



**THE BANK OF NEVIS LTD  
BROKERAGE DEPARTMENT**

Tel: (869) 469-5564/5796 Fax: 469-1039/5798  
e-mail: [bon@caribsurf.com](mailto:bon@caribsurf.com) swift: BNEVKNNE

Dear Customer,

Please find enclosed the brokerage account opening forms for use with individual accounts.

1. New Customer A/c form (pg 1, 2, 3 & 4). Please complete B1, C1, E1, F, and G, and I.
2. Brokerage Settlement Deduction Order & Telephone Authorization.
3. Customer Questionnaire
4. Payment Option Form. The registry A/c# and ID# will not be known until we get confirmation from the ECSE after a successful trade. However, if you already own shares in an ECSE listed company, please provide us with a copy of any statement you would have received from the ECSE. You will find your Registry A/c# and ID# on such statement.
5. Large transaction form (to be completed for investments of EC\$27,000 and more or US\$10,000 and more)

Please note that where these forms are not completed in the presence of one of our Registered Representatives, then your signatures will need to be notarized and the originals forwarded to our office.

In addition to completing the required forms please also submit notarized copies of two IDs, one of which should be your passport.

You are also required to submit notarized or original documentary evidence of your permanent address. These may include one of the following:

- Property tax bill
- Utility bill
- Bank Statement
- Credit Card Statement

- Rental Agreement

Finally, please include two professional references in your package. These may include:

- Banker's reference
- Accountant's character and or business reference
- Solicitor's character and or business reference

Our commission structure is as follows on the trade value (EC\$). Please note that these rates are subject to change.

Equities

0 - \$5,000	2.5%
\$5,001 - \$10,000	2.0%
\$10,001 - \$50,000	1.5%
\$50,001 - \$250,000	1.0%
\$250,001-\$500,000	0.75%
\$500,001 - \$1,000,000	0.70%
Over \$1,000,000	0.65%

Treasury Bills/ Bonds

	<u>On The ECSE</u>	<u>Off Market</u>
0 - \$10,000	1.0%	0.50%
\$10,001 - \$100,000	0.75%	0.35%
\$100,001 - \$250,000	0.60%	0.25%
\$250,001 - \$500,000	0.55%	0.15%
\$500,001 - \$1,000,000	0.50%	0.10%
Over \$1,000,000	0.45%	0.0875%

A fee of \$12.00 is payable to the ECSE for a single trade but if the order is filled in parts, \$4 per additional trade will be charged.

Please contact our office at 1-869-469-5564 if you have any difficulty completing the forms.

Regards

Vernesia Walters (Mrs.)  
Registered-Representative