



# Investment Trading Application Form

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Middletown, Delaware 19709 – USA  
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(Please complete the form and attach the required documents)

Trading Account No. \_\_\_\_\_ Date \_\_\_\_\_

## Juristic Persons

### Customer Information

Juristic Name in English : \_\_\_\_\_

Type of Juristic Person :  Company Limited  Public Company  Ordinary Partnerships  Limited Partnerships  
 Juristic Person Under Specific Law \_\_\_\_\_  
 Fund (Please specify) \_\_\_\_\_  
Asset Management Company's Name \_\_\_\_\_  
 Others (Please specify) \_\_\_\_\_

Business Type \_\_\_\_\_ Country of Resident \_\_\_\_\_

Foundation Year \_\_\_\_\_ Registration No. \_\_\_\_\_ Issued Due \_\_\_\_/\_\_\_\_/\_\_\_\_

Tax ID. No. \_\_\_\_\_

Registered Address : \_\_\_\_\_

\_\_\_\_\_ Post Code. \_\_\_\_\_ Country \_\_\_\_\_

Telephone No. \_\_\_\_\_ Fax. No. \_\_\_\_\_

Present Business Address : \_\_\_\_\_

\_\_\_\_\_ Post Code. \_\_\_\_\_

Country \_\_\_\_\_ Telephone No. \_\_\_\_\_ Fax. No. \_\_\_\_\_

Email Address \_\_\_\_\_

### Authorized Person(s) :-

- 1. \_\_\_\_\_ 5. \_\_\_\_\_
- 2. \_\_\_\_\_ 6. \_\_\_\_\_
- 3. \_\_\_\_\_ 7. \_\_\_\_\_
- 4. \_\_\_\_\_ 8. \_\_\_\_\_

### Authorized Person(s) for Account Opening :-

- 1. \_\_\_\_\_ 3. \_\_\_\_\_
- 2. \_\_\_\_\_ 4. \_\_\_\_\_

### List of shareholders who are holding shares higher than 30% of registered capital. (Include with persons who deemed to be in the same group)

- 1. \_\_\_\_\_ % of Holding \_\_\_\_\_ Nationality \_\_\_\_\_
- 2. \_\_\_\_\_ % of Holding \_\_\_\_\_ Nationality \_\_\_\_\_
- 3. \_\_\_\_\_ % of Holding \_\_\_\_\_ Nationality \_\_\_\_\_

**List of shareholders who are holding shares higher than 50% of juristic Person as above.**

\_\_\_\_\_ % of Holding \_\_\_\_\_ Nationality \_\_\_\_\_  
 \_\_\_\_\_ % of Holding \_\_\_\_\_ Nationality \_\_\_\_\_  
 \_\_\_\_\_ % of Holding \_\_\_\_\_ Nationality \_\_\_\_\_

**Beneficial Owner(s)** means a natural person who ultimately owns or controls a customer or a person on whose behalf a transaction is being conducted, including those persons who exercise ultimate effective control over a juristic person or legal arrangement.

Name – Familyname \_\_\_\_\_ Relationship \_\_\_\_\_ Nationality \_\_\_\_\_  
 ( ) Passport Number \_\_\_\_\_

**Has the entity ever been engaging in the regulations of money laundering law during in the past 3 years?**

Never  Has been involved in Money Laundering Activities (please specify)  
 \_\_\_\_\_ Year \_\_\_\_\_

**Relationship related to the politics** (if any) \_\_\_\_\_

**Main Income** \_\_\_\_\_

**Source of Income (Country)** \_\_\_\_\_

Do the authorized persons have the position of director or accountant of a listed company or its parent company, subsidiary, or major shareholders and spouse of such director or accountant?

No  Yes (Please specify) \_\_\_\_\_

**Financial Information**

**Financial Highlight and Status as of** \_\_\_\_\_

Total Income	_____	Current Liabilities	_____
Net Profit (Net Loss)	_____	Total Liabilities	_____
Current Assets	_____	Shareholder's Equity	_____
Total Assets	_____	Registered Capital	_____

**Nature of Investment**

**Investment Knowledge**  Excellent  Good  Fair  Little  None

**Investment Purpose**  Take Profit  Dividend  Interest  Others (Please specify) \_\_\_\_\_

**Investment Experience**  No experience  Less than 1 year  1-5 years  More than 5 years

**Source of Funds** (more than 1 alternative)

Owner Business  Employment  Investment  Dividend / Interest  Heritage  
 Saving  Loan  Others (please specify) \_\_\_\_\_

**Source of Funds (Country)** \_\_\_\_\_

**Settlement for Protected Ping Transaction**

Bank Name \_\_\_\_\_ Branch \_\_\_\_\_

Bank Account No. \_\_\_\_\_ Type of A/C  Savings A/C  Current A/C

**Way of Document Dispatch** (1 alternative only)  By Mail  By Messenger  Email

**Address for Document Dispatch**


Present Business Address  Others (Please specify) \_\_\_\_\_

**Type of Account & Credit Line Request**


Cash A/C Credit Line Request \_\_\_\_\_  Via Internet System

Cash Balance A/C Credit Line Request \_\_\_\_\_  Via Internet System

I/we hereby agree that the above information are wholly completed and true. In case of any change among my/our information is needed, I/we will advise the Company in written immediately. Thereof, I/we understand, accept and shall abide the rules, regulations and conditions set out herein as well as the stipulations laid down at present or in future by the US Securities and Exchange Commission(the "SEC"), the Yangon Stock Exchange (the "YSX") Securities Depository, the Government Bureau or the Company as well as the customary practices of the YSX. Also I/we agree to the Company for any investigation and disclosure of my/our information to the related departments which regulated by the law together with the legal consultants and the Company's auditors. All this I/we understand and acknowledge that I/we can do any business activities as specified in the opened account only when I/we have completely conducted to the conditions and agreements of the Company.

Signature  \_\_\_\_\_ Applicant  
( \_\_\_\_\_ )

I hereby confirmed and verified that the signature and documents concerned are authenticated.

Signature  \_\_\_\_\_ Marketing Officer / The Investment Contactor  
( \_\_\_\_\_ )

The Company reserves the right not to return the application and all submitted materials.



### Specimen Signature Card

A/c Title \_\_\_\_\_ A/c No. \_\_\_\_\_

**Account Owner's Signature**

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**Attorney-in-fact Signature (if any)**

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**Authorized Signer who acts on behalf (Juristic Person) – with Company's Seal**

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Remarks : \_\_\_\_\_

Signature \_\_\_\_\_ Marketing Officer



### Specimen Signature Card

A/c Title \_\_\_\_\_ A/c No. \_\_\_\_\_

**Account Owner's Signature**

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**Attorney-in-fact Signature (if any)**

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**Authorized Signer who acts on behalf (Juristic Person) – with Company's Seal**

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Remarks : \_\_\_\_\_

Signature \_\_\_\_\_ Marketing Officer

**Document / Requirement for Investment Trading Application**  
**(with signature for certified true copy)**

**JURISTIC PERSON**

- Copy of Certificate of Incorporation (issued within 6 month)
- Copy of Memorandum and Articles of Association
- Copy of Affidavit of the Company with Authorization List
- Copy of Business License
- Copy of Tax ID.,VAT registration (if any) and Specific Business TAX Registration (if any)
- The Company's Board Resolution in respect of account opening and operating
- Copy of Financial Statement (within 1 year)
- Structure of Shareholders
- List of Shareholder who are holding shares higher than 30% (Included with persons who deemed to be in the same group) and list of shareholders who are holding shares higher than 50% of juristic Person as above.
- Authorized Specimen Signature Card
- Copy of Passport and House Registration of the authorized person(s)
- Duty Stamp for securities brokerage agreement

**Attorney-in-Fact (if any)**

- Power of Attorney
- Copy of Passport / Alien Certificate (Foreigner only)
- Copy of House Registration (at the page of which name and address are shown)
- Specimen Signature Card
- Duty stamp for each grantee on Power of attorney (In case customer has a power of a attorney)

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**For Kern Legal, Inc.'s Officer**

I have already verified customer's documents as above which all are correct and customer's signature is the same as the specimen signature.

Signature \_\_\_\_\_ Marketing Officer  
( \_\_\_\_\_ )  
Date \_\_\_\_\_