



INFORMATION STATEMENT



TO BE COMPLETED BY THE PRINCIPAL OF THE FIRM.

INFORMATION STATEMENT

Each Applicant must complete an Information Statement. Use additional pages as necessary. Please note that all requested information must be supplied prior to approval.

First Name: _____ Last: _____ Middle: _____

House/Flat Number and Street: _____

City/Town Name: _____ Region: _____

Postal Code: _____ Country: _____

Home Telephone: _____ Mobile Phone: _____

Driver's License No: _____ Passport Number: _____ (Please provide a copy)

Date of Birth: Day _____ Month _____ Year _____

Email Address: _____

EMPLOYMENT HISTORY

Please list your employment history for the past 5 years beginning with the most recent and working back in time. Also include any periods of unemployment during this time.

Firm Name: _____

House/Flat Number and Street: _____

City/Town Name: _____ Region: _____

Postal Code: _____ Country: _____

Position Held: _____

Reason for Leaving: _____

Contact Name: _____ Title _____

Telephone: _____ From: _____ To Present

Firm Name: _____

House/Flat Number and Street: _____

City/Town Name: _____ Region: _____

Postal Code: _____ Country: _____

Position Held: _____

Reason for Leaving: _____

Contact Name: _____ Title _____

Telephone: _____ From: _____ To: _____

Firm Name: _____

House/Flat Number and Street: _____

City/Town Name: _____ Region: _____

Postal Code: _____ Country: _____

Position Held: _____

Reason for Leaving: _____

Contact Name: _____ Title: _____

Telephone: _____ From: _____ To: _____

RESIDENCE HISTORY

Please list your residence history for the past 5 years beginning with the most recent and working back in time with no time gaps.

From: _____ To: Present

House/Flat Number and Street: _____

City/Town Name: _____ Region: _____

Postal Code: _____ Country: _____

From: _____ To: _____

House/Flat Number and Street: _____

City/Town Name: _____ Region: _____

Postal Code: _____ Country: _____

From: _____ To: _____

House/Flat Number and Street: _____

City/Town Name: _____ Region: _____

Postal Code: _____ Country: _____

RELEVANT INDUSTRY EXPERIENCE

Are you currently doing business in the physical precious metals industry? YES ___ NO ___

Are you currently selling financed (leveraged) physical precious metals? YES ___ NO ___

Are you currently using a physical commodity clearing firm to facilitate trading activity? YES ___ NO ___

How many sales representatives do you currently employ? _____

What is your average monthly Opening Production sales volume? _____

LEGAL HISTORY

A. For the purposes of the following questions, the term "you" means not only you personally, but any firm in which you were an Officer, Director, General Partner, Sole Proprietor or a 10% or more Shareholder of the firm.

B. For each "Yes" answer the following additional information must be provided:

- 1) When the event occurred;
- 2) Parties to the proceeding;
- 3) Circumstances involved;
- 4) Final determination/disposition and date if any; and
- 5) Copy of all applicable documents (i.e. Complaint, final order, verdict, settlement, disposition and any sentence or sanctions imposed)

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|---|-----------------|----------------|
| 1. Have you ever been named in a customer complaint, civil litigation, arbitration, reparation claim or general lawsuit in connection with an investment-related activity? | YES ____ | NO ____ |
| 2. Have you ever been convicted of a crime? (Other than a routine traffic offense) | YES ____ | NO ____ |
| 3. Have administrative proceedings ever been brought against you by any government body, regulatory authority or agency? | YES ____ | NO ____ |
| 4. Have you ever been permanently or temporarily restrained or enjoined from engaging in any conduct, practice, or operation? | YES ____ | NO ____ |
| 5. Do you currently have a non-discharged bankruptcy? | YES ____ | NO ____ |
| 6. Are there any outstanding judgments pending against you? | YES ____ | NO ____ |
| 7. Have you ever been denied a license or registration to conduct business, or have you ever had such a license or registration revoked or suspended? | YES ____ | NO ____ |
| 8. Have you ever been the subject of a denial, payout or revocation of coverage by any bonding or surety company? | YES ____ | NO ____ |
| 9. Are you the subject of a pending investigation by any government body, regulatory authority, agency or any other regulatory association? | YES ____ | NO ____ |

******* CERTIFICATION *******

I, _____, do hereby certify that I am a Principal for _____; and, I further certify that the foregoing Information Statement and all of the supporting documentation is true and correct to the best of my knowledge and ability. I further acknowledge that providing false information herein may serve as grounds for termination of my relationship with Hunter Wise International Commodities. Additionally, this will serve as authorization for Hunter Wise International Commodities to do whatever background investigation is necessary for the approval of this application. (Hunter Wise International Commodities does not conduct credit checks on Applicants).

DATED: This _____ **Day of** _____, **20**_____

Signature _____

Printed Name _____

Privacy Policy

Hunter Wise International Commodities considers information security to be utmost concern and we act diligently to protect the privacy and security of our Applicant's personal and / or confidential business information.

Hunter Wise International Commodities does not disclose any nonpublic personal information about our Applicants to anyone, except as required by law. We restrict access to nonpublic personal information about you to those with a demonstrable need to know that information in order to provide you with our products, as well as services relating to the trading and financing of physical commodities. We maintain physical, electronic, and procedural safeguards that comply with United States regulations to guard your nonpublic information.

Anti-Money Laundering Policy

Pursuant to the United States anti-money laundering statutes and regulations, we are required to verify the identification of all prospective Applicants before we can establish an Independent Dealership relationship with them. Our online application form requires Applicants to provide their driver license, Passport and Social Security number. Hunter Wise International Commodities will convey this information to an independent, third-party verification service to confirm the Applicant's identity. The subsequent verification results will be saved as documentary proof of compliance with the relevant AML statutes.

Please return to HWIC by email or convey by fax to +44 (0)203 008 7833