

Account Type: ☐ Individual ☐ Joint & ☐ Joint &/or ☐ Corporate

| NAME OF ACCOUNT HOLDER(S)                                                                                                                                                                                                                                                                                                                                                                                                                               | CIF # Official Use Only                                        |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|
| 1.                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                |
| 2.                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                |
| 3.                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                |
| 4.                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                |
| 5.                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                |
| <b>ACCOUNT MAILING ADDRESS (if different from the CIF Mailing Address)</b>                                                                                                                                                                                                                                                                                                                                                                              |                                                                |
| Street Address:                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                |
| Purpose of account:                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                |
| <b>Source of Wealth:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                |
| Describe how you accumulated the funds that you intend to deposit and/or invest with SIC:                                                                                                                                                                                                                                                                                                                                                               |                                                                |
| <input type="checkbox"/> Salary/Wages/Savings <input type="checkbox"/> Investments/Capital Gains <input type="checkbox"/> Family/Relatives/Inheritance <input type="checkbox"/> Property <input type="checkbox"/> Pension/Retirement Benefit<br><input type="checkbox"/> Business Revenue <input type="checkbox"/> Retained Earnings <input type="checkbox"/> Owner/Shareholder Equity or Loan to Company<br><input type="checkbox"/> Other (describe): |                                                                |
| 1. Indicate your estimated net worth<br><br>2. Indicate your estimated liquid net worth<br>(total of cash and cash equivalents):                                                                                                                                                                                                                                                                                                                        |                                                                |
| <b>Source of Funds:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                |
| Generated from what transaction or business:                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                |
| Usual Destination of Funds - please list countries                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                |
| Estimated Annual Volume of Deposit and Withdrawals                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                |
| Deposits: _____                                                                                                                                                                                                                                                                                                                                                                                                                                         | Withdrawals: _____                                             |
| Estimated Frequency of Deposits – Number per year<br>_____                                                                                                                                                                                                                                                                                                                                                                                              | Estimated Frequency of Withdrawals – Number per Year:<br>_____ |
| <b>Investment Objective:</b> <input type="checkbox"/> Capital Preservation <input type="checkbox"/> Income <input type="checkbox"/> Growth <input type="checkbox"/> Speculation                                                                                                                                                                                                                                                                         |                                                                |
| <b>Investment Experience</b>                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                |
| Knowledge Level: <input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Good <input type="checkbox"/> Extensive                                                                                                                                                                                                                                                                                                        |                                                                |
| Years of Trading Experience: <input type="checkbox"/> None <input type="checkbox"/> 1-3 <input type="checkbox"/> 4-6 <input type="checkbox"/> 7-10 <input type="checkbox"/> 10+                                                                                                                                                                                                                                                                         |                                                                |
| Estimated Trades Per Year: <input type="checkbox"/> 10 <input type="checkbox"/> 11-25 <input type="checkbox"/> 26-50 <input type="checkbox"/> 51-100 <input type="checkbox"/> 100+                                                                                                                                                                                                                                                                      |                                                                |
| <b>Risk Tolerance</b>                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                |
| <input type="checkbox"/> Conservative (low risk) <input type="checkbox"/> Moderate (medium risk) <input type="checkbox"/> Aggressive (high risk)                                                                                                                                                                                                                                                                                                        |                                                                |
| <b>Conservative:</b> Cautious, having a risk-averse investment strategy which has preservation of capital as a high priority.                                                                                                                                                                                                                                                                                                                           |                                                                |
| <b>Moderate:</b> Willing to accept some risk for a potential higher rate of return.                                                                                                                                                                                                                                                                                                                                                                     |                                                                |
| <b>Aggressive:</b> An investment strategy characterized by a willingness to accept above-average risk in pursuit of above-average return                                                                                                                                                                                                                                                                                                                |                                                                |
| <b>ACCOUNT AUTHORITY</b>                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                |
| <input type="checkbox"/> <b>Full Discretion</b> (Client grants full authority without consultation) pursuit of above-average return                                                                                                                                                                                                                                                                                                                     |                                                                |
| <input type="checkbox"/> <b>Partial Discretion</b> (Client must be contacted before execution of any transaction)                                                                                                                                                                                                                                                                                                                                       |                                                                |
| <input type="checkbox"/> <b>Custody</b> (No discretion, assets are for safekeeping and reporting only)                                                                                                                                                                                                                                                                                                                                                  |                                                                |

## INVESTMENT PRODUCTS &amp; SERVICES

☐ Repurchase Agreement   ☐ Mutual Funds   ☐ Bonds   ☐ Stockbrokerage   ☐ Structured Products

☐ Other: \_\_\_\_\_

## ACCOUNT CLASSIFICATION

I/we hereby understand and agree to the terms and definitions outlined in the selected classification

☐ Private Client

Individuals and small businesses. Reasonable care regarding advice on suitability and understanding of risk are the minimum basic protections afforded under the regulations.

☐ Professional Client

A public authority, Securities Investment Business Intermediary, High Net Worth Individual (Assets >= \$4M), Closed-ended funds, Sophisticated Clients who exhibit sound knowledge and experience in business and financial matters and a Private Client that has been re-classified as a professional client under regulation 12(2). Note that the protection afforded under the regulatory regime is lower than that offered to a private client.

☐ Market Counterparty

Experienced professional with full understanding of how the market works and the risks and rewards involved. A government, central bank or other national monetary authority, state investment body or public debt management body, supranational whose members are countries or central banks and a professional client where classified as a market counterparty under the provisions of Regulation 12.

## DECLARATION

I/We hereby request that Sagicor Investments Cayman Limited (SICL) open the account(s)/contract(s) specified above. I/We understand that the information provided herein is the basis for opening such account(s) and warrant that such information is accurate in all respects. In consideration of SICL opening the said accounts, I/We agree to provide any documents and further information requested by SICL on the opening of the account(s)/contract(s) or from time to time thereafter and to abide by SICL requirements and all laws and regulations concerning the said account(s). I/We confirm that the Terms and Conditions governing the operation of the account(s)/contracts(s) hereby requested to be opened, have been made available to me/us and I/we have read, understood and agree to be bound by such Terms and Conditions as amended from time to time. I/we agree to indemnify and hold SICL and its subsidiaries harmless in respect of any loss I/we may suffer as a result of my/our failure to comply with the aforementioned Terms and Conditions. I/We further agree that SICL shall be entitled to close my/our account forthwith if it deems the information provided herein to be insufficient or inaccurate, in the event of any breach of the aforementioned Terms and Conditions or any laws with respect to the said account(s)/contract(s) or for any other lawful reason whatsoever.

I/We agree that I/we have received, read, understood and am/are agreeing to the General Terms and Conditions for Conducting Business with Sagicor Investments (Cayman) Limited.

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date (dd/mm/yyyy)

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date (dd/mm/yyyy)

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date (dd/mm/yyyy)

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date (dd/mm/yyyy)

## SPECIMEN SIGNATURES

Signing Designation: ☐ Any One to sign ☐ Any Two to sign

☐ Other (State combinations, attach if necessary) \_\_\_\_\_

|                        |
|------------------------|
| Surname                |
| First Name and Initial |
| Date                   |
| CIF Number             |

Signature must fit within the Signature Box

|                        |
|------------------------|
| Surname                |
| First Name and Initial |
| Date                   |
| CIF Number             |

Signature must fit within the Signature Box

|                        |
|------------------------|
| Surname                |
| First Name and Initial |
| Date                   |
| CIF Number             |

Signature must fit within the Signature Box

|                        |
|------------------------|
| Surname                |
| First Name and Initial |
| Date                   |
| CIF Number             |

Signature must fit within the Signature Box

\_\_\_\_\_  
Witnessed by: Justice of the Peace/  
Notary Public/SICL Officer

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date (dd/mm/yyyy)

**For  
Official  
Use  
Only**

Entered by:

Authorised by:

Date (dd/mm/yyyy)

Scanned by:

Authorised by:

Date (dd/mm/yyyy)

Promotional Code:

Promotion Date (dd/mm/yyyy):