



stockoza

**AML and KYC
Policy**

1. Anti-Money Laundering

1.1. Compliance

1.1.1. The Company strictly complies with the Anti-Money Laundering Policy to identify and prevent any illegal activity, including security frauds, financing of terrorism and proliferation, tax evasion, and other activities that involve money laundering.

1.1.2. In relation to the Know-Your-Customer Policy and procedures, the Client must submit the required information and documents to verify his/her identification and to manage and monitor his/her financial activities with the Company.

1.1.3. The Client ensures that the funds he/she uses to invest with the Company are legally obtained. If the Client is presumed or proven to be involved in any money laundering activity, the Company reserves the right to restrict or terminate the Client's use of the services and website. In addition, any Client activity that is proven to be related to money laundering may lead to legal actions.

1.2. Transactions

1.2.1. The Company comprehensively records all financial transactions conducted on the official website or through the relevant banks and payment service providers ("PSPs"). Such financial transaction records may be disclosed to authorized third parties for lawful reasons or deemed obligatory.

1.2.2. In cooperation with the respective banks and PSPs, the Company strictly complies with the imposed transaction limits and availability. The Client is responsible for observing his/her transaction limits to avoid suspicious financial activities.

1.2.3. Any initiated financial transaction by a third party on behalf of the Client requires Power of Attorney ("POA") upon request subject to approval. The Company may reject or cancel any transaction without prior notice if it deems necessary. If the Company does not approve any transaction from the third party, such transaction may be considered invalid.

Risk Warning: Use of leverage, trading CFDs on margins, and overall stock market trading entail significant risks. Before trading, you should acknowledge all the risks involved and assess your objectives, experiences, financial possibilities, and willingness to take risks. Loss of initial investment partially or completely is possible. Therefore, you should not invest any funds you cannot afford to lose.



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2. Know Your Customer

2.1. Client Identification

2.1.1. The Company strictly complies with the implemented KYC procedure that applies to all Clients to verify their identity for safety and security purposes. The verification procedures are also for preventing any illegal activities within the properties of the Company.

2.1.2. The Client shall provide and submit his/her personal information and documentation immediately after his/her registration with the Company. Personal data shall be collected by the Company including, but not limited to, full name, birth date, complete address, occupation, financial capabilities, and contact details like phone number and email address of the Client.

2.1.3. The Company may also obtain and collect the personal information of the Client as obliged by the affiliated banks and PSPs, and when, without limitation, he/she registers in the official website or when the Client initiates financial transaction in his/her account.

2.1.4. The Company reserves the right to request additional information from the Client if it deems necessary in order to provide him/her the services efficiently.

2.2. Verification of Documents

2.2.1. The Client must submit certain documents in compliance with the verification procedure, including, without limitation:

- A) Proof of Identity, such as government-issued I.D., driver's license, passport
- B) Proof of Residence, such as bank statement, utility bill, certificate of residence, government-issued lease agreement not older than six (6) months
- C) A front and back copy of the Credit Card if such was used to conduct a financial transaction with the Company. The Client must take note of the following when submitting a document copy of his/her credit card:

Front copy

Display the first six (6) digits and last four (4) digits of the card
Cover the remaining six (6) digits of the card in the middle

Back copy

Signature on the card must be included
Display the first six (6) digits and last four (4) digits of the card
Cover the remaining six (6) digits of the card in the middle and CVV of the card

2.2.2. Documents for verification can be in JPEG, PNG, or PDF format without password protection and may be submitted to the Company's official email. Copies must be clear and legible, and all corners of the document must be visible. The Client can send all his/her documents to support@stockoza.com.

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2.2.3. In accordance with the official Terms and Conditions of the Company, the Client is responsible for ensuring that the information and documentation he/she provides are true, accurate, and complete. The Client acknowledges that the provision of forged documents may lead to legal action.

2.2.4. Some jurisdictions require different types of documentation or additional documents to verify the Client's identification. The Company reserves the right to request additional documents in compliance with the relevant laws and regulations of the Client's jurisdiction. The Client is responsible for complying with such regulation to continue using the services of the Company. The Client is solely accountable for any issue or complication that may happen due to his/her noncompliance.

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