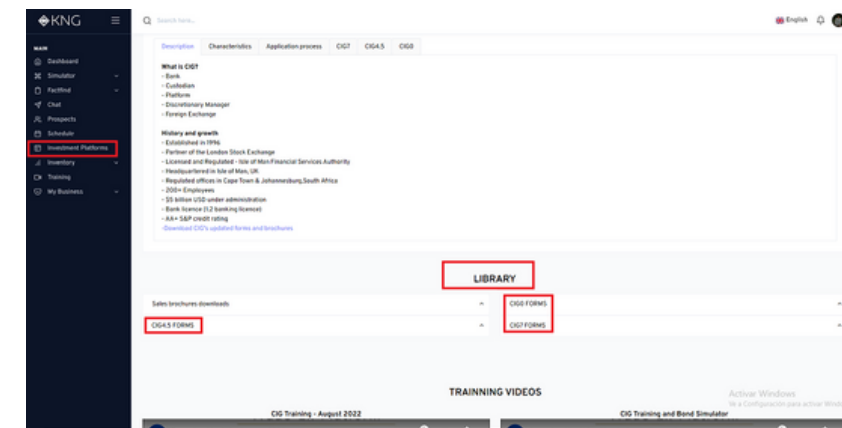


Application Process

Step 1

You will need the following:

- ID/Passport
- Proof of address (no more than 3 months old, and it has to be under the client's name)
- Bank statement of the account the funds will be sent from (no more than 3 months old)
- Selfies with the ID and POA* (see *KYC Certifications guide on the last page*)
- Application forms: DDF1, PAF3, Tariff Sheet and W8BEN

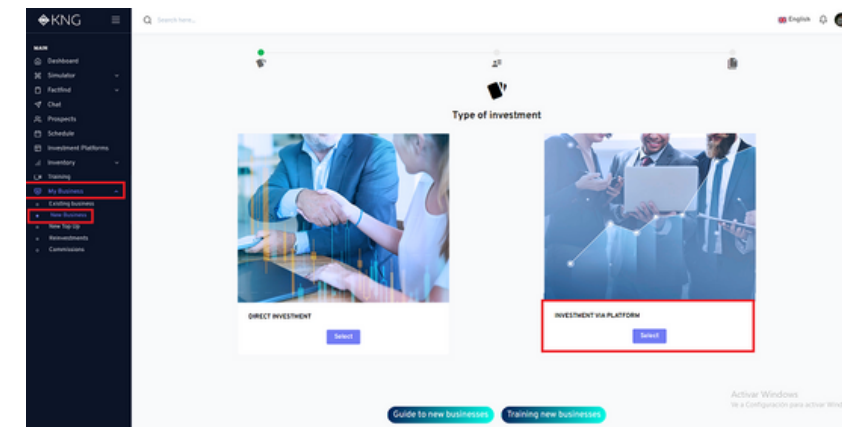


You can find the application forms on the KNG portal, click on the **Investment Platforms** tab and select CIG

Step 2

Upload the application forms and support documents. Remember they can be original, scanned, or DocuSign copies. Attach all of them to the KNG portal.

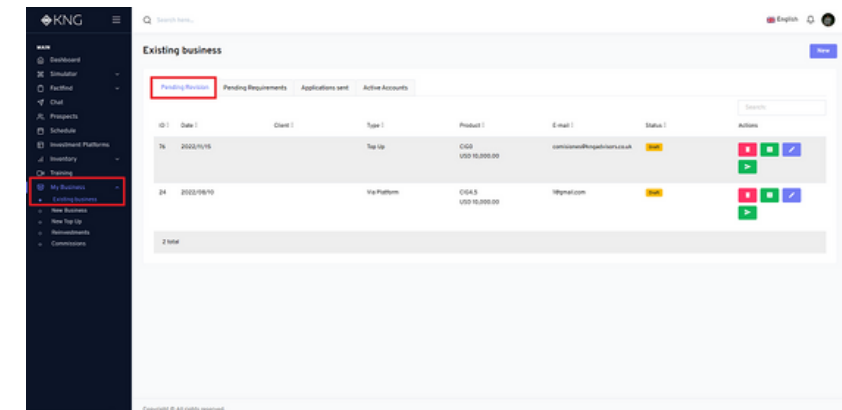
Note: Remember KNG can facilitate the signature process by sending all documents to your client via DocuSign



To upload a new CIG application, on the left hand side menu select the *My Business* tab, click on *New Business*, and select the option *Investment via platform*

Step 3

KNG's administrative team will review the application, if corrections are needed, your application will be moved to the *Pending Requirements* tab. If all requirements and forms are correct, it will be moved to the *Applications Sent* tab and KNG will take care of sending the documents to CIG.



You can keep track of your client applications on the *My Business* tab

Step 4

After the client signs the application forms, signed copies and support documents are sent to CIG for review.



Note: The review process takes between 5 - 10 business days.

Step 5

The company accepts, conditionally accepts, or rejects the application (or may request more KYC data).



Example Where do the funds to be invested come from?

Answer A: Savings

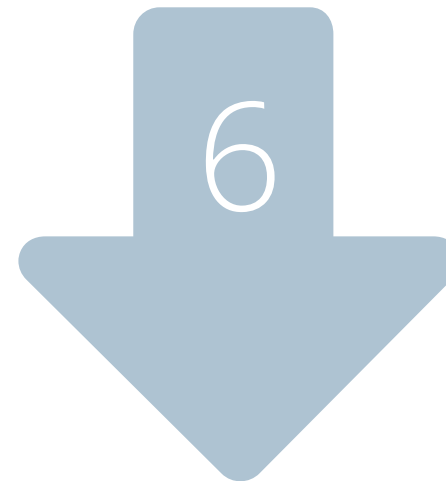
Answer B: Savings accumulated during the last 7 years, coming from my salary as an engineer in XYZ company. These savings have been safeguarded in my account at XYZ bank.

Note: It is important to explain in detail the SOF & SOW sections (source of funds and source of client's wealth), so we can decrease the chances of CIG returning the application.

CIG is less likely to ask for more KYC data if we give answers like example B.

Step 6

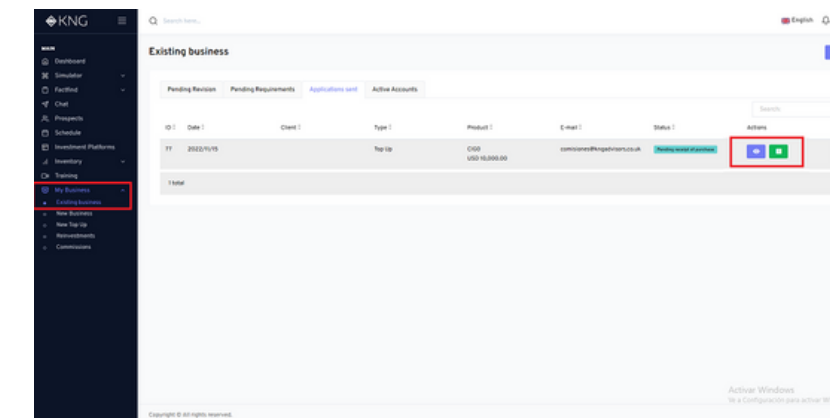
After the company accepts the customer, a welcome letter is sent with the customer's account number and details for transferring funds.



Sample welcome letter. Includes account details and instructions for transferring funds.

Step 7

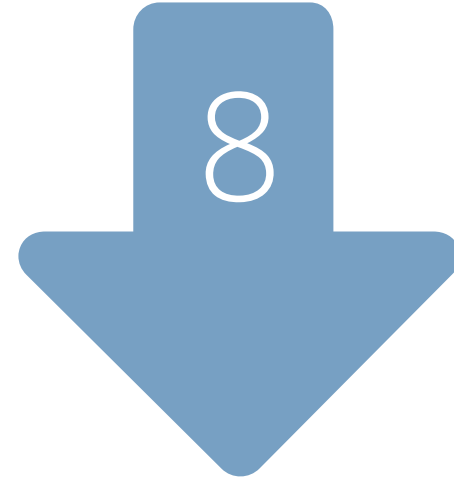
Request SWIFT receipt from client. Advisor uploads SWIFT receipt to KNG portal, KNG sends it to CIG.



The SWIFT receipt is uploaded in the customer data tab, on the right side you will see a column that says Actions, and when you click on the blue check mark a window will pop up asking to *Upload payment receipt*

Step 8

Once CIG receives the funds, the Dealings Form must be prepared to upload the client's trade orders.



SECKL or ISIN	Buy/Sell	Order Size	Stock Name (in full)	Asset Currency	Settlement Currency	Unit Price or unit	Comments/Notes
181M	BUY	12.500	Bono o Fondo A	U. S. D.			
181M	BUY	12.000	Bono o Fondo B	U. S. D.			
181M	BUY	12.000	Bono o Fondo C	U. S. D.			

Dealings Form. Once completed, you upload it to the KNG portal for the administrative team to review and send to the client for signature.

Step 9

Once we have the signed *Dealings Form*, the trade orders will be uploaded to CIG. When the purchase is finalized, the client will receive a contract note.



You can find your clients' contract notes on the CIG portal. In case you cannot find them, please contact KNG's administrative team.

Step 10

Upload contract notes to the KNG portal to generate your commissions.



In the KNG portal, under the client tab, upload a copy of the contract/contract note in order to generate your commissions for this business.

Ongoing attention

Our administrative team constantly monitors investments to ensure that all paperwork is in order and that coupon payments are being made on time.

Each month we will notify you of coupon payments made during the month.

Additional support

KNG can support you by sending the documents by DocuSign to obtain the client's signatures electronically.

Our administrative team is available for any questions, you can contact us at the following email: admin@kngadvisors.co.uk

Certifying KYC documents



Proof of identity

You need a photo of the document to be used as proof of identity, e.g. ID card, passport or driver's license. You can scan the document or take a photo of it, but you have to make sure that:

- All corners of the ID are visible.
- The text is easy to read
- There are no marks on the photo
- If it is a double-sided document, both sides must be scanned/photographed. In the case of passport, an "open book" copy is required (see example on left side)
- The document must not have an expiration date of less than one month.
- Edited or filtered photos will be rejected
- Only JPEG or PDF documents of 500 KB or more will be accepted.



Standard risk accounts

Identity documents and proof of address can be validated with a selfie:

- The photo must be clear and well-lit, and must show the customer's full face.
- The text on the document must be easy to read



High risk accounts

For accounts classified as high risk, certifications from the following are acceptable:

- Lawyer
- Accountant
- Notary



Must include the following text: **I certify this is a true copy of the original** (see examples below)



Proof of address

To verify an address, the following documents are accepted:

- Utility bill (electric, water, internet).
- Bank statement
- Tax return (option not valid for customers in South Africa)
- Government issued documents



Important

Remember to include the information of the person certifying the documents:

- Name
- Qualifications
- License number
- Contact information
- Web Site