

# CLIENT INVESTMENTS QUESTIONNAIRE

\* Please tick relevant box

## Country of Origin

Domestic Client/Domestic Legal Entity

Foreign Client/Foreign Legal Entity

Politically Exposed Person (PEP)

Client request **single account**

Client request **multiple accounts**

(Provide reasons below, if multiple accounts)

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Client has reasonable knowledge of Financial Markets

Client has no knowledge of Financial Markets

Client is concerned about risks associated with investments

Client is not concerned about risks associated with investments

Nature of business of client:

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## Reason for establishment of business relationship:

Client wants to build a medium to long term business relationship  
(1 Year and longer)

Client wants to invest in short term  
(1 Year or shorter period)

Client wants to conclude a single transaction and close the account

Client wants to transact in Kruger Rands only

Please describe the purpose of establishing the business relationship with FFO

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**How is client going to fund his account with FFO?**

Cash – Notes and coins	<input type="checkbox"/>
Electronic Funds Transfer (EFT) from his bank	<input type="checkbox"/>
Electronic Funds Transfer (EFT) from a third party	<input type="checkbox"/>
Cheque Deposit	<input type="checkbox"/>

**Amount(s) to be invested:**

Lump Sum:	R .....	<input type="checkbox"/>
Monthly Payments:	R .....	<input type="checkbox"/>
Client has provided all necessary documents		<input type="checkbox"/>

**Source of the client's income:**

Monthly Salary	R .....	<input type="checkbox"/>
Does the client have savings funds?:R .....		<input type="checkbox"/>
Other: (Please specify)		<input type="checkbox"/>
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.....		

**Source of the funds which client expects to use:**

Monthly Salary:	<input type="checkbox"/>
Inheritance:	<input type="checkbox"/>
Savings:	<input type="checkbox"/>

Retirement Funds:

Transfer of Portfolio from another Broker:

Other: (Please specify)


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Are you a Politically Exposed Person (PEP)

Yes

No

(Please see the below definition of a PEP)

PEPs are defined as individuals who are or have been entrusted with prominent public functions such as heads of state or of government, senior politicians, senior government, judicial or military officials, senior executives of state-owned corporations and important political party officials.

The following are examples of PEP's:

- o Heads of state, heads of government and cabinet ministers;
- o Influential functionaries in nationalized industries and government administration;
- o Senior judges;
- o Senior political party functionaries;
- o Senior and/or influential officials, functionaries and military leaders and people with similar functions in international or supranational organizations;
- o Members of ruling or royal families; and
- o Senior and/or influential representatives of religious organizations (if these functions are connected to political, judicial, military or administrative responsibilities)

PEP's will include all of the abovementioned and their immediate families and close associates.

The term "families" includes close family members such as spouses, children, parents and siblings and may also include other blood relatives and relatives by marriage.

The category of "closely associated persons" includes close business colleagues and personal advisers/consultants to the PEP as well as persons who benefit significantly from being close to such a person.

**Signed by the Client on this \_\_\_ day of \_\_\_\_\_ 20\_\_**

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**Client Name:**