual Funds:  Margin: 

 Custodian:  Mixed Portfolio:  Others:  Specify: \_\_\_\_\_

**CURRENT ASSETS (Amount to date):**

Cash and/or Banks: \_\_\_\_\_ No. of Financial Institutions handled: \_\_\_\_\_ Countries where they are located: \_\_\_\_\_

Portfolio in other Institutions: \_\_\_\_\_ No. of Financial Institutions handled: \_\_\_\_\_ Countries where they are located: \_\_\_\_\_

**CURRENT LIABILITIES (Amount to date):**

Account payable to suppliers: \_\_\_\_\_ Describe: \_\_\_\_\_

Account payable Financial Institutions: \_\_\_\_\_ Describe: \_\_\_\_\_

**EQUITY (Amount to date):** \_\_\_\_\_



