



## **KYC (KNOW YOUR CUSTOMER)**

An effective anti-money laundering compliance program must include “know your customer” procedures. Information must be provided to learn the true identity of the customer, the nature of the customer’s business, and the intended purpose of the customer’s transactions.

As broker, Lexington Global Markets shall be responsible for:

- (a) Providing the account application
- (b) Conducting AML and KYC procedures
- (c) Clearing and monitoring of all trades
- (d) Being the custodian of the accounts, funds and paperwork.

Each trading account applicant must first be approved and accepted by the broker before funding the trading account and trading.

## **IDENTITY**

For each new customer, who is an individual, we will collect:

- (a) The customer’s name
- (b) Date of birth
- (c) Residential or business address
- (d) Proof of address such as utility bill, etc
- (e) Unexpired government identification card number showing nationality or residence, and photo id.

For each new customer which is an entity, we will collect:

- (a) The customer’s business name
- (b) Principal place of business
- (c) Proof of business address such as utility bill, etc.
- (d) Government issued identification or tax number
- (e) Other government issued documentation certifying the existence of the business or enterprise such as certified articles of incorporation, a government issued business license, a partnership agreement or a trust instrument

We will not accept an account without the required identification information. If the entity is a trust or similar, personal identification information as outlined in the previous paragraph will be needed for the account controller.

In the event a customer does not present a valid government ID; or the firm is not familiar with the documents the customer provides; or the customer opens the account without appearing in person; and any other circumstances that increase the risk that we will not be able to verify the true identity of the