APPLICATION FORM FOR INDIVIDUALS

GALT & TAGGART

CREATING OPPORTUNITIES

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IMPORTANT: You must read the following before continuing. By filling out and signing this Application the prospective Client agrees to open and maintain accounts with Joint Stock Company Galt & Taggart, a brokerage house incorporated in Georgia. The company is regulated by and carries out its activities pursuant to the applicable laws of Georgia. Nothing herein shall be construed as a solicitation of offer, or recommendation, to acquire or dispose of any investment or to engage in any other transaction, or to provide any investment advice or service other than on the territory of Georgia.

A. ACCOUNT TYPE INFORMATION

By ticking the box below, I hereby agree to open the following type of account(s) at JSC Galt & Taggart:

◯ G&T Brokerage Account ◯ G&T Trader Account ◯ Both

B. GENERAL INFORMATION

B.1. CLIENT INFORMATION

Salutation ◯ Mr. ◯ Mrs. ◯ Ms. ◯ Dr.

Full name (as it appears in your passport)

Date of birth DD/MM/YY

Place of birth

Identification document ◯ Passport ◯ ID card (only if issued by Georgian authorities)

Document number

Personal ID number (if applicable)

Date of issue DD/MM/YY

Expiration date DD/MM/YY

Issuing authority

Country of citizenship

Second citizenship (if applicable)

Country of residence

Country of tax residence

Taxpayer ID (if any)

Gender ◯ Male ◯ Female

Education ◯ High school ◯ Undergraduate ◯ Graduate/Post-Graduate

Employment status ◯ Employed ◯ Government employee ◯ Entrepreneur ◯ Pensioner/retired ◯ Student ◯ Unemployed

Marital status ◯ Married ◯ Single ◯ Divorced ◯ Widow (er)

Number of children (under 18)

Number of other dependants

B.2. CONTACT INFORMATION

RESIDENTIAL ADDRESS

Country

Post code

City/village

Street

District Building # Apt. #

MAILING ADDRESS (If different)

Country

Post code

City/village

Street

District Building # Apt. #

Time at this address Years Months

Status of residence ◯ Owner ◯ Co-owner ◯ Rent ◯ Other

Home phone number

Mobile phone number

Email address

☐ By ticking this box, the Client confirms that this e-mail is to be used for communication between client, trader and associates - for the purposes that include but are not limited to making trading transactions on Client's behalf and sending the information about JSC Galt and Taggart products and services.

C. KNOW YOUR CUSTOMER (KYC) QUESTIONNAIRE

C.1. INFORMATION ABOUT YOUR PERSONAL INCOME AND ORIGIN OF FUNDS

Annual income ◯ $1-$15,000 ◯ $15,001-$25,000 ◯ $25,001-$50,000 ◯ $50,001-$100,000 ◯ $100,001-$200,000 ◯ > $200,001

Source of income (Check all that apply): ☐ Salary ☐ Business ☐ Rent ☐ Dividend ☐ Other

Source of wealth (Check all that apply): ☐ Inheritance ☐ Pension ☐ Salary ☐ Rent ☐ Sale of property ☐ Savings ☐ Other

Total estimated net worth: ◯ $1-$100,000 ◯ $100,001-$500,000 ◯ $500,001-$1,000,000 ◯ > $1,000,001

The approximate volume of incoming funds to the accounts ◯ $1-$50,000 ◯ $50,001-$200,000 ◯ $200,001-$500,000 ◯ $500,001-$1,000,000 ◯ >$ 1,000,001

Name of financial institution for first incoming cash / securities transfer

Are you the ultimate owner/beneficial owner of the trading account(s), which you will hold at JSC Galt & Taggart?

◯ YES ◯ NO

If no, please specify the name of ultimate beneficial owner:

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C.2. EMPLOYMENT INFORMATION
(If self-employed or a business (co)-owner, please proceed to section C.3.)

Name of the employer and incorporation status (e.g. LLC, LTD etc.)

Position

Sectors
- ◯ Government/public sector
- ◯ Banking and insurance
- ◯ Retail and wholesale trade
- ◯ Commercial services and supplies
- ◯ Consumer goods
- ◯ Transport and logistics
- ◯ Telecommunication, media and technology
- ◯ Foreign aid organizations
- ◯ Non governmental organization
- ◯ Pharmaceuticals and healthcare
- ◯ Construction and real estate
- ◯ Power generation and distribution
- Other

ADDRESS OF THE EMPLOYER

Country

Post code

City/village

Street

District | Building # | Apt. #

Business phone number

Email address

C.3. INFORMATION ABOUT YOUR BUSINESS
(For self-employed or business owners only)

Full legal name and incorporation status (e.g. LLC,LTD,etc.)

Sectors
- ◯ Government/public sector
- ◯ Banking and insurance
- ◯ Retail and wholesale trade
- ◯ Commercial services and supplies
- ◯ Consumer goods
- ◯ Transport and logistics
- ◯ Telecommunication, media and technology
- ◯ Foreign aid organizations
- ◯ Non governmental organization
- ◯ Pharmaceuticals and healthcare
- ◯ Construction and real estate
- ◯ Power generation and distribution
- Other

BUSINESS ADDRESS

Country

Post code

City/village

Street

District | Building # | Apt. #

Business phone number

Email address

Year in which business was founded | Number of shareholders

Directly and/or beneficially owned equity interest % | Number of employees

C.4. INTERNATIONAL FINANCIAL SANCTIONS

1. Are you connected with any person/entity or is your activity connected with or conducted on behalf of any person/entity listed in special lists published by OFAC (The Office of Foreign Assets Control), UN (United Nations) and EU (European Union)? ◯ YES ◯ NO

If yes, please indicate type of relationship and name of person/entity with which you have direct or indirect connection:

D. ADDITIONAL INFORMATION

D.1. CLIENT REFERRAL

Purpose and reasons for opening the account(s)

Have you been referred to JSC Galt & Taggart brokerage services? ◯ YES ◯ NO

If yes, by whom? (Name, Last Name)

Why did you decide to become our client? (check all that apply)
- ☐ Trust/Reliability
- ☐ Diversified product range
- ☐ High professionalism
- ☐ Wide spectrum of services
- ☐ Low fees
- ☐ Convenient online access

Other

D.2. INVESTMENT INFORMATION

Are you an existing client of Bank of Georgia? ◯ YES ◯ NO

If yes, please indicate Private/Solo banker's name

Would you like to view information about your accounts at JSC Galt & Taggart in iBank? ◯ YES ◯ NO

Would you like to receive information on investment opportunities from JSC Galt & Taggart? ◯ YES ◯ NO

D.3. BANK REQUISITES

JSC Galt & Taggart does not support third party transfers.

Please indicate bank details where you would like to receive funds from JSC Galt & Taggart.

Intermediate Bank Name (if applicable)

Intermediary Bank Swift (if applicable)

Beneficiary Bank Name

Beneficiary Bank Swift

International Bank Account Number (IBAN)

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E. POLITICALLY EXPOSED PERSON (PEP) QUESTIONNAIRE

1. Are you a Politically Exposed Person*?

*Politically Exposed Person (PEP) is a natural person, who has been/had been entrusted with prominent public functions in a country and carries out significant public and political activities and holds one of the following offices or positions: Head of State or of government, member of government, their deputies, senior official of government institution, member of parliament, member of the supreme court and constitutional court, high ranking military official, member of the central (national) bank's council, ambassador, senior executive of state owned corporations, political party (union) official and member of executive body of the political party (union), other prominent politician. This also applies to immediate family members of the PEP or to close personal or professional associates. A person shall be considered as a politically exposed during a year following his / her resignation from the foregoing positions.

◯ YES ◯ NO

If yes, please indicate the position and period

2. Are you an immediate family member of the PEP?

◯ YES ◯ NO

If yes, please provide full name, position and your relationship with the PEP

Full name

Position

☐ Spouse ☐ Parent

☐ Child (including step – children) or spouse of the child ☐ Brother or sister

3. Have you ever been or are you a personal or professional associate of the mentioned person(s), who commonly benefits from the assets or from an established business relationship or from another form of close business contact with the upper stated person(s)?

◯ YES ◯ NO

F. INDIVIDUAL IDENTIFICATION FORM FOR FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) PURPOSES

F.1. PURPOSE
(For US nationals only)

This form is proposed to satisfy the demands of U.S. Tax legislation (particularly of Foreign Accounts Tax Compliance Act (FATCA)) and Intergovernmental Agreement (IGA) between Georgia and United States of America.

COUNTRY OF TAX RESIDENCY

Country	
Taxpayer ID (if any)	
Country	
Taxpayer ID (if any)	

Is there any currently effective power of attorney or signatory authority granted to a person with U.S. legal/actual address? ◯ YES ◯ NO

F.2. TERMS AND CONDITIONS

1. If you are citizen and/or tax resident of the U.S., submit the form of Request for Taxpayer identification Number (TIN) and Certification, composed by Internal Revenue Service of the U.S. (see the link http://www.irs.gov/pub/irs-pdf/fw9.pdf) or substitute form presented by representative of JSC Galt and Taggart (Form W-9), if Form W-9 is not submitted within 14 calendar days after signing of this form JSC Galt and Taggart shall not be responsible for additional obligations imposed on you under U.S. Tax legislation. In case the circumstances of this paragraph exist, JSC Galt and Taggart will be authorized to present to relevant body information and/or documentation related to you and stored in JSC Galt and Taggart (including personal data, information about brokerage accounts, financial operations etc.) to fulfill obligations under Foreign Accounts Tax Compliance Act (FATCA) and Intergovernmental Agreement (IGA) between Georgia and United States of America.

2. If you are not citizen and/or tax resident of the U.S., but born in the U.S., submit the form of Certificate of Foreign Status of Individuals for United States Tax Withholding and Reporting, composed by Internal Revenue Service of the USA (see the link http://www.irs.gov/pub/irs-pdf/fw8ben.pdf) or substitute form presented by representative of JSC Galt and Taggart (Form W-8BEN) with the corresponding reasonable written explanation (about individual's renunciation of US citizenship or the reason the individual didn't obtain US citizenship at births) or Certificate of Loss of Nationality of the U.S., if documents mentioned in this paragraph are not submitted within 14 calendar days after signing of this form, you will be considered as U.S. tax resident and JSC Galt and Taggart will be authorized to present to relevant body information and/or documentation related to you and stored in JSC Galt and Taggart (including personal data, information about brokerage accounts, financial operations etc.) to fulfill obligations under Foreign Accounts Tax Compliance Act (FATCA) and Intergovernmental Agreement (IGA) between Georgia and United States of America.

3. If you are not citizen and/or tax resident of the U.S., but you have legal/actual address in the U.S. and/or telephone number registered in the U.S. and/or power of attorney or signatory authority is granted to a person with U.S. legal/actual address, submit the Form W-8BEN, if the Form W-8BEN is not submitted within 14 calendar days after signing of this form, you will be considered as U.S. tax resident and JSC Galt and Taggart will be authorized to present to relevant body information and/or documentation related to you and stored in JSC Galt and Taggart (including personal data, information about brokerage accounts, financial operations etc.) to fulfill obligations under Foreign Accounts Tax Compliance Act (FATCA) and Intergovernmental Agreement (IGA) between Georgia and United States of America.

4. Abovementioned Terms and Conditions become affective after the account is opened at JSC Galt and Taggart

G. INVESTOR PROFILE QUESTIONNAIRE

1. How would you describe your level of interest in each of the following asset classes?

	Not interested	Neutral	More or less interested	Very interested
Fixed Income	◯	◯	◯	◯
Equities	◯	◯	◯	◯
ETFs / ETCs / ETNs	◯	◯	◯	◯
Structured products	◯	◯	◯	◯
Real estate	◯	◯	◯	◯
Private equity	◯	◯	◯	◯
Commodities	◯	◯	◯	◯
Derivatives (Futures/Options)	◯	◯	◯	◯

2. How experienced would you consider yourself in each of the following investment types?

	Not experienced	Neutral	More or less experienced	Very experienced
Savings accounts/Bank deposits	◯	◯	◯	◯
Equity	◯	◯	◯	◯
Bonds	◯	◯	◯	◯
ETFs/ETCs/ETNs	◯	◯	◯	◯
Derivatives (Futures/Options)	◯	◯	◯	◯
Margin trading	◯	◯	◯	◯

3. Which of the following currencies would you prefer for investing?
(Check all that apply)

☐ USD ☐ EUR ☐ GEL

☐ Emerging markets currencies

4. What is the most acceptable time horizon for investing?
(Check all that apply)

☐ Less than 1 year ☐ 1-3 years ☐ 3-5 years

☐ 5 years +

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5. Assess the importance of each of the following factors when investing:

	Not important	Neutral	More or less important	Very important
High yield	○	○	○	○
High dividend	○	○	○	○
High liquidity	○	○	○	○
Low risk	○	○	○	○
Invested principal protection	○	○	○	○
Over-perform major US/EU equity indices	○	○	○	○
Track major US/EU equity indices	○	○	○	○

6. How would you describe your investment profile:
(Please choose one answer)

○ Aggressive ○ Moderate ○ Defensive

7. If there is a chance of making better long-term returns, I am prepared to take an investment risk:
(Please choose one answer)

○ Strongly disagree ○ Disagree ○ Neither agree nor disagree
○ Agree ○ Strongly agree

With my signature below, I declare affirm and certify:

· To have received, read and understood the product information material relating to the relevant products;
· To have received additional in-depth verbal information about the products and the inherent possibilities and risks if so requested; and
· To have received satisfactory answers to all my questions regarding the terms, conditions and other issues relating to the relevant products.

By signing this form I certify, that: a) I have read and agreed with the terms and conditions regarding G&T Trader Account published at www.trader.ge/terms (applicable only if G&T Trader Account box is ticked on the first page of this Application in Account Type Information section) and I am bound by and will act in accordance with those terms and conditions; b) I have read and agreed with the terms and conditions published at https://galtandtaggart.com/upload/Galt-and-Taggart-Brokerage-Terms-and-Conditions.pdf regarding G&T Brokerage Account (applicable only if G&T Brokerage Account box is ticked on the first page of this application in Account Type Information section) and I am bound by and will act in accordance with those terms and conditions; c) I have read and agreed with the terms and conditions of this Application d) I declare, represent and warrant that information submitted by me is true and complete; e) I am responsible to inform JSC Galt &Taggart about any changes, or any circumstances that may produce changes in the information submitted by me and filled in this form, within 30 calendar days following their occurrence; f) I am ready to collaborate with JSC Galt & Taggart to ensure fulfillment of its obligations under Foreign Account Tax Compliance Act (FATCA) and Intergovernmental Agreement (IGA) between Georgia and United States of America; g) I will indemnify JSC Galt &Taggart from any loss, action, expense or liability which arises or is incurred by JSC Galt &Taggart in relation to this Application, including without limitation under Foreign Account Tax Compliance Act (FATCA) and Intergovernmental Agreement (IGA) between Georgia and United States of America should I fail to duly respect any of my obligations under this form for whatever reason;

In case of reasonable suspicion of the breach of the above mentioned statement JSC Galt & Taggart is entitled to close any or all of my accounts immediately. Note that in some cases submit of supporting documents might be requested. Upon examining the client's Application and other accompanying documents, JSC Galt & Taggart may, at its sole discretion decline the Application and refuse provision of the requested Services without stating any reason(s) for doing so. JSC Galt & Taggart reserves the right to perform any client checks and references it may deem appropriate or desirable in order to comply with its Know Your Client and Fraud and Crime Prevention policies. The client explicitly and irrevocably consents to such checks and references performed by JSC Galt & Taggart.

The Client and JSC Galt & Taggart expressly agree that this Application (including without limitation terms and conditions related to G&T Trader Account and/or G&T Brokerage Account, as applicable) constitutes a written contract between the Client and JSC Galt & Taggart. This agreement prevails, supplements, annuls and terminates any and all previous agreements and/or arrangements between the parties regarding provision of any type of services envisaged under this agreement, except for trader agreement related to GT Trader Account of the Client.

Data Processing

By signing this Application Form, I acknowledge, that JSC Galt & Taggart will process (including: collecting, storing) all Data, including my Personal Data indicated in this Application form, to (amongst other things) provide Services to me, comply with legal obligations and/or prevent and detect misconduct.

By choosing to view the information about your brokerage accounts at JSC Galt & Taggart in iBank, you consent that JSC Galt & Taggart, for the purposes of viewing your information in the iBank, is entitled to transfer to the JSC Bank of Georgia, all Data including my Personal Data. The Client agrees that in case of withdrawal of such consent, JSC Galt & Taggart shall be entitled to immediately cease and terminate viewing the information about your account at JSC Galt & Taggart in iBank.
By signing this Application Form, I give consent to JSC Galt & Taggart for the purpose of offering to me products/services of JSC Galt & Taggart, to process (including: collecting, storing) all Data, including my Personal Data indicated in this Application form.

☐ By signing this Application Form, I give consent to JSC Galt & Taggart for the purposes of providing Services to me by JSC Bank of Georgia (the "Bank") and/or offering and/or exploring opportunities to offer to me products/services of the Bank, to Transfer to the Bank, all Data including my Personal Data indicated in this Application form and the information relating to products and services provided to me by JSC Galt & Taggart.
(Tick only if you agree to receive service(s)/product(s) and/or offering from the Bank and/or entitle Bank to explore opportunities to proceed with offering)

Note: The Client shall have the right to, at any time and without explanation, withdraw his/her consent given for the purpose of providing service(s)/products to the Client by the Bank and/or offering and/or exploring opportunities to offer to the Client products/services of the Bank and to request that the Data, including Personal data/information, transferring be stopped by sending the written notice to JSC Galt & Taggart to the following post address: 79 D.Aghmashenebeli Avenue, Tbilisi, 0102 or by sending electronic notice to the JSC Galt & Taggart to the following e-mail address: st@gt.ge. After receiving the written notice, JSC Galt & Taggart shall be obliged to stop transferring Data, including Personal data/information, to the Bank for the relevant purpose(s) within the term and the manner established by Georgian legislation, unless there are other grounds to transfer them.

The controller of all the Data, including personal data/information, transferred to the Bank by JSC Galt & Taggart is the Bank independently of JSC Galt & Taggart.

Signature of the Client

Signature of JSC Galt & Taggart Representative

Date

DD/MM/YY



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