

 +265 999 60 09 63 / +265 991 38 87 79
 info@sycamorestockbrokers.com
 Victoria Avenue, Chayamba House,
Third Floor P.O. Box 805, Blantyre
 www.sycamorestockbrokers.com



Member of the Malawi Stock Exchange | Licensed Investment Dealer

INDIVIDUAL ACCOUNT OPENING & KYC FORM

IMPORTANT NOTICE

Please complete this form in **BLOCK LETTERS** and tick (✓) where applicable.

This form is intended for individuals opening an investment and trading account with Sycamore Stockbrokers Limited. All information provided will be treated as confidential and used in accordance with applicable laws, regulations, and Anti-Money Laundering (AML) requirements.

SECTION A: ACCOUNT DETAILS

Type and Purpose of Account

Beneficial Ownership

A beneficial owner is the individual who ultimately owns or controls the investments held in the account.

Name of Beneficial Owner: _____

Residential Address: _____

Relationship to Account Holder (if applicable): _____

SECTION B: PERSONAL INFORMATION

Personal Details

Title

Mr Mrs Miss Dr Prof Other: _____

Surname: _____

First Name(s): _____

Previous Name(s): _____

Gender: Male Female

Date of Birth: _____

Identification Details

Identity Type:

National ID

Passport

Driver's Licence

Other: _____

Identity Number: _____

Expiry Date: _____

Citizenship & Residency

Are you a Malawian Citizen?

Yes No

If No, please list all countries of citizenship:

Country of Residence: _____

Type of Residence Permit (if applicable): _____

Tax Identification Number (TIN): _____

Contact Information

Postal Address: _____

Residential Address: _____

District: _____

Village / Area: _____

Traditional Authority (T/A): _____

Mobile Number: _____

Telephone Number: _____

Email Address: _____

Residence Type

Self-Owned

Rented

Family Property

Employer Provided

Other: _____

SECTION C: EMPLOYMENT & FINANCIAL INFORMATION

Employment Status

- Salaried
- Self-Employed
- Retired
- Politically Exposed Person (PEP)
- Unemployed
- Student
- Other: _____

Position Held: _____

Employer / Business Name: _____

Employer Address: _____

Employer Telephone Number: _____

Period of Employment / Business Operation: _____

Nature of Business: _____

Income Information

Gross Annual Income (MWK): _____

Source of Funds

- Salary
- Business Income
- Dividends
- Commission
- Inheritance

- Gift
 - Personal Savings
 - Investment Income
 - Other: _____
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SECTION D: FAMILY INFORMATION

Marital Status

- Single
- Married
- Divorced
- Widowed

Spouse Information (If Applicable)

Full Name: _____

Nationality: _____

National ID / Passport Number: _____

Occupation: _____

Contact Number: _____

Email Address: _____

Number of Dependents

Do You Have a Valid Will?

- Yes No

Have You Ever Been Declared Insolvent?

- No
- Yes

If Yes, Date of Rehabilitation: _____

SECTION E: EXISTING FINANCIAL ACCOUNTS

Institution Name	Account Number	Branch Account Name	Account Type
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SECTION F: POLITICALLY EXPOSED PERSONS (PEP)

Are you, or any person connected to you, a Politically Exposed Person (PEP)?

No

Yes

If Yes, complete the table below:

Name of PEP	Public Position Held	Country	Relationship	Source of Wealth/Funds
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SECTION G: REFERENCES

Reference 1

Name: _____

Profession: _____

Address: _____

Telephone: _____

Email: _____

Reference 2

Name: _____

Profession: _____

Address: _____

Telephone: _____

Email: _____

SECTION H: AUTHORIZED SIGNATORIES

Name Signature Date

SECTION I: EXPECTED ACCOUNT ACTIVITY

Transaction Type Expected Transactions Per Month Expected Monthly Value (MWK)

Deposits

Withdrawals

Share Purchases

Share Sales

SECTION J: KYC VERIFICATION DOCUMENTS

Please provide certified copies of the following documents:

- Valid National ID / Passport
 - Proof of Residential Address (Utility Bill / Tenancy Agreement)
 - Recent Bank Statement (Last 3 Months)
 - Recent Payslip or Employer Letter
 - Proof of Source of Funds
 - Tax Identification Certificate (Where Applicable)
 - Passport Size Photograph
 - Other Supporting Documents: _____
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SECTION K: CLIENT DECLARATION

I/We hereby declare and confirm that:

- The information provided in this form is true, complete, and accurate.
- I/We undertake to notify Sycamore Stockbrokers Limited immediately of any changes to the information provided.
- I/We acknowledge and understand the risks associated with investing in securities.
- I/We confirm that all funds invested originate from legitimate and lawful sources.
- I/We authorize Sycamore Stockbrokers Limited to verify any information supplied through independent sources where necessary.
- I/We agree to be bound by the Terms and Conditions governing my/our account and investment activities.

Client Signature

Name: _____

Signature: _____

Date: _____

SECTION L: TERMS AND CONDITIONS

1. The Client warrants that all information supplied is true, complete, and accurate.
2. Sycamore Stockbrokers Limited may verify any information provided through independent sources.
3. The Client shall immediately notify Sycamore Stockbrokers Limited of any changes to personal or financial information.
4. Sycamore Stockbrokers Limited reserves the right to request additional information or supporting documentation at any time.
5. The Client confirms that funds invested are not derived from criminal activities, money laundering, fraud, terrorism financing, or any unlawful conduct.

6. The account may be suspended or closed where required by law, regulation, or company policy.
 7. Sycamore Stockbrokers Limited reserves the right to amend account terms and conditions upon reasonable notice.
 8. This account shall be governed by the laws and regulations of the Republic of Malawi.
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SECTION M: FOR OFFICIAL USE ONLY

Account Opening Checklist

- KYC Documents Verified
 - Identity Verified
 - Address Verified
 - PEP Screening Completed
 - Source of Funds Verified
 - AML Review Completed
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Verification & Approval

Account Opening Officer: _____

Signature: _____

Date: _____

Compliance Officer: _____

Signature: _____

Date: _____

Account Number Allocated: _____

Account Approved: Yes No

Approval Date: _____

Notes / Remarks
