

## CSD Account Opening Form - Individual / Joint Account

Date: \_\_\_\_\_

MSE Member firm: \_\_\_\_\_

This form is to be completed by the person with whom the CSD account with the Malta Stock Exchange plc is to be held.  
*(In the event that the account holder is acting as Agent, the Agent will need to provide all the details of the Principal. Proof of authorisation to act on behalf of the Principal is required to be provided in writing).*

### Personal Details

	Primary Holder	Joint Holder
Full Name & Surname:	_____	_____
Address: Door No. & Street	_____	_____
Address: City & Postcode	_____	_____
Country of Residence:	_____	_____
Date of Birth:	_____	_____
Country of Birth:	_____	_____
National ID / Passport No:	_____	_____
Nationality:	_____	_____
Multiple Nationalities - please provide other nationality (including submission of certified copy of passport and/or identification card) if applicable		
Other Nationality:	_____	_____
Mobile Number*:	_____	_____
E-mail Address*:	_____	_____

*(\*) Details of Primary holder will be used to open an e-Portfolio account for this application.*

### Politically Exposed Persons (PEP)\*\*

	Primary Holder	Joint Holder
Are you or your Principal a Politically Exposed Person entrusted with a prominent public function OR		
Are you or your Principal an immediate family member or close associates a Politically Exposed Person?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

*(\*\*) Please refer to 'Guidance on Politically Exposed Persons' issued by the MFSA (available on the MFSA official website) and the Glossary of Terms.*

**Source of Wealth**

Primary Holder

Joint Holder

Occupation: \_\_\_\_\_

Yearly Income\*: \_\_\_\_\_

(\*) Please consider all income such as rental income, dividends, interests etc

Please tick the appropriate option/s indicating the source of wealth and economic activities:

 Salary       Profession/Business/Self Employed       Investments       Inheritance

 Other \_\_\_\_\_

Liquid Net Worth\*\*: \_\_\_\_\_ (\*\*) Include only assets easily converted to cash such as stocks, shares, bank deposits and cash. Exclude non-liquid assets such as real estate.

**Anticipated Trading Activity and Source of Funds**

How many trades do you expect in your CSD account per year: \_\_\_\_\_

Do you anticipate the source of funds to be different from the source of wealth declared above?

 No

 Yes If yes, please provide details of your source of funds: \_\_\_\_\_

**Direct Credit Details**
**All** Interest/Dividends and Redemptions due on the holdings held on this account will, until further notice, be paid into the following Bank Account/s for denominated currencies:

 EURO Bank: \_\_\_\_\_ BIC: \_\_\_\_\_ IBAN: \_\_\_\_\_  
 Account Name: \_\_\_\_\_

 GBP Bank: \_\_\_\_\_ BIC: \_\_\_\_\_ IBAN: \_\_\_\_\_  
 Account Name: \_\_\_\_\_

 USD Bank: \_\_\_\_\_ BIC: \_\_\_\_\_ IBAN: \_\_\_\_\_  
 Account Name: \_\_\_\_\_

**NB:** Should the account holder require changes to the above quoted direct credit instructions this can be done through e-Portfolio or by the completion of the 'Direct Credit Instructions' form.

Final Withholding Tax on interest due on securities held on this account will be deducted. Changes required to the tax option can be done through e-Portfolio or by the completion of the 'Gross Tax' form or 'Net Tax' form.

## Terms & Conditions

For the purposes of the General Data Protection Regulation (Regulation (EU) 2016/679) and the Data Protection Act (Chapter 586 of the Laws of Malta), I/we acknowledge that in order to open and maintain a CSD account with the Malta Stock Exchange and/or in order for the Member to comply with the Bye-Laws of the Malta Stock Exchange, the Member may:

- (i) make available to the Malta Stock Exchange at any time upon request, all such information, documentation and/or data as may be necessary for ensuring compliance by the Malta Stock Exchange with its the legal obligations, including but not limited to the Financial Market Act (Chapter 345 of the Laws of Malta), the Prevention of Money Laundering Act (Chapter 373 of the Laws of Malta) and the Prevention of Money Laundering and Funding of Terrorism Regulations; and
- (ii) have access to and carry out all such acts as may ne necessary in order to be able to trade on my/our Malta Stock Exchange account/s.

This information may include, but is not limited to:

- A copy of your identification documents (such as your identity card or passport) **which shall be sent to the Malta Stock Exchange along with this form**
- Information and/or documentation relating to your source of funds or source of wealth.

Your information shall be processed by the Malta Stock Exchange in order to comply with its legal obligations. For the purposes of such processing, the Malta Stock Exchange shall act as controller of your personal data and shall be responsible for ensuring compliance with applicable data protection laws. All personal data shall be processed by the Malta Stock Exchange in accordance with the Privacy Policy available on the following link: <https://borzamalta.com.mt/privacy-policy> or you may request a copy from [dpo@borzamalta.com.mt](mailto:dpo@borzamalta.com.mt).

I/we hereby declare that the above information and statements are correct and complete. Furthermore, I/we undertake to advise the Malta Stock Exchange and resubmit any updates to the CSD Account Details should any circumstance change in relation to the contents of this form.

Primary Holder  
Signature: \_\_\_\_\_

Joint Holder  
Signature: \_\_\_\_\_

Kindly note that the completed form will only be considered as valid if all fields are completed and if the form is duly signed by all holders.

The original completed form, together with a copy or a certified true copy (if considered necessary by the Malta Stock Exchange) of the identity card of the account holders, should be submitted to: Malta Stock Exchange plc,  
 Garrison Chapel,  
 Castille Place,  
 Valletta, VLT 1063,  
 Malta.

Malta Stock Exchange plc reserves the right to request any additional information, documentation and/or data from the account holder at any time. Upon receipt of such request, the account holder shall provide such information, documentation and/or data within the time-frames stipulated by the Malta Stock Exchange plc. Failure to provide such information, documentation and/or data may lead to the account being blocked and no trades will be allowed in respect of your account.

*For MSE use only:*

Date Processed: \_\_\_\_\_ New CSD A/c No: \_\_\_\_\_ Processed By: \_\_\_\_\_

Our Ref.: \_\_\_\_\_ Risk Indicator:  H  M  L Verified By: \_\_\_\_\_

## Glossary of Terms

Term	Definition
Agent	means the person acting for and on behalf of another person when opening an account with the Malta Stock Exchange plc. For the avoidance of doubt, this refers to a situation where the account is opened in the name of the Agent and the Agent is acting on behalf of the Principal when opening the account.
Close Associates	means: <ul style="list-style-type: none"> <li>a. a natural person known to have joint beneficial ownership of a body corporate or any other form of legal arrangement, or any other close business relations, with that politically exposed person; or</li> <li>b. a natural person who has sole beneficial ownership of a body corporate or any other form of legal arrangement that is known to have been established for the benefit of that politically exposed person.</li> </ul>
Immediate Family Members	includes, but is not limited to: <ul style="list-style-type: none"> <li>a. the spouse, or a person considered to be equivalent to a spouse;</li> <li>b. the children and their spouses, or persons considered to be equivalent to a spouse; and</li> <li>c. the parents</li> </ul>
Member	Any member of the Malta Stock Exchange authorised to trade on the account for and on behalf of an account holder via the trading infrastructure operated by the Malta Stock Exchange.
Politically Exposed Person	means natural persons who are or have been entrusted with prominent public functions, other than middle ranking or more junior officials. For the purposes of this definition the term 'natural persons who are or have been entrusted with prominent public functions' includes the following: <ul style="list-style-type: none"> <li>a. Heads of State, Heads of Government, Ministers, Deputy or Assistant Ministers, and Parliamentary Secretaries;</li> <li>b. Members of Parliament or similar legislative bodies;</li> <li>c. Members of the governing bodies of political parties;</li> <li>d. Members of superior, supreme, and constitutional courts or of other high-level judicial bodies whose decisions are not subject to further appeal, except in exceptional circumstances;</li> <li>e. Members of courts of auditors or of the boards of central banks;</li> <li>f. Ambassadors, charges d'affaires and high ranking officers in the armed forces;</li> <li>g. Members of the administrative, management or supervisory boards of State-owned enterprises;</li> <li>h. Anyone exercising a function equivalent to those set out in paragraphs (a) to (f) within an institution of the European Union or any other international body.</li> </ul>
Principal	means the person on behalf of whom the Agent is opening the account with the Malta Stock Exchange plc.
Source of Funds	means the activity, event, business, occupation or employment from which the funds used in a particular transaction are generated.
Source of Wealth	means the economic activity which generates the total net worth of the customer.