



Know Your Customer (KYC) Form

Personal Data:

Name		Trading No.	
Civil ID No.		Mobile No.	
Residence address: Area:	Plot:	Street:	
Building No. :			
e-mail Address:			
Employer:	Job title:		

Income and Investment Data

1- Annual income (in Kuwaiti dinars):

- ☐ 1,000 – 10,000 KWD.
 ☐ 10,000 – 25,000 KWD.
 ☐ 25,000 – 50,000 KWD
 ☐ 50,000 - 100,000 KWD
☐ 100,000–250,000 KWD.
 ☐ 250,000 – 500,000 KWD
 ☐ 500,000 – 1,000,000 KWD
 ☐ More than 1,000,000 KWD.

2 - Average wealth (in Kuwaiti dinars):

(ValueKWD)

- ☐ 1,000 – 10,000 KWD.
 ☐ 10,000 – 25,000 KWD.
 ☐ 25,000 – 50,000 KWD
 ☐ 50,000 - 100,000 KWD
☐ 100,000–250,000 KWD.
 ☐ 250,000 – 500,000 KWD
 ☐ 500,000 – 1,000,000 KWD
 ☐ More than 1,000,000 KWD.

3- Sources of income:

(ValueKWD)

- ☐ Investment.
 ☐ Legacy.
 ☐ Pension
 ☐ Social Insurance.
 ☐ Private Work.
 ☐ Government Work.
☐ Other

4 - Investment objectives:

- ☐ High Growth.
 ☐ Income.
 ☐ Capital Preservation.

5 - Trading experience:

- ☐ Excellent.
 ☐ Good.
 ☐ Medium.
 ☐ Limited.

6 - Expected account activity:

- ☐ Up to 30% of income.
 ☐ Up to 50% of income.
 ☐ 50% of income or more.

Political Position Data

* Political position data (if any):

Position () The entity () None. ☐

* If one of your relatives (up to the second degree) holds a political position:

Name () Position () The entity () None. ☐

Political position: Any natural person, whether a client or an actual beneficiary, who is currently or has previously been entrusted with high public duties in Kuwait or a foreign country. This definition includes heads of state or government, senior politicians, government, judicial, or military officials, senior executives of state-owned companies, prominent officials of political parties, and anyone currently or formerly entrusted with senior management positions in an international organization, such as directors, deputy directors, and members of the board of directors. This term also includes family members up to the second degree or close partners.



Statement of the actual beneficiary of the account

Do you trade for your own account or on behalf of another party/ parties?

☐ For my own account. ☐ For the benefit of the following beneficial owner(s):

Nature of the relationship:

*If applicable, please provide us with a copy of valid documentation identifying the beneficial owner(s) of the account.

Text messaging Service

Al-Sharq Financial Brokerage Co. provides a service to confirm the execution of transactions on the Kuwait Stock Exchange using my trading number on my mobile device via SMS. I am committed to informing the company immediately in the event of a change in the mobile number or the telecommunications company.

The company does not guarantee the continuity of this service in the event of a technical failure or anything beyond its control.

☐ Activate Messages. ☐ Activate Signals. ☐ Not Interested.

Acknowledgment and Undertaking

I, the undersigned, hereby acknowledge that I am the beneficial owner of the account, and I hereby declare that my account has not and will not be used for any transactions related to money laundering and terrorist financing. If the company finds that there is a violation of this, it has the right to take the necessary measures stipulated in Law No. 106 of 2013 and the provisions stated in Book Sixteen of the Executive Regulations regarding combating money laundering and terrorist financing.

I also acknowledge that the information provided, and the documents submitted are correct and complete and that I have read and understood the terms, conditions and applicable laws. I hereby undertake to update my information periodically and continuously and to inform Al-Sharq Financial Brokerage Co. in writing immediately upon any change thereto, without any liability on the part of Al-Sharq Financial Brokerage Co.. I acknowledge that all orders issued by me are recorded, preserved and can be retrieved upon request by CMA or in cases determined by law.

1- Official market trading commissions:

The Market	Commission Rate	Minimum Commission Value
Premier	0.10%	(250 fils)
Main Market	0.15%	(250 fils)
Auction market	0.30%	(250 fils)
Settlement fees	-	500 fils per transaction

2- Private Transactions Outside the Trading System (Negotiated Deals). **Commission 0.20%.**

3- Commissions for trading in unlisted securities.

Type and value of the transaction	Commission rate	Minimum commission value
Stock trading commission	0.50%	3.000 KWD
Bond and Sukuk Trading Commission	0.01%	10.000 KWD
Off Market Trades (Transaction Value):		
Less than 50,000 KWD	0.50%	
Between 50,000 and 249,999 KWD	0.40%	
Between 250,000 and 999,999 KWD	0.30%	
Between 1 million and 4,999,999 KWD	0.10%	
More than 5 million KWD	0.05%	

Transferring shares between depository and record accounts: 1.000 KWD per transaction.

Customer signature. 

Date: (/ /).

Official Internal use only :

Signed before me / - Signature:, Date:

Customer risk assessment: ☐ High ☐ Medium ☐ Low