

TOP 1 Markets

KYC Policy

Company: **TOP 1 MARKETS PTY LTD**

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The Know Your Client (hereafter KYC) refers to the Know Your Client bank regulation that financial institutions and other regulated companies must perform to identify their clients and ascertain relevant information pertinent to establish a financial business relationship with them.

1. Definitions and Interpretation

In this Know Your Client (KYC) document, the following words shall have the meaning respectively ascribed to them:

- *“KYC” means the Know Your Client policy*
- *“Company” shall refer to TOP 1 MARKETS (TOP 1 MARKETS PTY LTD)*

2. What is KYC

KYC is an acronym for “Know your Client”, and is mandatory regulatory requirement used for client identification process. TOP 1 MARKETS will request documents to determine the true identity and beneficial ownership of accounts, source of funds, the nature of client’s business, reasonableness of operations in the account in relation to the client’s business, etc., in line with the Money Laundering and Terrorism (Prevention) Act, 2008 and Money Laundering (Prevention) regulations, 1998 of Belize to increase the significance on a risk-based approach introducing new procedures. The objective of the KYC guidelines is to prevent the investment firms from being used, intentionally or unintentionally by criminal elements for money laundering.

Our Company is a regulated entity operating under the supervision of the International Financial Services Commission. As part of our discipline to comply with the AML Directives, we have advanced the below Know Your Client (KYC) list which will

guide you as to the required information/documentation you will need to submit to be assessed and accepted as a client of the Company.

3. Information required

KYC has two components – Identity and Address. Each person, wishing to open a trading account, must submit documents confirming his/her identity and his/her residential address.

The required documents are:

- *National Identity Card or Passport.*
- *Recent Utility Bill or Bank statement no older than six (6) months (for the verification of the address).*
- *Copies of your credit card, used to make the deposit.*
- *Front side with only the 4 last digits visible, expiration date and full name.*
- *Back side with the CVV and first 12 digits of the card covered.*

*** The deadline for users to provide documents is valid within 30 working days after registration. We will review your documents within 3 working days.**

4. Objectives of the KYC policy

To prevent criminal elements from using the Company for money laundering activities.

To capacitate the Company to know/apprehend the clients and their financial transactions appropriately and enable them thereby to manage risks readily.

To implement sufficient controls for detection and reporting of suspicious and/or

potentially illegal activities in accordance with the applicable laws and procedures.

5. Importance to comply with KYC procedures

KYC procedure is part of the anti-money laundering laws and regulations, which aim to prevent the practice of generating income through illegal and criminal actions.:

6. How to send your documents

Please scan your documents, or take a high quality digital camera picture, save the images as jpegs, then send it to us via mail to cs@top1markets.com or upload the documents during your registration through our website www.top1markets.com.

7. Privcy

TOP 1 MARKETS is committed to protecting your privacy. All the information that you share with us is confidential. We only collect personal information from clients in order to comply with the prevalent Laws and Regulations. We do not share your information with any outside parties.

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