



MY : **SAVINGS**  
STRATEGY

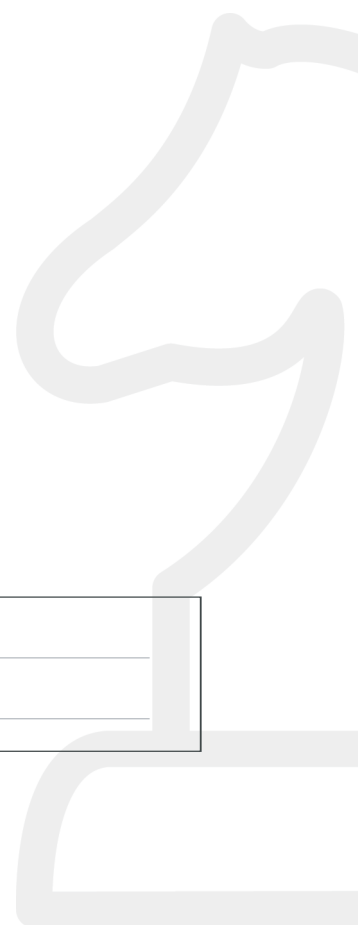


Solicitud de apertura de cuenta

**ASESOR**

Nombre: **Carlos Martin Riaño Forero**

E-mail: **comercarl62@hotmail.com**



## A Titular

Nombre completo: Argemiro Chavarro  
E-mail: a c g o n z a l e z 1 3 9 1 @ g m a i l . c o m  
Sexo: H o m b r e  
Teléfono: \* 5 7 3 1 5 7 8 0 5 7 3 3  
Celular: 3 1 5 7 8 0 5 7 3 3  
Documento Tipo D N I Número 12131366  
Fecha de nacimiento: 3 0 / 8 / 1 9 6 6  
Ocupación: I n g e n i e r o d e p e t r o l e o s  
Nacionalidad: C o l o m b i a  
País de residencia: C o l o m b i a  
Dirección: Cra 11 No116-31 apto 104  
Ciudad: B o g o t a  
Código Postal: 1 1 0 1 1 1  
TIN y Jurisdicción: C o l o m b i a n a ( 1 2 1 3 1 3 6 6 )  
Número de identificación de pago de impuestos y país

## B Titular 2

Nombre completo: \_\_\_\_\_  
E-mail: \_\_\_\_\_  
Sexo: \_\_\_\_\_  
Teléfono: \_\_\_\_\_  
Celular: \_\_\_\_\_  
Documento: Tipo \_\_\_\_\_ Número \_\_\_\_\_  
Fecha de nacimiento: \_\_\_\_\_  
Ocupación: \_\_\_\_\_  
Nacionalidad: \_\_\_\_\_  
País de residencia: \_\_\_\_\_  
Dirección: \_\_\_\_\_  
Ciudad: \_\_\_\_\_  
Código Postal: \_\_\_\_\_  
TIN y Jurisdicción: \_\_\_\_\_  
Relación 1er Titular: \_\_\_\_\_

## C Contribución regular (detalles de pago)

Monto (USD): 3 0 0 0  
Frecuencia: A n u a l  
Término: 1 0  
Incremento automático:  5%  10%

### PAGO CON TARJETA DE CRÉDITO

Nombre: A r g e m i r o C h a v a r r o  
Dirección de facturación:  
Banco emisor:  
País: C o l o m b i a  
Vencimiento: 0 6 2 0 2 5  
Tipo de tarjeta: V I S A  
Número tarjeta: X X X X - X X X X - X X X X - 1 6 6 4  
CVC:  
Fecha de cobro: 0 1

### PAGO CON TRANSFERENCIA BANCARIA

Nombre del banco:  
País del banco:  
Dirección del banco:  
Número de cuenta:  
Titular de la cuenta:  
Swift o ABA:

### Información Adicional (Entidades Financieras No Bancarias)

Nombre Institución:  
Dirección:  
Número de Cuenta:  
Titular de Cuenta:

**D** Origen de los fondos (Marque todo lo que corresponda de la lista a continuación)

Esta sección se refiere al origen de los fondos que se están invirtiendo, es decir, cómo se generaron los fondos que se nos han enviado (por ejemplo, la ocupación o las actividades comerciales, incluido el dominio geográfico de dichas actividades).

**INGRESOS DEL EMPLEADO**

Proporcione uno de los siguientes documentos como prueba de la información declarada en la sección C del KYC:

- Carta del empleador confirmando la ocupación, así como el nombre y la dirección de la empresa
- Copia del recibo de sueldo
- Confirmación del empleador del salario anual
- Estado de cuenta bancaria que muestre el salario recibido
- Última declaración de impuestos, si trabaja por cuenta propia

**VENTA DE PROPIEDAD**

Fecha de la venta

\_\_\_\_\_

Dueño(s) de la propiedad antes de la venta

\_\_\_\_\_

Valor de venta de la propiedad (USD)

\_\_\_\_\_

Dirección

\_\_\_\_\_

País

\_\_\_\_\_

Proporcione cualquier otra información pertinente

\_\_\_\_\_

Proporcione uno de los siguientes documentos como prueba de la información declarada anteriormente:

- Contrato de compraventa
- Título de propiedad del Registro de la propiedad

**VENTA DE ACCIONES O INVERSIONES**

Fecha de la venta

\_\_\_\_\_

Dueño(s) de la propiedad antes de la venta

\_\_\_\_\_

Valor de venta (USD)

\_\_\_\_\_

País

\_\_\_\_\_

Proporcione cualquier otra información pertinente

\_\_\_\_\_

Proporcione uno de los siguientes documentos como prueba de la información declarada anteriormente:

- Contrato
- Valor de venta de las acciones y cómo se vendieron
- Estado de cuenta del agente
- Recibo de la transacción
- Certificado de accionistas

**HERENCIA**

Tipo de herencia

.....

Relación

.....

Monto recibido (USD)

.....

Proporcione cualquier otra información pertinente

.....

Proporcione uno de los siguientes documentos como prueba de la información declarada anteriormente:

- Testamento con los detalles del patrimonio heredado
- Estado de cuenta bancaria que muestre el origen de los fondos
- Homologación de testamento

**VENTA DE LA EMPRESA**

Nombre de la empresa

.....

Dirección

.....

Precio de venta

.....

Fecha de venta

.....

Industria:

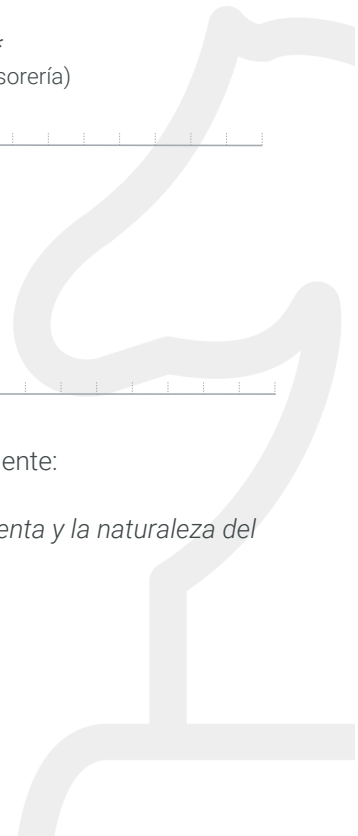
- |   |  |
|---|--|
| <input type="checkbox"/> De extracción *<br>(ej.: petróleo, gas, metales preciosos, piedras preciosas)                                  | <input type="checkbox"/> Productos farmacéuticos y de salud *<br>(e.g. production or supply chain)   |
| <input type="checkbox"/> Construcción / grandes obras de infraestructura *<br>(contratos público-privados, contratos de obras públicas) | <input type="checkbox"/> Sector de la beneficencia *<br>(ej.: ONG, cargos ejecutivos o de tesorería) |
| <input type="checkbox"/> Comercio de armas *<br>(ej.: contratistas militares privados)  | <input type="checkbox"/> Otro .....<br>.....   |
| <input type="checkbox"/> Compras públicas *<br>(ej.: contratos gubernamentales)   |  |

Proporcione información detallada

.....

Proporcione uno de los siguientes documentos como prueba de la información declarada anteriormente:

- Contrato de compraventa que confirme el nombre y la dirección de la empresa, el precio total de la venta y la naturaleza del negocio.
- Documentación donde se indique la fecha de la venta y la recepción de los fondos.



**GANANCIAS/DIVIDENDOS DE LA EMPRESA**

Nombre de la empresa

.....

Dirección

.....

Industria:

- De extracción \*  
(ej.: petróleo, gas, metales preciosos, piedras preciosas)
- Construcción / grandes obras de infraestructura \*  
(contratos público-privados, contratos de obras públicas)
- Comercio de armas \*  
(ej.: contratistas militares privados)
- Compras públicas \*  
(ej.: contratos gubernamentales)

- Productos farmacéuticos y de salud \*  
(e.g. production or supply chain)
- Sector de la beneficencia \*  
(ej.: ONG, cargos ejecutivos o de tesorería)
- Otro .....

Proporcione información detallada

.....

Proporcione uno de los siguientes documentos como prueba de la información declarada anteriormente:

- Últimos estados financieros auditados
- Últimas cuentas de gestión
- Aprobación de la Junta Directiva
- Última distribución de dividendos
- Último formulario de declaración de impuestos

**ACUERDO DE DIVORCIO**

Proporcione uno de los siguientes documentos como prueba de la información declarada anteriormente:

- Carta del abogado

Proporcione cualquier otra información pertinente

.....

**AHORROS**

Proporcione los siguientes documentos como prueba de la información declarada en la sección B del KYC:

- Estado de cuenta bancaria

**GANANCIAS DE JUEGOS DE AZAR/LOTERÍA/DONACIONES**

Fecha

.....

Monto (USD)

.....

País

.....

Proporcione cualquier otra información pertinente

.....

Proporcione uno de los siguientes documentos como prueba de la información declarada anteriormente:

- Documentos legales acreditativos
- Consentimiento por escrito que confirme la procedencia de la donación

OTROS

Proporcione cualquier otra información pertinente

---

Proporcione prueba de la información declarada anteriormente.



## **E** Contribución única (detalles de pago)

Monto (USD): \_\_\_\_\_

Misma forma de pago que para el aporte regular

PAGO CON TARJETA DE CRÉDITO

Nombre: \_\_\_\_\_

Dirección de facturación: \_\_\_\_\_

Banco emisor: \_\_\_\_\_

País: \_\_\_\_\_

Vencimiento: \_\_\_\_\_

Tipo de tarjeta: \_\_\_\_\_

Número tarjeta: \_\_\_\_\_

CVC: \_\_\_\_\_

Fecha de cobro: \_\_\_\_\_

PAGO CON TRANSFERENCIA BANCARIA

Nombre del banco: \_\_\_\_\_

País del banco: \_\_\_\_\_

Dirección del banco: \_\_\_\_\_

Número de cuenta: \_\_\_\_\_

Titular de la cuenta: \_\_\_\_\_

Swift o ABA: \_\_\_\_\_

### Información Adicional (Entidades Financieras No Bancarias)

Nombre Institución: \_\_\_\_\_

Dirección: \_\_\_\_\_

Número de Cuenta: \_\_\_\_\_

Titular de Cuenta: \_\_\_\_\_

## **F** Origen de los fondos (Marque todo lo que corresponda de la lista a continuación)

Esta sección se refiere al origen de los fondos que se están invirtiendo, es decir, cómo se generaron los fondos que se nos han enviado (por ejemplo, la ocupación o las actividades comerciales, incluido el dominio geográfico de dichas actividades).

### **INGRESOS DEL EMPLEADO**

Proporcione uno de los siguientes documentos como prueba de la información declarada en la sección C del KYC:

- Carta del empleador confirmando la ocupación, así como el nombre y la dirección de la empresa
- Copia del recibo de sueldo
- Confirmación del empleador del salario anual
- Estado de cuenta bancaria que muestre el salario recibido
- Última declaración de impuestos, si trabaja por cuenta propia

### **VENTA DE PROPIEDAD**

Fecha de la venta

\_\_\_\_\_

Dueño(s) de la propiedad antes de la venta

\_\_\_\_\_

Valor de venta de la propiedad (USD)

\_\_\_\_\_

Dirección

\_\_\_\_\_

País

\_\_\_\_\_

Proporcione cualquier otra información pertinente

\_\_\_\_\_

Proporcione uno de los siguientes documentos como prueba de la información declarada anteriormente:

- Contrato de compraventa
- Título de propiedad del Registro de la propiedad

### **VENTA DE ACCIONES O INVERSIONES**

Fecha de la venta

\_\_\_\_\_

Dueño(s) de la propiedad antes de la venta

\_\_\_\_\_

Valor de venta (USD)

\_\_\_\_\_

País

\_\_\_\_\_

Proporcione cualquier otra información pertinente

\_\_\_\_\_

Proporcione uno de los siguientes documentos como prueba de la información declarada anteriormente:

- Contrato
- Valor de venta de las acciones y cómo se vendieron
- Estado de cuenta del agente
- Recibo de la transacción
- Certificado de accionistas

**HERENCIA**

Tipo de herencia

.....

Relación

.....

Monto recibido (USD)

.....

Proporcione cualquier otra información pertinente

.....

Proporcione uno de los siguientes documentos como prueba de la información declarada anteriormente:

- Testamento con los detalles del patrimonio heredado
- Estado de cuenta bancaria que muestre el origen de los fondos
- Homologación de testamento

**VENTA DE LA EMPRESA**

Nombre de la empresa

.....

Dirección

.....

Precio de venta

.....

Fecha de venta

.....

Industria:

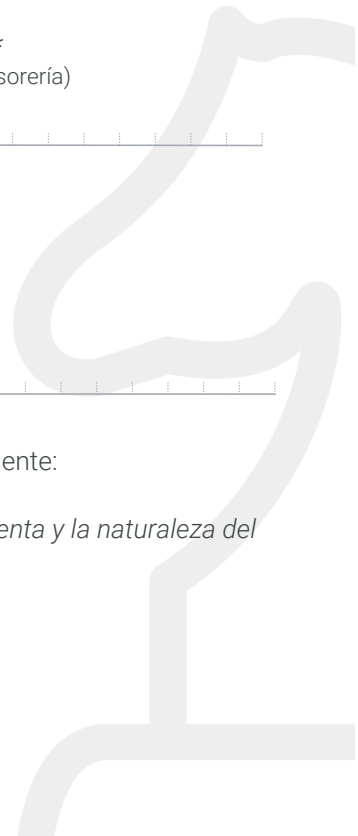
- |   |  |
|---|--|
| <input type="checkbox"/> De extracción *<br>(ej.: petróleo, gas, metales preciosos, piedras preciosas)                                  | <input type="checkbox"/> Productos farmacéuticos y de salud *<br>(e.g. production or supply chain)   |
| <input type="checkbox"/> Construcción / grandes obras de infraestructura *<br>(contratos público-privados, contratos de obras públicas) | <input type="checkbox"/> Sector de la beneficencia *<br>(ej.: ONG, cargos ejecutivos o de tesorería) |
| <input type="checkbox"/> Comercio de armas *<br>(ej.: contratistas militares privados)  | <input type="checkbox"/> Otro .....<br>.....   |
| <input type="checkbox"/> Compras públicas *<br>(ej.: contratos gubernamentales)   |  |

Proporcione información detallada

.....

Proporcione uno de los siguientes documentos como prueba de la información declarada anteriormente:

- Contrato de compraventa que confirme el nombre y la dirección de la empresa, el precio total de la venta y la naturaleza del negocio.
- Documentación donde se indique la fecha de la venta y la recepción de los fondos.



**GANANCIAS/DIVIDENDOS DE LA EMPRESA**

Nombre de la empresa

.....

Dirección

.....

Industria:

- De extracción \*  
(ej.: petróleo, gas, metales preciosos, piedras preciosas)
- Construcción / grandes obras de infraestructura \*  
(contratos público-privados, contratos de obras públicas)
- Comercio de armas \*  
(ej.: contratistas militares privados)
- Compras públicas \*  
(ej.: contratos gubernamentales)

- Productos farmacéuticos y de salud \*  
(e.g. production or supply chain)
- Sector de la beneficencia \*  
(ej.: ONG, cargos ejecutivos o de tesorería)
- Otro : .....

Proporcione información detallada

.....

Proporcione uno de los siguientes documentos como prueba de la información declarada anteriormente:

- Últimos estados financieros auditados
- Últimas cuentas de gestión
- Aprobación de la Junta Directiva
- Última distribución de dividendos
- Último formulario de declaración de impuestos

**ACUERDO DE DIVORCIO**

Proporcione uno de los siguientes documentos como prueba de la información declarada anteriormente:

- Carta del abogado

Proporcione cualquier otra información pertinente

.....

**AHORROS**

Proporcione los siguientes documentos como prueba de la información declarada en la sección B del KYC:

- Estado de cuenta bancaria

**GANANCIAS DE JUEGOS DE AZAR/LOTERÍA/DONACIONES**

Fecha

.....

Monto (USD)

.....

País

.....

Proporcione cualquier otra información pertinente

.....

Proporcione uno de los siguientes documentos como prueba de la información declarada anteriormente:

- Documentos legales acreditativos
- Consentimiento por escrito que confirme la procedencia de la donación

OTROS

Proporcione cualquier otra información pertinente

---

Proporcione prueba de la información declarada anteriormente.



## G Elección de fondos



**DSA** -Marque esta opción si desea delegar la decisión de inversión en su asesor. El intermediario actuará en nombre del (de los) titular(es) de cuenta con el fin de tomar decisiones de inversión.



**Protected Investment Portfolio**

*La cuenta será invertida en un portafolio compuesto por fondos de acciones globales y cash. La composición del portafolio variará de acuerdo a las condiciones predominantes en el mercado. Desde el inicio, el 80% del valor del fondo será protegido. El valor de cuenta será calculado en forma diaria y el 80% de protección aplicará sobre el valor más alto alcanzado por el fondo.  
Costo de Protección – 1% anual.*



**"ABC Investment" Strategy for Regular Contribution**

*Al elegir esta estrategia, su aporte se invertirá en el DCS Aggressive Fund por el 60% del plazo de su cuenta, luego en el DCS Balanced Fund por el 20% del plazo de su cuenta y, finalmente, en el DCS Cautious Fund por el 20% del plazo de la cuenta..*



**Libre selección de fondos**

Complete la siguiente tabla si desea elegir la opción **Selección de fondos**.

Nombre del fondo	% Regular	% Único
DCS Global Equities		
DCS Global Bonds		
DCS Cautious		
DCS Balanced		
DCS Aggressive		
DCS Emerging Market Equities		
DCS New Technologies		
DCS Sustainable Growth		
DCS Cash		
DGT E-Commerce Fund		
DGT Luxury Fund		
DGT Managed Fund		
<b>TOTAL</b>	100%	100%

## H Beneficiarios

Nombre completo: Silvia Perdomo  
Porcentaje: 100%  
Fecha Nacimiento: 5/4/1969  
Relación: Esposa  
Dirección: Cra 11 No116-31 apto 104  
Ciudad: Bogota  
País: Colombia  
E-mail: gsbolivar@hotmail.com  
Documento: 55156144

Nombre completo: \_\_\_\_\_  
Porcentaje: \_\_\_\_\_  
Fecha Nacimiento: \_\_\_\_\_  
Relación: \_\_\_\_\_  
Dirección: \_\_\_\_\_  
Ciudad: \_\_\_\_\_  
País: \_\_\_\_\_  
E-mail: \_\_\_\_\_  
Documento: \_\_\_\_\_

Nombre completo: \_\_\_\_\_  
Porcentaje: \_\_\_\_\_  
Fecha Nacimiento: \_\_\_\_\_  
Relación: \_\_\_\_\_  
Dirección: \_\_\_\_\_  
Ciudad: \_\_\_\_\_  
País: \_\_\_\_\_  
E-mail: \_\_\_\_\_  
Documento: \_\_\_\_\_

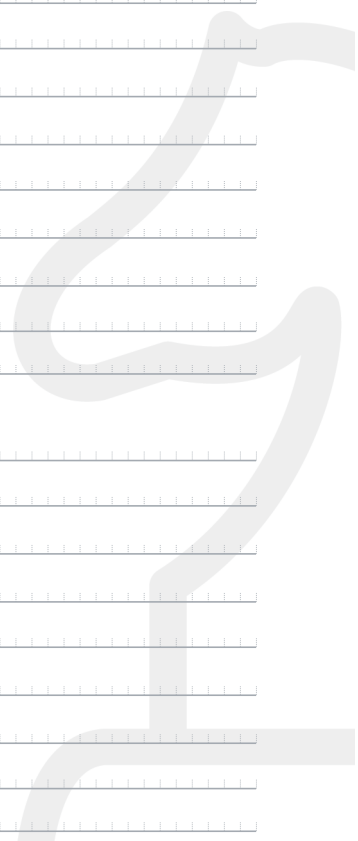
Nombre completo: \_\_\_\_\_  
Porcentaje: \_\_\_\_\_  
Fecha Nacimiento: \_\_\_\_\_  
Relación: \_\_\_\_\_  
Dirección: \_\_\_\_\_  
Ciudad: \_\_\_\_\_  
País: \_\_\_\_\_  
E-mail: \_\_\_\_\_  
Documento: \_\_\_\_\_

Nombre completo: \_\_\_\_\_  
Porcentaje: \_\_\_\_\_  
Fecha Nacimiento: \_\_\_\_\_  
Relación: \_\_\_\_\_  
Dirección: \_\_\_\_\_  
Ciudad: \_\_\_\_\_  
País: \_\_\_\_\_  
E-mail: \_\_\_\_\_  
Documento: \_\_\_\_\_

Nombre completo: \_\_\_\_\_  
Porcentaje: \_\_\_\_\_  
Fecha Nacimiento: \_\_\_\_\_  
Relación: \_\_\_\_\_  
Dirección: \_\_\_\_\_  
Ciudad: \_\_\_\_\_  
País: \_\_\_\_\_  
E-mail: \_\_\_\_\_  
Documento: \_\_\_\_\_

Nombre completo: \_\_\_\_\_  
Porcentaje: \_\_\_\_\_  
Fecha Nacimiento: \_\_\_\_\_  
Relación: \_\_\_\_\_  
Dirección: \_\_\_\_\_  
Ciudad: \_\_\_\_\_  
País: \_\_\_\_\_  
E-mail: \_\_\_\_\_  
Documento: \_\_\_\_\_

Nombre completo: \_\_\_\_\_  
Porcentaje: \_\_\_\_\_  
Fecha Nacimiento: \_\_\_\_\_  
Relación: \_\_\_\_\_  
Dirección: \_\_\_\_\_  
Ciudad: \_\_\_\_\_  
País: \_\_\_\_\_  
E-mail: \_\_\_\_\_  
Documento: \_\_\_\_\_



## H Beneficiarios (Cont)

Nombre completo: \_\_\_\_\_  
Porcentaje: \_\_\_\_\_  
Fecha Nacimiento: \_\_\_\_\_  
Relación: \_\_\_\_\_  
Dirección: \_\_\_\_\_  
Ciudad: \_\_\_\_\_  
País: \_\_\_\_\_  
E-mail: \_\_\_\_\_  
Documento: \_\_\_\_\_

Nombre completo: \_\_\_\_\_  
Porcentaje: \_\_\_\_\_  
Fecha Nacimiento: \_\_\_\_\_  
Relación: \_\_\_\_\_  
Dirección: \_\_\_\_\_  
Ciudad: \_\_\_\_\_  
País: \_\_\_\_\_  
E-mail: \_\_\_\_\_  
Documento: \_\_\_\_\_

Nombre completo: \_\_\_\_\_  
Porcentaje: \_\_\_\_\_  
Fecha Nacimiento: \_\_\_\_\_  
Relación: \_\_\_\_\_  
Dirección: \_\_\_\_\_  
Ciudad: \_\_\_\_\_  
País: \_\_\_\_\_  
E-mail: \_\_\_\_\_  
Documento: \_\_\_\_\_

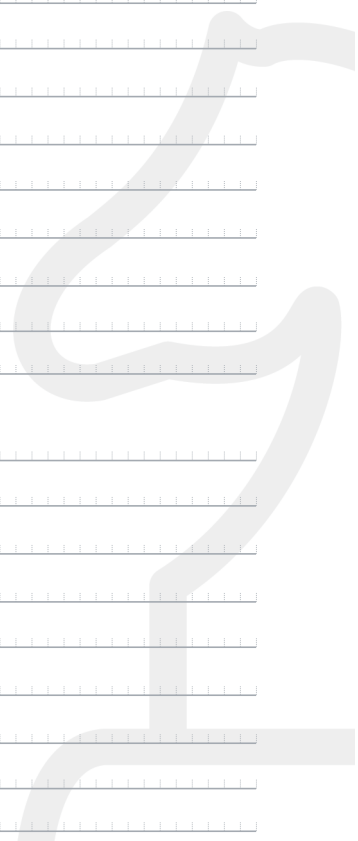
Nombre completo: \_\_\_\_\_  
Porcentaje: \_\_\_\_\_  
Fecha Nacimiento: \_\_\_\_\_  
Relación: \_\_\_\_\_  
Dirección: \_\_\_\_\_  
Ciudad: \_\_\_\_\_  
País: \_\_\_\_\_  
E-mail: \_\_\_\_\_  
Documento: \_\_\_\_\_

Nombre completo: \_\_\_\_\_  
Porcentaje: \_\_\_\_\_  
Fecha Nacimiento: \_\_\_\_\_  
Relación: \_\_\_\_\_  
Dirección: \_\_\_\_\_  
Ciudad: \_\_\_\_\_  
País: \_\_\_\_\_  
E-mail: \_\_\_\_\_  
Documento: \_\_\_\_\_

Nombre completo: \_\_\_\_\_  
Porcentaje: \_\_\_\_\_  
Fecha Nacimiento: \_\_\_\_\_  
Relación: \_\_\_\_\_  
Dirección: \_\_\_\_\_  
Ciudad: \_\_\_\_\_  
País: \_\_\_\_\_  
E-mail: \_\_\_\_\_  
Documento: \_\_\_\_\_

Nombre completo: \_\_\_\_\_  
Porcentaje: \_\_\_\_\_  
Fecha Nacimiento: \_\_\_\_\_  
Relación: \_\_\_\_\_  
Dirección: \_\_\_\_\_  
Ciudad: \_\_\_\_\_  
País: \_\_\_\_\_  
E-mail: \_\_\_\_\_  
Documento: \_\_\_\_\_

Nombre completo: \_\_\_\_\_  
Porcentaje: \_\_\_\_\_  
Fecha Nacimiento: \_\_\_\_\_  
Relación: \_\_\_\_\_  
Dirección: \_\_\_\_\_  
Ciudad: \_\_\_\_\_  
País: \_\_\_\_\_  
E-mail: \_\_\_\_\_  
Documento: \_\_\_\_\_



## I Declaraciones importantes & Firma

1. Entiendo que soy responsable de la información proveída y confirmo que la misma es correcta, completa y veraz.
2. Confirмо que he revisado, leído y entendido todo el material del producto que estoy contratando (incluyendo por ejemplo: los costos, penalidades, el término, los fondos disponibles) y las ilustraciones enviadas.
3. Tomo responsabilidad absoluta por las decisiones de inversión adoptadas (elección de los fondos).
4. Entiendo que mi plan no comenzará hasta tanto esta aplicación haya sido debidamente aceptada por Dominion Capital Strategies.
5. Acepto que Dominion Capital Strategies comparta mi información y los documentos enviados por mi con sus afiliados y/o terceros de su confianza
6. Confirмо que el dinero utilizado para el producto es mío (no de terceros), tiene un origen lícito y ha tributado impuestos en el respectivo país.
7. Declaro que no hubo una venta activa del producto, sino un interés pro activo de mi parte al conocer la existencia del mismo.

**He leído, comprendo y acepto los términos y condiciones generales de uso y la política de privacidad.**

Nombre titular: Argemiro Chavarro

Fecha: 19 08 2021

Firma del titular: Argemiro Chavarro Gonzalez

Nombre co-titular: \_\_\_\_\_

Fecha: \_\_\_\_\_

Firma del co-titular: \_\_\_\_\_

Por favor, provea un ID vigente y una evidencia de domicilio con menos de 3 meses de antigüedad.

**DOMINION**  
CAPITAL STRATEGIES

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Know your customer (KYC)

**ASESOR**

Nombre: Car los Mar tin Ria ñ o For ero

E-mail: comercarl62@hotmail.com

## A Cliente

Nombre completo: A r g e m i r o C h a v a r r o  
Correo electrónico: a c g o n z a l e z 1 3 9 1 @ g m a i l . c o m  
País de residencia: C o l o m b i a

## B KYC

¿Cuánto tiempo hace que conoce a su cliente? (años)

1

¿Cómo entraron en contacto por primera vez?

L i n k e d i n

¿Existen en el mercado otras propuestas financieras similares para el interesado?

O l d m u t u a l

Describa en líneas generales los motivos de su cliente para solicitar este producto

**Ahorro e inversión**

Total de activos (USD)

2 5 0 0 0 0

Años de ahorro

1 0

Monto total anual percibido de todas las fuentes de ingresos (USD)

1 5 0 0 0 0

Desglose de monto total anual percibido de todas las fuentes de ingresos (USD)

S a l a r i o , r e n t a s b i e n e s r a í c e s

¿Su cliente tiene otras cuentas con Dominion?

N o

## C Industrias

¿Alguna parte de este patrimonio ha sido generado a través de la participación en alguna de las siguientes industrias y sectores, o en asociación con ellos? Marque todas las opciones que correspondan.

- |   |   |
|---|---|
| <input checked="" type="checkbox"/> De extracción *<br>(por ej.: petróleo, gas, metales preciosos, piedras preciosas)       | <input type="checkbox"/> Productos farmacéuticos y Atención sanitaria *<br>(por ej.: producción o cadena de suministro) |
| <input type="checkbox"/> Construcción/Infraestructura pesada *<br>(contratos público-privados, contratos de obras públicas) | <input type="checkbox"/> Sector de beneficencia *<br>(por ej.: ONG, cargos ejecutivos o de tesorería)                   |
| <input type="checkbox"/> Comercio de armas *<br>(por ej.: contratistas militares privados)                                  | <input type="checkbox"/> Otros _____  |
| <input type="checkbox"/> Compras públicas *<br>(por ej.: contratos gubernamentales)   |   |

(\*) Favor de proporcionar toda información extra que crea pertinente

e m p l e a d o   c o m p a ñ í a   O i l   &   g a s \_\_\_\_\_

## D Situación laboral

### EMPLEADO

Nombre del empleador

H O C O L   S A \_\_\_\_\_

Dirección

C r a   7   N o   1 1 3 - 4 3   P i s \_\_\_\_\_

Página web

w w w . h o c o l . c o m . c o \_\_\_\_\_

Tiempo transcurrido con empleador actual

1 5 \_\_\_\_\_

Posición

J e f e   d e   o p e r a c i o n e s \_\_\_\_\_

Favor de proporcionar toda información extra que crea pertinente

O i l   &   g a s \_\_\_\_\_

### TRABAJADOR POR CUENTA PROPIA

Descripción de tareas

\_\_\_\_\_

Dirección

\_\_\_\_\_

Página web

\_\_\_\_\_

Tiempo transcurrido en auto-empleo

\_\_\_\_\_

Favor de proporcionar toda información extra que crea pertinente

\_\_\_\_\_

**EMPRESARIO**

Razón social de la empresa

.....

Dirección

.....

Página web

.....

Descripción de la empresa

.....

Tiempo transcurrido como propietario de la empresa

.....

Otra información que crea pertinente

.....

**RETIRADO**

Fecha de retiro

.....

Empleo o profesión previa al retiro

.....

Ingresos anuales previos al retiro

.....

Nombre de la empresa

.....

Otra información que crea pertinente

.....

**DESEMPLEADO**

Descripción de tareas en último empleo

.....

Empresa

.....

Ingreso anual

.....

Fecha de cese en último empleo

.....

Otra información que crea pertinente

.....

**OTRO**

Favor de proporcionar información detallada

.....

## **E** Origen del Patrimonio (Marque todas las opciones que correspondan de la lista que sigue)

Esta sección hace referencia a las actividades de las que proviene el patrimonio total de una persona, tanto dentro como fuera de una relación, es decir, aquellas actividades de las que derivan los fondos y propiedades de un cliente.

### **INGRESOS POR EMPLEO**

Favor de proporcionar uno de los siguientes como prueba de la información declarada en la sección C:

- Carta del Empleador confirmando la ocupación, que incluya nombre y dirección de la empresa
- Copia de recibo de sueldo
- Confirmación de salario anual proveniente del empleador
- Estado de cuenta bancario - Recibo de ingresos
- Última declaración de impuestos, en caso de trabajar por cuenta propia

### **VENTA DE PROPIEDAD**

Fecha de la venta

.....

Propietario(s) de la propiedad antes de la venta

.....

Valor de venta de la propiedad (USD)

.....

Dirección

.....

País

.....

Otra información que crea pertinente

.....

Favor de proporcionar uno de los siguientes como prueba de la información declarada arriba:

- Contrato de compraventa
- Título de propiedad del Registro de la Propiedad Inmueble

### **VENTA DE PARTICIPACIÓN EN INVERSIONES**

Fecha de venta de las acciones

.....

Propietario(s) de la inversión

.....

Valor de venta (USD)

.....

País

.....

Otra información que crea pertinente

.....

Favor de proporcionar uno de los siguientes como prueba de la información declarada arriba:

- Contrato
- Valor de venta de las acciones vendidas y forma de venta
- Estado de cuenta proveniente del agente
- Certificado de accionistas
- Confirmación/recibo de la transacción

**HERENCIA**

Tipo de herencia

.....

Relación

.....

Monto recibido (USD)

.....

Otra información que crea pertinente

.....

Favor de proporcionar uno de los siguientes como prueba de la información declarada arriba:

- Testamento con detalle del patrimonio heredado
- Estado de cuenta bancario que indique el origen de los fondos
- Homologación de testamento

**COMPANY SALE**

Nombre de la empresa

.....

Dirección

.....

Precio de venta

.....

Fecha de venta

.....

Favor de proporcionar información en detalle

.....

Favor de proporcionar uno de los siguientes como prueba de la información declarada arriba:

- Contrato de compraventa que confirme el nombre y dirección de la empresa, el precio total de la venta y el rubro al que pertenece
- Documentación que indique la fecha de venta y la recepción de los fondos

**GANANCIAS/DIVIDENDOS EMPRESARIALES**

Nombre de la empresa

.....

Dirección

.....

Otra información que crea pertinente

.....

Favor de proporcionar uno de los siguientes como prueba de la información declarada arriba:

- Últimos estados financieros auditados
- Última distribución de dividendos
- Aprobación de la Junta Directiva
- Últimas cuentas de gestión
- Último formulario de declaración de impuestos

**ACUERDO DE DIVORCIO**

Favor de proporcionar uno de los siguientes como prueba de la información declarada arriba:

- Carta del abogado

Favor de proporcionar toda información que crea pertinente \_\_\_\_\_

**SAVINGS**

Favor de proporcionar lo siguiente como prueba de la información declarada en la sección B:

- Estado de cuenta bancario

**GANANCIAS PROVENIENTES DE LOTERÍA/APUESTAS/ DONACIONES**

Fecha

Monto (USD)

\_\_\_\_\_

\_\_\_\_\_

País

Favor de proporcionar toda la información que crea pertinente

\_\_\_\_\_

\_\_\_\_\_

Favor de proporcionar uno de los siguientes como prueba de la información declarada arriba:

- Documento legal que lo acredite

- Confirmación por escrito del benefactor, en caso de tratarse de donación

**OTRO**

Favor de proporcionar toda la información que crea pertinente

\_\_\_\_\_

Favor de proporcionar pruebas de la información que se declare arriba.

## F PEP/CEP y Antecedentes

Si responde afirmativamente a cualquiera de las siguientes preguntas, favor de completar:

¿Su cliente es una PPE/CEP? \*

N o

Cargo que ocupa:

\_\_\_\_\_

¿Su cliente es familiar de una PEP/CEP?

N o

Nombre de Organización o Gobierno:

\_\_\_\_\_

¿Su cliente es socio de una PEP/CEP?

N o

Fechas en el cargo pertinente:

\_\_\_\_\_

¿Su cliente ha sido condenado por algún delito?

N o

Si esto fue desclasificado, debe indicar motivos:

\_\_\_\_\_

¿Su cliente ha sido despedido de empleos previos por mala conducta o comportamiento no ético?

N o

\_\_\_\_\_

(\*) PEP: Persona expuesta por razones de actividad política / CEP: Persona expuesta por razones de actividad comercial

## G Firmas

Como cliente, declaro que toda la información proporcionada arriba es completa y fidedigna

Nombre del cliente:

A r g e m i r o      C h a v a r r o

Fecha:

1 9    0 8    2 0 2 1

Firma del cliente:

A r g e m i r o    C h a v a r r o    G o n z a l e z

Como asesor, declaro que, a mi leal saber y entender, este cliente es un ciudadano respetuoso de las leyes y que cumple con la normativa nacional e internacional

Nombre del asesor:

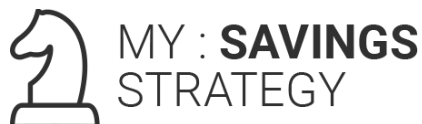
C a r l o s   M a r t i n    R i a ñ o    F o r e r o

Fecha:

1 9    0 8    2 0 2 1

Firma del asesor:

C a r l o s   M a r t i n    R i a ñ o    F o r e r o



Tipo: Estándar

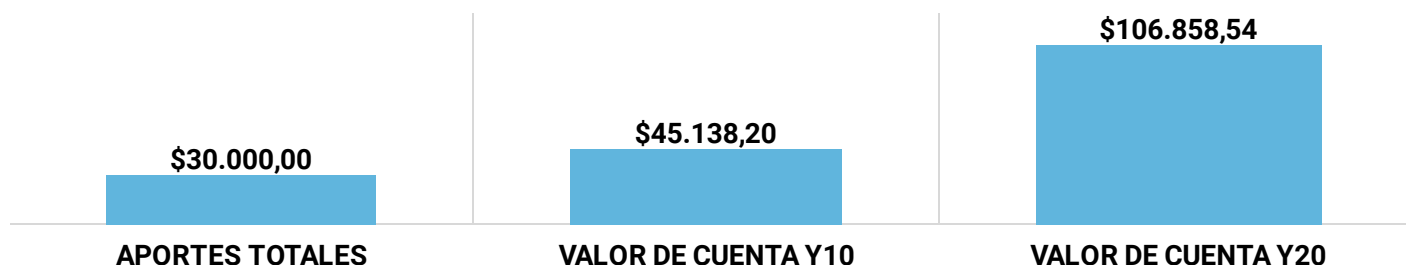
Ilustración en USD preparada el 18/8/2021 para **Argemiro Chavarro**  
Protected Investment Portfolio: Sí

<b>APORTE REGULAR</b> <b>\$3.000,00 Anual</b>	<b>Aporte Único</b> <b>\$0,00</b>	<b>Plazo De Ahorro</b> <b>10 Año</b>	<b>Rendimiento</b> <b>9% - 9%</b>
--	--------------------------------------	---	--------------------------------------

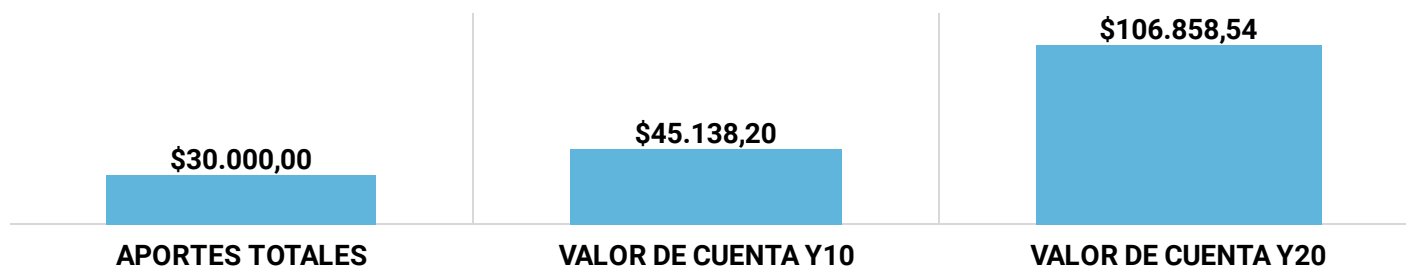
**¿QUÉ RETORNO DE MI INVERSIÓN PODRÍA LOGRAR?**

Estas cifras ilustran lo que podría obtener en su cuenta basado en la supuesta tasa de crecimiento seleccionada. Las cifras son ejemplos y no están garantizadas. No representan montos mínimos ni máximos, por lo que podría recuperar más o menos que los montos que se muestran. En última instancia, lo que obtendrá dependerá de la cantidad de aportes que realice, el rendimiento de los fondos elegidos durante la vida útil de la cuenta, nuestros cargos y cualquier retiro que realice. Todos los valores se muestran en la moneda de la cuenta propuesta.

**Resumen de ilustración al 9%**



**Resumen de ilustración al 9%**



Año	Aportes Acumulados	Valor de la cuenta al 9%	Valor de retiro al 9%	Valor de la cuenta al 9%	Valor de retiro al 9%
1	\$3.000,00	\$3.136,35	\$1.651,35	\$3.136,35	\$1.651,35
2	\$6.000,00	\$6.458,94	\$4.660,07	\$6.458,94	\$4.660,07
3	\$9.000,00	\$10.045,09	\$8.340,82	\$10.045,09	\$8.340,82
4	\$12.000,00	\$13.921,88	\$12.349,42	\$13.921,88	\$12.349,42
<b>5</b>	<b>\$15.000,00</b>	<b>\$18.118,81</b>	<b>\$16.715,38</b>	<b>\$18.118,81</b>	<b>\$16.715,38</b>
6	\$18.000,00	\$22.668,05	\$21.470,86	\$22.668,05	\$21.470,86
7	\$21.000,00	\$27.604,64	\$26.650,93	\$27.604,64	\$26.650,93
8	\$24.000,00	\$32.966,80	\$32.293,78	\$32.966,80	\$32.293,78
9	\$27.000,00	\$38.796,19	\$38.441,07	\$38.796,19	\$38.441,07
<b>10</b>	<b>\$30.000,00</b>	<b>\$45.138,20</b>	<b>\$45.138,20</b>	<b>\$45.138,20</b>	<b>\$45.138,20</b>
11	\$30.000,00	\$49.200,64	\$49.200,64	\$49.200,64	\$49.200,64
12	\$30.000,00	\$53.628,70	\$53.628,70	\$53.628,70	\$53.628,70
13	\$30.000,00	\$58.455,28	\$58.455,28	\$58.455,28	\$58.455,28
14	\$30.000,00	\$63.716,26	\$63.716,26	\$63.716,26	\$63.716,26
<b>15</b>	<b>\$30.000,00</b>	<b>\$69.450,72</b>	<b>\$69.450,72</b>	<b>\$69.450,72</b>	<b>\$69.450,72</b>
16	\$30.000,00	\$75.701,29	\$75.701,29	\$75.701,29	\$75.701,29
17	\$30.000,00	\$82.514,40	\$82.514,40	\$82.514,40	\$82.514,40
18	\$30.000,00	\$89.940,70	\$89.940,70	\$89.940,70	\$89.940,70
19	\$30.000,00	\$98.035,36	\$98.035,36	\$98.035,36	\$98.035,36
<b>20</b>	<b>\$30.000,00</b>	<b>\$106.858,54</b>	<b>\$106.858,54</b>	<b>\$106.858,54</b>	<b>\$106.858,54</b>

## CARACTERÍSTICAS PRINCIPALES

### Costo de apertura

Se deducirá un cargo único de \$25 al completar el establecimiento de cada Cuenta.

## CONTRIBUCIONES REGULARES

### Adjudicación de Unidades

En su cuenta de 10 años, el 49,50% de los aportes regulares del primer año y el 12,38% de los aportes regulares del segundo año se asignarán a Establishment Units (EU). El 100% de los aportes regulares se asignarán a las Unidades de Fondos (FU) a partir del año 3.

### Tasa de Administración

Cada año se deducirá una tarifa de administración anual del 1,35% sobre los aportes efectivos a través de la cancelación mensual de unidades. El 91,90% de esta comisión se deducirá de las Establishment Units y el 8,10% de las unidades de los fondos.

### Cambios en los Aportes Regulares

Opcionalmente, puede aumentar o disminuir su aporte regular según los Términos y Condiciones de su cuenta. Los cargos aplicados a los incrementos de aportes regulares se ajustarán a la duración restante del período de ahorro.

## APORTES ÚNICOS

### Adjudicación de Unidades

7,80% de los aportes únicos se asignará a Establishment Units.

### Tasa de Administración

Se deducirá una Tasa de Administración del 1,60% anual sobre los aportes únicos durante los primeros 5 años mediante la cancelación de Unidades sobre una base mensual. El 97,50% de esta comisión se deducirá de las Establishment Units y el 2,50% de las Unidades de los Fondos. A partir del año 6, esta tarifa cambiará al 1,00% y se deducirá de las Unidades de los Fondos.

### Cargos de retiro

La cancelación de esta cuenta antes del final del plazo incurrirá en un Cargo por Retiro Anticipado como se muestra en la ilustración. Este cargo se deriva de la Tasa de Administración que se habría cobrado durante el resto del plazo. Cualquier aporte único tendrá un Cargo por Retirada durante 5 años a partir de la fecha en que se acepte el aporte.

### Protected Investment Portfolio

Protected Investment Portfolio (PIP) es un punto de referencia de valoración del 80% por debajo del cual su capital o ahorro nunca puede caer. El valor de su inversión nunca puede caer por debajo del 80% de su valor inicial. Si el valor de su inversión aumenta, el nivel de protección se convierte automáticamente en el 80% de esta nueva valoración. La protección de capital del Protected Investment Portfolio se aplica únicamente a las Unidades de los Fondos que posee en su cuenta y no se aplica a las Establishment Units.

PIP tiene un cargo de protección adicional del 1,00% anual sobre el valor PIP y no está incluido en esta ilustración. El cargo de protección se calculará diariamente y se deducirá de su Protected Investment Portfolio mensualmente a través de la venta automática de Unidades de Fondos.

## NOTAS IMPORTANTES

- a. Solo debe invertir en esta cuenta si tiene la intención de continuar con los pagos durante todo el plazo de ahorro elegido.
- b. Los valores ilustrados son netos de todos los cargos del producto. Las tasas de crecimiento no se ven afectadas por estos cargos.
- c. Se aplicarán cargos de administración de fondos externos y pueden variar según su elección de fondo.
- d. Las cifras de esta ilustración son ejemplos y no están garantizadas. No representan montos mínimos ni máximos, por lo que podría recuperar más o menos que los montos que se muestran. En última instancia, lo que obtendrá dependerá de la cantidad de aportes que realice, el rendimiento de los fondos elegidos durante la vida útil de la cuenta, nuestros cargos y cualquier retiro que realice.
- e. Todas las cifras de esta ilustración, incluidos los valores y porcentajes, se redondean a valores centecimales.
- f. Las cifras de esta ilustración asumen que se ha logrado una tasa de crecimiento constante. En la práctica, el crecimiento de los fondos variará y no se puede predecir el rendimiento futuro.
- g. Variaciones en las tasas de cambio entre monedas pueden hacer que el valor de los fondos vinculados a su elección disminuya o aumente.
- h. La inflación futura reducirá lo que podría comprar con las cantidades que se muestran.
- i. Fiscalidad de los titulares de cuentas: Los posibles inversores deben familiarizarse y, cuando corresponda, recibir asesoramiento sobre las leyes y reglamentos (como los relacionado a los impuestos y controles cambiarios) aplicables a la suscripción, la tenencia y la realización de esta cuenta de ahorros propuesta, en los lugares donde tienen su ciudadanía, residencia y domicilio. La consecuencia fiscal para el titular de una cuenta de adquirir, canjear o enajenar la misma dependerá de las leyes pertinentes de cualquier jurisdicción a la que esté sujeto el titular.
- j. Como posible inversor, debe buscar su propio asesoramiento profesional independiente sobre todos los asuntos relacionados con el cumplimiento de todos los requisitos legales, fiscales y de control de cambios en su país de residencia.

## DECLARACIÓN DEL SOLICITANTE Y FIRMA

Confirmando que he leído y comprendido la información proporcionada en esta ilustración y estoy de acuerdo con los Términos y Condiciones de My:Saving Strategy

Firma	
Nombre completo	
Fecha	



## MY : SAVINGS STRATEGY

### TERMS & CONDITIONS (V20210607)

Dominion Capital Strategies Limited ("DCSL") is incorporated in Guernsey under Company Registration No. 63978 and is regulated & licensed by the Guernsey Financial Services Commission under the Protection of Investors (Bailiwick of Guernsey) Law, 1987 as amended | DCSL recommends that you read the latest documentation available and seek professional investment advice if considering making an investment. | Dominion Capital Strategies Limited. Mill Court. La Charroterie. St Peter Port, Guernsey - GY1 1EJ | +44 1481 734 343 | [www.dominion-cs.com](http://www.dominion-cs.com)



## My : Savings Strategy

### IMPORTANT NOTE: PLEASE READ CAREFULLY

My : Savings Strategy is a medium to long term savings Account offered to investors worldwide. Dominion Capital Strategies Limited reserves the right to decline any application at its sole discretion.

These Terms and Conditions are part of the contract between the Account Owner(s) and Dominion Capital Strategies Limited. The Account is governed by the following contractual documents and together are referred to as 'Account Documents':

- i) The Application Form – on its physical or digital format;
- ii) The Illustration – on its physical or digital format;
- iii) These Terms and Conditions;
- iv) Any other document that evidences a change in the contract between the Account Owner(s) and Dominion Capital Strategies Limited.

Signed on behalf of Dominion Capital Strategies Limited.

**Timothy A. Nelson**  
Managing Director

**Federico A. Cella**  
Operations Director

Dated the same date as the Application Form.



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## 1. Definitions and Interpretation

In this document, important words and expressions are highlighted with capital letters and are defined below. Words in italics relate to the name of another document within the My : Savings Strategy Account documentation.

### 1.1 Definitions

'Account' means this Account, including any amendments or Endorsements made by the Company from time to time.

'Account Currency' means the currency in which the Account is denominated as specified in the Account Documents.

'Account Freeze' means a period when all Regular Contribution payments to the Account are temporarily suspended upon Account Owner(s) request. Product charges do not apply to the account while in Freeze status.

'Account Owner' means the Owner(s) of the Account specified in the Account Documents or the survivor of them (if there is more than one Owner) or the successors in title of the Owner(s) (if there is no survivor) or, with the approval of the Company, the assignees of the Account.

'Account Value' means the combined value of the Establishment and Fund Units allocated to the Account based upon the latest Unit Prices available.

'Allocation Rate' means the proportion of the Contribution available for investment in the Account in accordance with Condition 5.

'Application Form' means the application form accepted by the Company which forms part of the contract.

'Appointer' means the Account Owner, acting in its capacity as the appointer of the Trustee to act as trustee of the Trust Fund, in accordance with these Conditions.

'Beneficiaries' means those persons identified by the Account Owner as beneficiaries of the Trust Fund, as set out in the section of the Application Form entitled "Beneficiaries".

'Business Day' means a day on which banks are open for business in Guernsey excluding any Saturday or Sunday.

'Company' or "the Company" means Dominion Capital Strategies Limited or "DCSL". A company incorporated in the Bailiwick of Guernsey and Regulated by the Guernsey Financial Services Commission. The Company is the issuer of My : Savings Strategy.

'Contribution(s)' or 'Regular Contributions' means the monetary amount that the Account Owner(s) state in the Application Form that they intend to invest and at what frequency of payment. The Contribution amount and frequency are confirmed in the Account Documents.

'Endorsement' means any document issued to the Account Owner by the Company to confirm a change has been made to the details contained in the Account Documents.

'Establishment Units' means the Units allocated to the Account which have been classified as Establishment Units in accordance with Condition 5. The price of Establishment Units is fixed at \$1 and is not subject to market performance, interest or any other variable.

'Fund Units' means the Units allocated to the Account which have been classified as Fund Units in accordance with Condition 5. The price of Fund Units is directly correlated to the Investment Fund(s) selected by the Account Owner.



'Fund(s)' or 'Investment Fund(s)' means the range of investment options made available, from time to time to Account Owners. The number and types of Funds available at any time shall be at the sole discretion of the Company.

'Head Office' means the principal place of business of the Company in the Guernsey, which is at Mill Court, La Charroterie, St Peter Port, Guernsey - GY1 1EJ, Guernsey, or such other place as may be specified by the Company.

'Inception Date' means the date on which the Account commenced as specified in the Account Documents.

'Investment Adviser' means an Investment Adviser appointed by the Account Owner to advise on the selection of Investment Funds. The Account Owner will make a request to the Company that the Company accepts the appointment of the Investment Adviser. The Company will accept such appointments solely at its discretion. If the appointment is confirmed by the Company all future Investment Fund selection decisions will be made solely by the Investment Adviser. The Company accepts neither liability nor responsibility for such selections. The role of Investment Adviser differs from that of Servicing Agent.

'Investment Guide' means the offering memorandum, prospectus or product guide which sets out the details of the Funds in which the Account may be invested as amended, supplemented and/or replaced by the Company from time to time.

'Minimum Fund Value' means the value below which, partial withdrawals will not be allowed and only a full redemption is permitted. This value is set at the highest of (i) 20% of the Redemption Value at the date on which the redemption is requested and (ii) \$500.

'Pricing Date' means a day on which the Investment Funds are valued, and the relevant prices published.

'Redemption Value' is the liquid value of the Account available for partial or total redemptions. Redemption Value is equal to Account Value less any redemption charges as set out in Condition 8.

'Regional Office' means a place of business of the Company other than its Head Office, as specified by the Company from time to time.

'Servicing Agent' means the company or the individual, appointed by the Account Owner, who informs the Company on behalf of the Account Owner of changes to the personal details of the Account Owner in relation to the Account and to whom the Company is authorized to send details of the Account. The Account Owner will inform the Company if they change the Servicing Agent. Unless otherwise requested by the Account Owner, the Financial Adviser will act as Servicing Agent.

'Single Contribution' means any Contribution, other than a Regular Contribution, made to the Company in respect of the Account.

'Term' means the duration measured in years that the Account Owner(s) state in the Application Form that they intend to make Regular Contributions. The Term is confirmed on the Account Documents.

'Terms and Conditions' means the Company's terms and conditions set out in the contractual documents, as may be amended by the Company under Condition 12 or 27.

'the Directors' means the individuals who together form the governing body of the Company, the Board of Directors.

'Trust Fund' has the meaning given to that term in Condition 16.

'Trustee' means the Company, in its capacity as trustee of the Trust Fund.

'Unit Price' means the price at which the Company will allocate and cancel Units in an Account. Each Investment Fund will provide a Unit Price to the Company each business day.



'Unit(s)' may be either Establishment Units or Fund Units as defined herein and as set out in Conditions 5 and 7.

'Valuation Date' means the date on which the Account is valued, being at least once in each calendar year.

## 1.2 Interpretation

In these Terms and Conditions, unless the context otherwise requires:

(a) Where the context allows or requires, any reference to the singular includes the plural and vice versa and reference to the masculine includes the feminine;

(b) Any reference to any statute or statutory provision shall include that statute or statutory provision as from time to time amended, modified, replaced or re-enacted (whether before or after the date of the Terms and Conditions) and any order, regulation, instrument, byelaw or other subordinate legislation made under it;

(c) References to conditions are references to the conditions of these Terms and Conditions and references within a sub-condition to "this condition" shall refer to the whole condition and not merely to the sub-condition in which it appears;

(d) Headings are included for ease of reference only and shall not affect the interpretation of these Terms and Conditions;

(e) The expression "person" shall mean any natural person, partnership, joint venture, corporation (wherever incorporated), trustee, firm, association, government, governmental (or supra-governmental) agency, authority or department, or any other entity, whether acting in an individual, fiduciary or other capacity; and

(f) If there is a conflict or ambiguity between the Terms and Conditions and the My : Savings Strategy product literature provided, the Terms and Conditions shall prevail.

## 2. Contributions

(a) The Account Owner(s) will make Regular Contributions to the Account for the monetary amount, term and frequency as shown in the Account Documents and any Endorsement. The Account will remain open with Contributions payable from the Inception Date until the earliest of (i) the end of the Contribution Term or (ii) the date of Redemption in accordance with Condition 10, (iii) the date the Account Owner requests to stop making Regular Contributions in accordance with Condition 8, or (iv) the date of death of the last surviving Account Owner in accordance with Condition 15.

(b) Payment must be by a method and in a currency acceptable to the Company, and may be subject to such minimum amounts as specified by the Company from time to time. In addition, Single Contributions may be made at any time subject to minimum amounts as specified by the Company from time to time.

(c) The Account Owner can request that the frequency of the Regular Contribution stated in the Account Documents be changed, with such change to take effect at the next anniversary of the Inception Date of the Account. Any change will be subject to such minimum amounts as specified by the Company from time to time.

(d) The Account Owner can submit a written request to the Company to increase or decrease the amount of the Regular Contribution stated in the Account Documents. Decreases take effect at the next Contribution due date, however, they cannot reduce the Contribution below the minimum level as set by the Company from time to time. Regular Contribution increases can be requested in writing by the Account Owner at any time, however increases can only be applied to the Account at the next Contribution due date. The Company will issue an Endorsement to the Account Owner to confirm when the Contribution decrease or increase has been applied to the Account.



### 3. Assignment of the Account

Any purported assignment of the Account shall be approved by the Company, which may withhold its approval, or make that approval subject to certain conditions, in its discretion. It is acknowledged by the Account Owner that, in the event of an assignment of the Account, the assignee must adhere to these Terms and Conditions and, specifically, to Condition 16.

### 4. Administration of the Account

(a) The Company may appoint third parties to perform any administrative, management or other ancillary services required to enable the Company to perform its obligations under the Account.

(b) The Company, in accordance with its regulatory obligations and the Law will determine the method and the appropriate security procedures it will use when accepting requests and instructions from the Account Owner or the Investment Adviser regarding the administration or management of the Account.

(c) Requests and instructions from the Account Owner or the Investment Adviser to the Company relating to the Account will only be valid if:

(i) Made or given in writing to the Company at its Head Office or Regional Office or at the address notified by the Company to the Account Owner of an agent appointed by it pursuant to Condition 4(a); or

(ii) Made through the company's secure web service portal with credentials entitled to the Account, pursuant to the portal's Terms of Use, Privacy Policy and End User License Agreement.

(d) Any notice given, or other communication made, by the Company in connection with the Account may be given, or made, in writing via the Account Owner's appointed Servicing Agent unless the Company is otherwise informed in which case it will be given, or made, electronically to the email address which was last notified to the Company, of the Account Owner or, if there is more than one, of the first-named Account Owner in the Account Documents. Where there are changes to the Account in accordance with, but not limited to, Conditions 12 and 27, the Company may contact the Account Owner directly.

(e) The Company will pay Redemptions from its Head Office in the Account Currency.

(f) The Company may increase the level of charges payable in connection with the Account by providing not less than thirty days prior notice of such increase in accordance with Condition 4(d) above.

### 5. Unit Type Allocation Rates

(a) Regular Contributions

The proportion of Regular Contributions which will be allocated to purchase Establishment Units and Fund Units will vary for each Account and is determined by both the Term and the number of years since inception of the Account. The relevant details for each Account can be found in both the Illustration and the Account Documents.

If Regular Contributions are increased, then the increase will be treated separately from the original Regular Contribution for the purposes of determining the allocation to Establishment and Fund Units.

(b) Single Contributions

The rate at which Single Contributions will be allocated to purchase each Unit type is as per the Illustration provided and confirmed in the revised Account Documents.

### 6. Charges



The charges specific to each Account are detailed in the Illustration and confirmed in the Account Documents and include:

(a) Setup Fee

A one-time fee charged at inception of the Account to cover administrative costs of accepting each Application.

(b) Administration Fee

The Administration Fee is payable annually and its calculation and deduction varies by Term and differs for Regular and Single Contributions. The fees appropriate to each Account are contained in the Illustration and confirmed in the Account Documents.

Regular Contribution increases will also be subject to the Administration Fee, which will be calculated independently from the initial Regular Contribution and will vary dependent on the number of years remaining until the end of the Term.

For Single Contributions, an annual Administration Fee will be payable immediately following payment of the contribution. Details of the fee specific to each Account can be found in the Illustration and are confirmed in the Account Documents.

(c) Miscellaneous charges

(i) The Company may, in certain jurisdictions, be required to collect a Contribution Tax. If applicable it will be deducted from the Contribution received before allocation to the Account and will be paid to the relevant fiscal authority. The amount of the charge will be specified in the Account Documents.

(ii) The Manager of each Investment Fund will deduct an Annual Management Charge. This charge will be calculated within the pricing of each Investment Fund, at a rate determined by the Manager. The charge may vary according to the Investment Fund chosen and further details can be obtained from the Account Owner's Investment Adviser or the Investment Guide, as updated from time to time.

(iii) A charge to recoup any sum the Company is required by law to pay concerning the Account to any government, statutory or regulatory agency or authority, may be deducted by the Company from the Account by the cancellation of Fund Units.

(iv) A charge for any additional or extraordinary work that the Company carries out in connection with the Account, which is not recovered elsewhere, including but not restricted to a charge for the switching of investments under Condition 13, and a charge for any valuations provided in addition to the annual valuation may be deducted by the Company from the Account by the cancellation of Fund Units.

(v) Where the Account is invested in more than one Investment Fund, the Company will, wherever possible, apportion charges equally across all Investment Funds by selling a proportionate number of Units in each of those Funds. However, where the Company determines that this is not possible or practicable for whatever reason, it may determine the number of Units to be sold in any particular Fund or Funds to cover the relevant charges.

(vi) The company may totally or partially transfer payment processing fees that are not recovered elsewhere when the payment method for Regular and/or Single Contributions are credit and/or debit cards. Such fees may be added to the amount being charged to the credit and/or debit card when collecting contributions.



## 7. Allocation of Units

(a) Units will be allocated to the selected Investment Fund(s) on the Business Day following confirmation that the relevant Contribution has been received by the Company, using prices available on that day or as soon as reasonably practicable thereafter.

(b) The number of Establishment Units to be allocated to the Account as a result of the payment of any Contribution will be calculated by:

(i) Multiplying the Contribution by the Establishment Unit allocation rate as per Condition 5 and detailed in the Illustration and confirmed in the Account Documents; and

(ii) Dividing the result of (i) by \$1.

(c) The number of Fund Units to be allocated to the Account as a result of the payment of any Contribution will be calculated by:

(i) Multiplying the Contribution by the Fund Unit Allocation rate as per Condition 5 and detailed in the Illustration and confirmed in the Account Documents; and

(ii) Dividing the result of (i) by the Unit Price of the Investment Fund(s) on the date of allocation as determined under Condition 13(a).

(d) The number of Units allocated to the Account will be rounded down to the nearest 1,000th part of a Unit.

## 8. Skipped Contributions

(a) The Account Owner may request by written application to the Company in accordance with Condition 4(b) to stop making Regular Contributions. In such case, no contributions will be collected, no further Units will be allocated to the Account and no further Contributions will be payable.

(b) All charges under Condition 6 will continue to apply.

(c) The Account Owner may resume payment of Regular Contributions at any time.

## 9. Account Freeze

(a) Once the Account has exceeded the Minimum Fund Value, the Account Owner may request an Account Freeze. An Account Freeze may last for up to 1 year.

(b) All charges under Condition 6 will not apply for the duration of the Account Freeze, with the exception of miscellaneous charges in Condition 6(c).

(c) The Term of the Account will be extended for the same period as the Account has been on Account Freeze status.

## 10. Redemption

(a) The Account Owner or any other person accepted by the Company as being entitled to the assets of the Account may, in the absence of any restriction (legal or otherwise) and on giving written instruction to the Company in accordance with Condition 4, request a Redemption of the whole Account. Alternatively, the Account Owner may partially Redeem the Account provided that the remaining value of the Account is in excess of the Minimum Fund Value.

(b) The Redemption value of the Account will be a sum equal to the value of Units allocated to the Account, at the next calculated Unit Price(s) less any Redemption charge. In the event of a partial Redemption the relevant Redemption penalty, if any, will be applied proportionately. Redemption Charges are equal to the



sum of Establishment Units that held in the Account at any given moment. These are set out in the Illustration and confirmed in the Account Documents.

(c) The Company will decline a request for a partial Redemption if the resulting Account Value is less than the Minimum Fund Value as specified in Condition 10(a). In such situation only a full Redemption of the Account would be possible.

(d) Withdrawals will be deducted proportionally from all Funds where monies are invested in more than one Fund, or where this is not possible from such Funds as the Company determines.

## 11. Requirements on Claim

(a) When an event occurs on which any sum is claimed under this Account, such evidence and information must be supplied by the person making the claim as shall be reasonably required by the Company including:

(i) Where the claim arises on death, a registrar's certificate of death and such other evidence and information as may be requested by the Company;

(ii) Proof of title to this Account (all documents relating to which must be provided for inspection at the Company's Head Office).

(b) When the Company pays any money due under the Account on death, maturity or on a total Redemption of this Account, this Account and all documents of title not dealing with any other property must be given up to the Company. The Company retains the right to request production of any document retained by the claimant.

(c) Any person entitled to any money due under this Account will be required to sign a receipt acknowledging payment and, where reasonably required by the Company, agreeing to indemnify the Company in the event of a subsequent claim being made by another person claiming title to this Account.

(d) The Company reserves the right to withhold payment of any maturity or any Redemption proceeds where a request for documentation remains outstanding or in the opinion of the Company it may incur any liability by paying proceeds from the Account either as a constructive trustee or otherwise.

## 12. Special Circumstances

If at any time during the term of this Account there should be any change in the law affecting the Account or the investment rights and powers of the Company are removed or restricted or if for any reason it becomes impossible or impracticable to give full effect to the Terms and Conditions contained in this Account, the Terms and Conditions of this Account and all benefits conferred by it may be varied by the Company in such reasonable manner as the Directors of the Company shall consider appropriate to enable as nearly as possible the Terms and Conditions of the Account to take effect.

The Account Owner will be notified in accordance with Condition 4 of the variation and the reason for it at the first practical opportunity.

## 13. Investment Funds

(a) For each Contribution made into the Account, the Company will buy units in the chosen Investment Fund(s) on the Business Day following the date that cleared funds have been received, or as soon as reasonably practicable thereafter, using the prices applicable on the relevant day.

(i) Units in the Fund(s) in which the Account is invested will be used to determine the current Fund value and Redemption value.



(ii) A minimum amount must be invested into each Fund chosen as specified by the Company from time to time. The Account can invest in a maximum number of funds as specified by the Company from time to time subject to a minimum investment in each Fund.

(iii) If any Fund is valued in a currency other than the Account Currency, its value will be converted into the Account Currency at a rate determined by the Company, based on those commercially available in the market.

#### (b) Buying, Selling and Switching Funds

(i) You can request the Company in writing to sell some or all of the Units in any Investment Fund in which the Account is invested and use the proceeds to purchase Units in another Investment Fund. This process is called Switching Investment Funds. Instructions to switch out of Investment Funds will normally be sent to the fund manager of the relevant Fund as soon as is reasonably practical following receipt of the request. The purchase of Units in the newly selected Investment Fund(s) will not occur until such time as the Company has received the proceeds of the sale of the Units in the existing Investment Fund(s).

(ii) Where a Fund switch takes place between Funds that are priced in different currencies, a foreign exchange transaction is required. This will be done at a rate determined by the Company based on those commercially available in the market.

(iii) The Company may delay selling or buying the required Units in Funds in exceptional circumstances, including but not limited to where in the Company's reasonable opinion the purchase or sale of Funds would lead to some Account Owners being treated unfairly.

(iv) The Company can delay buying or selling Units for up to one calendar month. When the Units are eventually bought or sold, the price will be calculated on the next available pricing date.

(v) Purchases and sales of Units in Funds may also be delayed as determined by the fund managers thereof, subject to the specific terms and conditions applicable to the relevant Fund. No liability or responsibility shall accrue to the Company in respect of any delay beyond the Company's control.

(vi) In the situation where an Investment Fund is suspended, for any reason, it may have no value within Your Account until such a time as it is no longer suspended.

#### (c) Acceptability

The Company will have the right, at all times to:

(i) Determine if an Investment Fund should continue to be offered for investment;

(ii) refuse an instruction from the Account Owner or the Account Owners appointed advisers to buy an Investment Fund which has become unacceptable under law or to the Company;

(iii) switch from one Fund into another appropriate alternative, as determined by the Company at its sole discretion, where the current Investment Fund has become unacceptable under law or to the Company;

(iv) cancel units equal to any charges or other costs, including but not limited to currency conversion costs, that the Company is charged as a result of switching Funds.

(v) refuse an instruction from the Account Owner or the Account Owners appointed advisers to Switch Funds if a previous Switch has taken place in the last 7 days.

#### (d) Risk



(i) All Investment Funds will have some form of risk attached to them. The Company will not be responsible for the performance of the Account Owners chosen Investment Fund(s) and will not pay any compensation to the Account Owner should they fall in value, or have no value at all.

(ii) Where the provider of an Investment Fund becomes insolvent or is unable to meet its liabilities for any reason, the Account will suffer the loss.

(e) Termination of a Fund

Where an Investment Fund is closed, withdrawn, or the Company determines that it should no longer be available for investment, the Company will contact the Account Owner and advise accordingly. The Account Owner will then have 60 days to inform the Company of an alternative Investment Fund into which the value held in the terminating Investment Fund should be switched. In the absence of any such advice or instruction within the 60 day period, the Company will, wherever possible, effect a switch into an alternative Investment Fund of the Company's choosing.

#### 14. Protected Investment Portfolio

Protected Investment Portfolio ("PIP") is an investment strategy that features capital protection on your account. This Condition 14 relates solely and specifically to those clients selecting PIP as the investment choice for their account. For all clients investing in any other fund this Condition 14 does not apply to your account.

(a) Protection Level

Your investment into the Protected Investment Portfolio comes with a "protection level". This is a valuation benchmark below which your capital or savings can never fall. The protection level is not itself a valuation, but rather a percentage of your investment's highest ever valuation – in this case, 80%. What this means is, from day one, the value of your investment can never dip below 80% of its initial value. And, if the value of your investment rises, then the protection level automatically becomes 80% of this new, higher, valuation level. Your personal protection level – the actual amount of your wealth we hold under protection for you at any one time – is called the "Protected Value".

In accounts with regular contributions or multiple single contributions, each contribution will benefit from a different USD value level of protection (although the Protected Value across the portfolio as a whole will always be set at 80% of its highest ever valuation) due to the fact that unit prices will rise or fall over time.

The capital protection that applies to the Protected Investment Portfolio applies to the Fund units you own in your Dominion Account only and does not apply to Establishment Units.

(b) Asset Allocation

The Protected Value is achieved by adjusting the allocation of the assets in your Protected Investment Portfolio between growth assets and secure assets and dynamically 'rebalancing' between these holdings.

The principal "growth asset" in the Protected Investment Portfolio strategy is the Dominion Opportunities Plus Fund, which is designed to deliver higher potential returns than global markets. However, because you will be accessing the Fund through the Protected Investment Portfolio strategy, the capital value of your investment will also be protected. How can we accomplish this exposure to a higher risk, higher reward, investment vehicle while also offering generous capital value protection? We invest your money in the Opportunities Plus Fund when markets are doing well and decrease your exposure to it when markets are not doing well. When we decrease your exposure to the Opportunities Plus Fund, we will switch some, or all, of your money to a safe haven: The Dominion Cash Fund. You don't have to take any action, or even know what markets are doing – we act automatically on your behalf to protect and grow your capital simultaneously.



The value of your Protected Investment Portfolio is calculated from a combination of the Opportunities Plus Fund and, where appropriate, the Cash Fund. The exact calculation will depend on your exposure to each of these Funds, which itself will depend on market conditions. Neither The Company, nor any of its associates, makes any guarantees on the performance of the Opportunities Plus or Cash Funds within the Protected Investment Portfolio.

(c) Switches

You can switch in or out of the Protected Investment Portfolio on any business day. Condition 11 determines when and at what frequency you can switch your money into or out of the Protected Investment Portfolio. The Protected Investment Portfolio offers the same level of flexibility as you would have if you had chosen to invest in any of our other investment Funds with the exception being that PIP cannot be combined with other funds in your Portfolio.

(d) Redemptions

Condition 8 determines when and at what frequency you can cash in (redeem) some or all of your money. The Protected Investment Portfolio offers the same level of flexibility as you would have if you had chosen to invest in any of our other investment Funds. The Protected Investment Portfolio deals in both new money (subscriptions) and switches or withdrawals (redemptions) every business day. So, you have access to your money at any time.

(e) Gap Payments

If markets fall rapidly and dramatically and we cannot transfer your money from the Opportunities Plus Fund to the Cash Fund quickly enough, the value of your Protected Investment Portfolio could fall below your Protected Value. In this instance, an investment-grade counterparty will top-up your Protected Investment Portfolio to the value of your Protected Value. This top-up is called a Gap Payment and is made as a cash deposit to your account, fully allocated to the Cash Fund.

In this situation, your Protected Investment Portfolio would be placed in temporary cash-lock for no longer than five business days while the shortfall is being made good by the counterparty. During a cash-lock, you will not be able to process any instructions on your Protected Investment Portfolio. However, you remain exposed to markets (albeit, fully in the Cash Fund). Upon a Gap Payment being credited to your account, you will have the following options:

- (i) Stay invested in the Cash Fund. This will be the default selection in the absence of other instructions.
- (ii) Resume PIP: Protected Value will be reestablished at 80% of Account Value.
- (iii) Switch to standard (non-PIP) funds as per condition 11.
- (iv) Redeem your account as per Condition 8.

(f) Counterparty Risk

Dominion Capital Strategies Limited will have a separate contract with one or more investment-grade banks ("counterparties") to deliver on the Protected Value in case a gap payment is required. This only occurs if the value of the Opportunities Plus Fund falls so dramatically that the dynamic daily rebalancing mechanism cannot move funds quickly enough into the Cash Fund, sending the value of your Protected Investment Portfolio below the Protected Value.

Financial institutions are issued ratings which indicate how capable they are of meeting any payments due. These ratings are assigned by two leading ratings agencies: Standard & Poor's and Moody's National. The highest rating either agency awards is AAA – a judgement that the institution in question is amongst the



least risky, or most likely to meet payments when due. At the other end of the scale, the lowest ratings that they give (denoting the riskiest institutions, which are least likely to make payments when due) are C (Moody's National) and D (S&P). Dominion Capital Strategies Limited will only source counterparties with single A or better credit ratings, meaning their ability to meet their obligations has been judged as high. This is above the level required for an institution to be considered investment grade: a rating of BBB (S&P) or Baa3 (Moody's National).

Despite the ratings, there is a risk that the Bank fails to meet its obligations to cover the gap payment totally or partially. This is a risk that the Account Owner is assuming when choosing this PIP strategy and if this happens, The Company will not be held responsible. The Account owner must fully understand that if the counterparty (Bank) fails to cover the gap payment when needed, this is a risk assumed solely by the client.

When electing to save / invest in the PIP strategy there is an additional risk to your savings / investment. Whilst The Company has selected the very best companies to work with to manage the PIP strategy, you need to be aware that there is a risk that your expectations under the PIP strategy will not be met if any of these counterparties fail in their obligations under the agreements we have with them, or if they were to become insolvent.

If the bank fails to cover totally or partially the gap payment, then it is possible that your Protected Value could be reduced or removed. Examples include the counterparty becoming insolvent or the obligations under the contract becoming illegal or impossible to perform. If this were to happen, we would approach you and your Financial Adviser to let you know what your options are as soon as possible.

#### (g) Special Circumstances

We will always do our best to ensure that your Protected Investment Portfolio remains open. However, we reserve the right to close the Protected Investment Portfolio in certain circumstances (when we believe this to be in your best interests, or if the product can no longer be operated). If this happens, we will make all reasonable efforts to treat customers fairly. Some of the circumstances where this could happen include:

- (i) If the Protected Value is removed or reduced.
- (ii) If there are material difficulties in operating the Protected Investment Portfolio.
- (iii) If The Company is unable to secure a counterparty who is prepared to provide the protection under the Protected Value feature.

If this happens, we will contact you and your Financial Adviser to let you know what your options are.

#### (h) Availability

Although unlikely, we could, and reserve the right to, close the Protected Investment Portfolio to new investments or additional contributions. We will avoid doing this unless circumstances demand it, such as a market disruption occurring or the Protected Investment Portfolio becoming cash-locked (100% of your money invested into the Cash Fund). If this happens, we will explain your options to you and your Financial Adviser. And, until you make a decision, any new investments will be held in our Cash Fund.

#### (i) Costs

Investments allocated to the Protected Investment Portfolio have an additional charge of 1% per annum. This will cover the cost of the protection, and the additional administration of the Protected Investment Portfolio. This additional charge will be calculated daily and be deducted from your Protected Investment Portfolio on a quarterly basis through the automatic sale of Fund Units.

#### (j) Technical Guide & Frequently Asked Questions



For more & updated information on our Protected Investment Portfolio please visit <https://help.dominion-cs.com/pip/tech-guide> or contact your financial adviser.

### 15. Joint Account Owners

(a) Where there are joint Account Owners, the Account shall be held by them as joint tenants and they will be jointly and severally liable for the obligations under the Account.

(b) Upon the death of a Account Owner where he/she is survived by another Account Owner, their interest in this Account will transfer automatically to the surviving Account Owner/s and, upon the death of such remaining Account Owner, their interest in this Account shall be divided among all Beneficiaries (if any).

### 16. Creation of the Trust

By executing the Application Form, and opening an Account with the Company, the Appointer(s) is creating a trust with the Company (in its trustee capacity, the "Trustee"), and appointing the Company to act, as his or her trustee on terms contained in the declaration of trust contained in this Condition 16.

The Trustee declares in favour of the Appointer(s) that:

(a) Subject to receipt of further directions from the Appointer(s), the Trustee will hold the Appointer(s) interests in the Fund Units, including all income and capital accretions in respect of the Appointer(s) interest in the Fund Units (collectively, the "Trust Fund") registered in the Trustee's name with effect from the Inception Date as nominee and trustee for each Appointer(s) and Beneficiary(s), as beneficial owners of the Trust Fund.

(b) The Trustee shall not be under any duty to monitor, enhance or preserve the value of the said Trust Fund, and that the Trustee's duties are strictly confined to:

(i) holding the Trust Fund until receipt of further directions from the Appointer(s) (and, in the case of more than one Appointer, from any one of them) in respect of the terms upon which the Trust Fund is to be held, transferred or disposed of;

(ii) accounting to the Appointer(s) for all dividends and profits which may be paid to the Trustee from time to time in respect of the Trust Fund, and for all monies or profits which may be payable to the Trustee in respect thereof; and

(iii) exercising the Trustee's voting power as the nominal holder of the Trust Fund only in such manner and for such purposes as the Appointer (or any of them) may from time to time direct or determine, and without liability on the Trustee's part should the Appointer (or any of them) fail or neglect to direct or determine.

(c) The Trustee hereby agrees to deposit with the Appointer(s), at his or her written request (and, in the case of more than one Appointer, from all of them), a transfer form duly executed by the Trustee in blank in respect of the assets constituting the Trust Fund and the Trustee hereby authorizes and empowers the Appointer at any time to complete such transfer by inserting therein the name or names of any transferee or transferees and the date of the transfer, and to complete the transfer in any other necessary particular.

(d) The Trustee undertakes and agrees only to transfer, deal with or dispose of the Trust Fund in accordance with further directions as aforesaid or until this trust is revoked or varied by the Appointer(s) and the Trustee declares that this trust is irrevocable by it.

(e) The Appointer(s) unconditionally and irrevocably, jointly and severally indemnify the Trustee from all actions, suits, claims, demands, losses, obligations, liabilities, damages, costs and expenses arising directly or indirectly out of or in connection with holding the Trust Fund.



(f) The declaration of trust shall be created upon the execution by each Appointer of the Application Form, and its acceptance by the Trustee.

### **17. Investment Adviser**

The Account Owner may give written notification to the Company in accordance with Condition 4(a) of the appointment of an Investment Adviser. At the Account Owner's written request the Company may accept or act upon requests or instructions made by the Investment Adviser relating to the Account. The Investment Adviser is the agent of the Account Owner and not of the Company. The Company will not be liable for any loss sustained by the Account Owner arising from the appointment of the Investment Adviser nor from any request or instruction from the Investment Adviser which is accepted or acted upon by the Company.

### **18. Severability**

If any clause or Condition of this Account or any sub-clause or sub-Condition is or becomes invalid or illegal by order of the Courts or other relevant authority, then any such invalidity, unenforceability or illegality shall not prejudice or affect the remaining Terms and Conditions of this Account, which shall remain in full force and effect.

### **19. Waiver**

The waiver by the Company of any of its rights under the Account on one occasion shall not be deemed to imply a waiver for any other purpose and the Company shall be entitled to exercise or rely on its rights under the Account on any further occasion.

### **20. Mode of Payment**

(a) Where the Company is required to make any payment under the terms of this Account it shall do so by any means as it shall reasonably determine, using the Account Currency or another currency of its choice.

(b) Where the Account Owner is required to make any payment under the terms of this Account they shall do so in accordance with such procedures as the Company may specify from time to time.

### **21. Term**

If the Company is unable to collect any charges or expenses due under the Account or the Account Owner breaches any other obligation in relation to the Account (other than the payment of Regular Contributions, where Condition 2 applies) and fails to remedy that breach within 30 days following receipt or deemed receipt of a notice from the Company requiring him/her/it to do so, then the Company may deem the Account Owner to have submitted a Redemption instruction in relation to the entire Account in accordance with Condition 10.

### **22. Taxation**

The Company will not be responsible for any tax liability that may arise in connection with the Account as a result of the Account Owner's current (or any future) country of residence, citizenship or as a result of any transactions that the Account Owner may instruct the Company to carry out.

Prospective account holders should be aware that tax law and interpretation, as well as the level and bases of taxation may change at any time, and that changes may alter the benefits of investment in, holding or disposing of, Fund Units. Prospective account holders should consult their own professional advisers on the implications of making an investment in, Fund Units under the laws of the countries in which they are liable to taxation.

### **23. Tax Compliance Declaration**

Dominion Capital Strategies Limited ("DCSL") is incorporated in Guernsey under Company Registration No. 63978 and is regulated & licensed by the Guernsey Financial Services Commission under the Protection of Investors (Bailiwick of Guernsey) Law, 1987 as amended | DCSL recommends that you read the latest documentation available and seek professional investment advice if considering making an investment. | Dominion Capital Strategies Limited. Mill Court. La Charroterie. St Peter Port, Guernsey - GY1 1EJ | +44 1481 734 343 | [www.dominion-cs.com](http://www.dominion-cs.com)



The Account Owner declares that the monies contributed to Dominion Capital Strategies Limited are fully tax compliant and had paid (and will continue paying) all the relevant taxes applicable in his/her home jurisdiction. The Account Owner is aware that Dominion Capital Strategies Limited is bound by Guernsey CRS rules to share financial information for tax purposes with third parties, in accordance with the international treaties signed by Guernsey with other jurisdictions.

#### **24. Applicable Law**

This Account shall be governed by and construed in accordance with laws of the Island of Guernsey and the court of the Island of Guernsey will have exclusive jurisdiction in relation to all disputes concerning the Account.

#### **25. Changes in Circumstance**

- (a) The Account Owner must tell the Company in writing about any changes to the Account Owners address, country of residence, citizenship or domicile as soon as possible after any change.
- (b) Any change in circumstances whether as a result of obligations arising under law, regulatory requirement or guidance, or in accordance with Company's internal Accounts from time to time, may result in the Company requesting additional information or documentation from a Account Owner or Account Owner.
- (c) Depending on the Account Owner's country of residence, it may be necessary for us to restrict some of the services we provide, details of which are available upon request.

#### **26. Data Protection**

- (a) Any data you provide to the Company may be shared, if allowed by law, with other companies both inside and outside of the Company's Group and to persons who act on your behalf. Data and information about you can be transferred outside of Guernsey and the Company may be required to provide it to its regulator, its government or anyone else required by law.
- (b) The Company will use your data and information to allow for the administration of your Account, prevent crime, prosecute criminals and for market research and statistics. The Company will, at all times, make sure that your data and information is only used in ways that are allowed by law.
- (c) The Guernsey Data Protection Law allows you, after paying a small fee, to receive a copy of the data and information the Company holds about you.

For further information please write to: Data Protection Officer, Dominion Capital Strategies Limited, Dixcart House, Sir William Place, St Peter Port, GY1 3PU, Guernsey.

#### **27. Force Majeure**

The Company will not be legally responsible should it be prevented from fulfilling its obligations due to any event beyond its control, including, but not limited to:

- (a) Act of God;
- (b) Pandemic;
- (c) War;
- (d) National emergency;
- (e) Fire;
- (f) Flood;



(g) Strike; and

(h) Industrial action.

## 28. Changes to the Terms and Conditions

(a) If the Company needs to alter the Account Owners Terms and Conditions for any reason other than those already explained in previous conditions, they will provide the Account Owner with at least three months' written notice before making the change.

(b) If the Account Owner is unhappy with any change the Company makes to the Terms and Conditions they will be able to request Redemption of the Account, by notifying the Company in writing that they wish to do so. The Account Owner will receive the Redemption value of the Account according to the existing Terms and Conditions of the Account.

## 29. Head Office

Dominion Capital Strategies Limited (regulated by the Guernsey Financial Services Commission, no. 2296283).

Mill Court. La Charroterie. St Peter Port, Guernsey - GY1 1EJ

T: +44 (0) 1481 734 343

E: [info@dominion-cs.com](mailto:info@dominion-cs.com)

W: [www.dominion-cs.com](http://www.dominion-cs.com)

## CONSENT TO ELECTRONIC RECEIPT OF ELECTRONIC CLIENT DISCLOSURES

From time to time, Dominion Capital Strategies Limited (“we”, “us” or “Company”) may be required by law to provide to you certain written notices or disclosures. Described below are the terms and conditions for providing to you such notices and disclosures electronically through the Company web service platform (the “Platform”). Please read the information below carefully and thoroughly, and if you can access this information electronically to your satisfaction and agree to these terms and conditions, please confirm your agreement by clicking the ‘I agree to the Digital Signature Terms’ checkbox when applying for an account at Dominion Capital Strategies Limited.

### Getting paper copies

At any time, you may request from us a paper copy of any record provided or made available electronically to you by us. You will have the ability to download and print documents we send to you through the Platform. You may request delivery of such paper copies from us by following the procedure described below.

### Withdrawing your consent

If you decide to receive notices and disclosures from us electronically, you may at any time change your mind and tell us that thereafter you want to receive required notices and disclosures only in paper format. How you must inform us of your decision to receive future notices and disclosure in paper format and withdraw your consent to receive notices and disclosures electronically is described below.

### Consequences of changing your mind

If you elect to receive required notices and disclosures only in paper format, it will slow the speed at which we can complete certain steps in transactions with you and delivering services to you because we will need first to send the required notices or disclosures to you in paper format, and then wait until we receive back from you your acknowledgment of your receipt of such paper notices or disclosures. To indicate to us that you are changing your mind, you must withdraw your consent emailing [accounts@dominion-cs.com](mailto:accounts@dominion-cs.com) with the subject ‘Withdraw Consent’ from your validated email address at the Platform. This will indicate to us that you have withdrawn your consent to receive required notices and disclosures electronically from us and you will no longer be able to use the Platform to receive required notices and consents electronically from us or to sign electronically documents from us.

### All notices and disclosures will be sent to you electronically

Unless you tell us otherwise in accordance with the procedures described herein, we will provide electronically to you through the Platform all required notices, disclosures, authorizations, acknowledgements, and other documents that are required to be

provided or made available to you during the course of our relationship with you. To reduce the chance of you inadvertently not receiving any notice or disclosure, we prefer to provide all of the required notices and disclosures to you by the same method and to the same address that you have given us. Thus, you can receive all the disclosures and notices electronically or in paper format through the paper mail delivery system. If you do not agree with this process, please let us know as described below. Please also see the paragraph immediately above that describes the consequences of your electing not to receive delivery of the notices and disclosures electronically from us.

**How to contact Dominion Capital Strategies Limited:**

You may contact us to let us know of your changes as to how we may contact you electronically, to request paper copies of certain information from us, and to withdraw your prior consent to receive notices and disclosures electronically as follows:

To contact us by email send messages to: [accounts@dominion-cs.com](mailto:accounts@dominion-cs.com)

**To advise Dominion Capital Strategies Limited of your new e-mail address**

To let us know of a change in your e-mail address where we should send notices and disclosures electronically to you, you must follow the process for changing e-mail in the Platform.

**To request paper copies from Dominion Capital Strategies Limited**

To request delivery from us of paper copies of the notices and disclosures previously provided by us to you electronically, you must send us an e-mail to [accounts@dominion-cs.com](mailto:accounts@dominion-cs.com) and in the body of such request you must state your e-mail address, full name, postal address, and telephone number. We will bill you for any fees at that time, if any.

**To withdraw your consent with Dominion Capital Strategies Limited**

To inform us that you no longer want to receive future notices and disclosures in electronic format you may:

- i. decline to sign a document from within your Platform session, and on the subsequent page, select the check-box indicating you wish to withdraw your consent, or you may;
- ii. send us an e-mail to [accounts@dominion-cs.com](mailto:accounts@dominion-cs.com) and in the body of such request you must state your e-mail, full name, postal address, and telephone number. We do not need any other information from you to withdraw consent. The consequences of your withdrawing consent for online documents will be that transactions may take a longer time to process.

**Required hardware and software**

Operating	Windows® 2000, Windows® XP, Windows Vista®; Mac OS® X
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Systems:	
Browsers:	Final release versions of Internet Explorer® 6.0 or above (Windows only); Mozilla Firefox 2.0 or above (Windows and Mac); Safari™ 3.0 or above (Mac only)
PDF Reader:	Acrobat® or similar software may be required to view and print PDF files
Screen Resolution:	800 x 600 minimum
Enabled Security Settings:	Allow per session cookies

\*\* These minimum requirements are subject to change. If these requirements change, you will be asked to re-accept the disclosure. Pre-release (e.g. beta) versions of operating systems and browsers are not supported.

#### **Acknowledging your access and consent to receive materials electronically**

To confirm to us that you can access this information electronically, which will be similar to other electronic notices and disclosures that we will provide to you, please verify that you were able to read this electronic disclosure and that you also were able to print on paper or electronically save this page for your future reference and access or that you were able to e-mail this disclosure and consent to an address where you will be able to print on paper or save it for your future reference and access. Further, if you consent to receiving notices and disclosures exclusively in electronic format on the terms and conditions described above, please let us know by clicking 'I agree to the Digital Signature Terms' checkbox when applying for an account at Dominion Capital Strategies Limited.

By checking the checkbox, I confirm that:

- I can access and read this Electronic CONSENT TO ELECTRONIC RECEIPT OF ELECTRONIC CLIENT DISCLOSURES document; and
- I can print on paper the disclosure or save or send the disclosure to a place where I can print it, for future reference and access; and
- Until or unless I notify Dominion Capital Strategies Limited as described above, I consent to receive from exclusively through electronic means all notices, disclosures, authorizations, acknowledgements, and other documents that are required to be provided or made available to me by Dominion Capital Strategies Limited during the course of my relationship with you.

**DOMINION**  
CAPITAL STRATEGIES



Seguimiento de Auditoría



## A Seguimiento de Auditoría de la Solicitud



La solicitud de apertura de cuenta fue visualizada

Argemiro Chavarro

19/8/2021 0:14

IP: 181.235.225.254



Los Términos y Condiciones de la cuenta fueron aprobados

Argemiro Chavarro

IP: 181.235.225.254



Se aceptó el documento Acuerdo del Cliente para Comunicaciones Electrónicas

Argemiro Chavarro

IP: 181.235.225.254



La Ilustración de la Cuenta fue aceptada

Argemiro Chavarro

IP: 181.235.225.254



Se aprobó y firmó el trámite de Nuevo Negocio

Argemiro Chavarro

19/8/2021 0:17

IP: 181.235.225.254

Argemiro Chavarro Gonzalez