



An RBC™ Company

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

Mandatory - All Accounts

- WISE Customer Investor Package
- WISE Account Opening Investor Application_0867001-0619
- Two forms of valid government ID for EACH signatory
- Utility Bill dated within 3 months as proof of address of EACH signatory
- Payslip or Job Letter
- 3 Years Financial Statements or 3 Years Bank Statements for Self Employed
- Bank Statements/Other Documents Supporting Source of Funds
- Tax Residency Self-Certification Form

- Power of Attorney* (*POA only*)
- Grant of Probate* (*Estates only*)
- Death Certificate* (*Estates only*)
- Referral Letter from major bank (*non residents only*)

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
- W-8 BEN Form
- Declaration of Transmission* (*Estates only*)

Other Forms

- AML/CTF Due Diligence Documents (Google Search)
- Pershing Joint Account Agreement
- Pershing Transfer on Death Form Pershing
- Other _____

Information for Clients

- WISE Fee Schedule
- Conflict of Interest Rules

Items marked with asterisk * must be certified copies