

INVESTOR PROFILE FORM

Please refer to important information and instructions contained at the back of this document before completing this form.

	BUYER
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	SELLER
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(A) INVESTOR DETAILS

1	INVESTOR NAME						
2	POSTAL ADDRESS						
3	RESIDENTIAL ADDRESS						
4	TELEPHONE	W		H		M	
5	E-MAIL ADDRESS						
6	OCCUPATION						

(B) TYPE OF INVESTOR (PLEASE INDICATE WITH A TICK)

<input type="checkbox"/> INDIVIDUAL	<input type="checkbox"/> INSTITUTION/COMPANY	<input type="checkbox"/> TRUST	<input type="checkbox"/> JOINT/FAMILY	<input type="checkbox"/> GROUP/CLUB
<input type="checkbox"/> CO-OPERATIVE	<input type="checkbox"/> MATAQALI	<input type="checkbox"/> PROVINCE	<input type="checkbox"/> TIKINA	<input type="checkbox"/> YAVUSA

(C) RESIDENCY (PLEASE INDICATE WITH A TICK) **(D) GEOGRAPHICAL LOCATION (PLEASE INDICATE WITH A TICK)**

<input type="checkbox"/> RESIDENT	<input type="checkbox"/> NON-RESIDENT	<input type="checkbox"/> NORTHERN	<input type="checkbox"/> CENTRAL/ EASTERN	<input type="checkbox"/> WESTERN
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(E) DATE OF BIRTH **(F) TAX IDENTIFICATION NUMBER (TIN)**

DAY		MONTH		YEAR			
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(G) DIVIDEND/INTEREST PAYMENT MODE (PLEASE INDICATE ONLY ONE OUT OF THE FIVE BELOW WITH A TICK)

9	<input type="checkbox"/> DIRECT DEPOSIT	10	<input type="checkbox"/> TELEGRAPHIC TRANSFER
	BANK		BANK
	ACCOUNT NAME		ACCOUNT NUMBER
	ACCOUNT NUMBER		BANK ADDRESS
11	<input type="checkbox"/> BANK DRAFT		BSB
	CURRENCY		SWIFT BIC
12	<input type="checkbox"/> NOT-NEGOTIABLE CHEQUE IN FJD - DISPATCH TO THE POSTAL ADDRESS ABOVE		
13	<input type="checkbox"/> RE-INVEST (IF OPTION AVAILABLE)		

(H) HOW DID YOU FIND OUT ABOUT SPSE? (PLEASE INDICATE WITH TICK(S) BELOW)

<input type="checkbox"/> INVESTMENT SEMINARS	<input type="checkbox"/> STOCKBROKER	<input type="checkbox"/> SOCIAL MEDIA	<input type="checkbox"/> FAMILY/FRIENDS
<input type="checkbox"/> SPSE WEBSITE	<input type="checkbox"/> RADIO/TV ADVERTISEMENT	<input type="checkbox"/> SPSE PUBLICATIONS	<input type="checkbox"/> OTHERS

(I) DECLARATION

I/We declare that the information provided herein is accurate, to the best of my/our knowledge. I/We understand and agree that the information provided herein will be used by the South Pacific Stock Exchange Limited to develop the Investor Profile Database.

Dated this _____ day of _____, 20____

Investor 1/ Authorised Signatory 1 Investor 2/ Authorised Signatory 2 Investor 3/ Common Seal

IMPORTANT INFORMATION AND INSTRUCTIONS

PURPOSE

The Investor Profile Form will assist the South Pacific Stock Exchange (SPSE) in capturing relevant details of all stock market investors. The collected data will assist SPSE in developing an Investor Profile Database for the stock market which will in turn assist stakeholders of the capital markets in carrying out analysis for decision making and record keeping.

SUBMISSION OF INVESTOR PROFILE FORM

The Investor Profile Form should be filled in and signed by the investor when placing a buy order or a sell order with their respective licensed broker. Once the investor's order is executed, the broker will submit the completed form to SPSE during settlement of the trade.

When should the investor fill in this form?

- If the investor has not previously submitted this form to SPSE, the investor is required to fill all relevant sections of the form.
- If any of the information on the form has changed since the last time it was submitted to SPSE, the investor is required to submit updated information to SPSE by filling in the relevant section(s) of the form only.

HOW TO COMPLETE THIS FORM?

Follow the instructions below to determine which sections of this form are required to be completed, and when.

Tick *Buyer* if the investor is placing a buy order or *Seller* if the investor is placing a sell order. This will assist SPSE in identifying which investor the broker is representing.

A. INVESTOR DETAILS

These details will provide the SPSE with general information on the investor.

1. Investor Name – this could be an individual investor, joint investors, or companies/trusts/groups.
2. Postal Address – this address should be an active address that the investor(s) would prefer receiving correspondence on.
3. Residential Address – the place of residence of the investor.
4. Telephone – the telephone number through which the investor would be readily available should be provided.
5. E-Mail Address – the email address that is frequently accessed by the investor should be provided.
6. Occupation – current employment of the investor

B. TYPE OF INVESTOR - Tick the box which best describes the investor or the investor's structure/setup.

C. RESIDENCY - Is investor's principal place of residence or place of incorporation.

D. GEOGRAPHICAL LOCATION - Tick the box which is most suitable to the investor.

E. DATE OF BIRTH- Provide birth date of investor

F. TAX IDENTIFICATION NUMBER (TIN)

This information is very important for SPSE as it provides unique identification for each investor. In case of joint investors, please provide TIN for all investors. This section is not required to be filled for non-resident investors who do not have a TIN.

G. DIVIDEND/INTEREST PAYMENT MODE

Choose only one of out the five payment modes from Sections 9 to 13. It is important that the investor provide accurate details in this section to ensure that dividend/interest payments are made accurately. The broker should be able to provide information to the investor about which listed companies provide the option to re-invest dividend.

H. HOW DID YOU FIND OUT ABOUT SPSE?

Depending on how the investor found out about SPSE, more than one box could be ticked for this section.

I. DECLARATION

It is important to ensure that the form is signed by the investor. In case of non-individuals, only authorised signatories should be allowed to sign this form.