



An RBCTM Company

WEST INDIES STOCKBROKERS LIMITED CHECK LIST - NEW ACCOUNT DOCUMENTATION - CORPORATIONS

Mandatory - All Accounts

- WISE Customer Investor Package
- WISE Account Opening Investor Application 0867001-0619
- Certificate of Incorporation, Continuance and Articles of Association*
- Annual Returns*
- Company By-Laws*
- Two forms of valid government ID for EACH director and/or authorised signatory
- Utility Bill dated within 3 months as proof of home address for authorised signatory
- Board Resolution
- List of Authorised Signatories
- List of Directors
- Director's Statement
- Power of Attorney* (*POA only*)
- Trust Agreement* (*Trusts only*)
- Referral letter from major bank (*non-residents only*)
- Partnership Agreement and Mandate from Partnership or Unincorporated Entity (*Partnerships only*)
- Utility Bill dated within 3 months as proof of home address (*Partnerships only*)
- Tax Residency Self-Certification Form

Mandatory - Local Trading Accounts

- WISE Stockbroker Agreement Account Opening 0869001-0619 (*in duplicate*)
- WISE Bond Agreement (*in duplicate*) - *If Applicable*
- TTCD Dividend Mandate

Mandatory - Foreign Trading Accounts

- Pershing New Account Form
- Pershing Corporate Resolution
- W-8BEN E Form

Other Forms

- AML/CTF Due Diligence (Google Search)
- Other _____

Information for Clients (to be mailed by Head Office)

All Clients

- Conflict of Interest Rules
- WISE Fee Schedule

Items marked with an asterisk * must be certified copies