



## Crestwyn Client Onboarding Questionnaire

For Traditional & Digital Asset Investment Services

**⚠** Your responses are confidential and required by law for compliance with SEC and Anti-Money Laundering (AML) regulations. Please complete each section accurately. Estimated time: 10–15 minutes.

### SECTION 1: Identity Verification (SEC KYC Required)

1.1 Full Legal Name

1.2 Date of Birth (MM/DD/YYYY): \_\_\_\_\_

1.3 Residential Address (No P.O. Boxes)

Street: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_ ZIP: \_\_\_\_\_

1.4 SSN or Tax Identification Number (TIN)

\_\_\_\_ - \_\_\_\_ - \_\_\_\_\_

1.5 Nationality / Citizenship

U.S. Citizen

U.S. Resident Alien

Non-U.S. Citizen (Country): \_\_\_\_\_

1.6 Contact Information

Email: \_\_\_\_\_

Phone Number: \_\_\_\_\_

### SECTION 2: Employment and Income Information

2.1 Employment Status

Employed

Self-Employed

Retired

Unemployed

Student

2.2 Employer Name / Business Name

2.3 Industry / Occupation

2.4 Annual Income (USD)

Under \$100,000

- \$100,000–\$250,000
- \$250,000–\$1,000,000
- Over \$1,000,000

2.5 Net Worth (Excluding Primary Residence)

- Under \$500,000
- \$500,000–\$1M
- \$1M–\$5M
- Over \$5M

2.6 Liquid Net Worth (cash, marketable securities, crypto)

- Under \$100,000
- \$100,000–\$500,000
- \$500,000–\$2M
- Over \$2M

**SECTION 3: Investment Profile & Suitability**

3.1 Investment Objectives (Select all that apply)

- Capital Preservation
- Income
- Growth
- Speculation
- Hedge Against Fiat / Inflation

3.2 Investment Time Horizon

- Less than 1 year
- 1–3 years
- 3–5 years
- 5–10 years
- 10+ years

3.3 Risk Tolerance (Self-Assessed)

- Very Low
- Low
- Moderate
- High
- Very High

### 3.4 Experience with Investments

Asset Type	None	Some	Extensive
Stocks / Bonds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Options / Derivatives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mutual Funds / ETFs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Real Estate / Private Equity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cryptocurrencies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
DeFi / Yield Farming	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### SECTION 4: Digital Asset Specific Questions

4.1 How familiar are you with blockchain technology?

- Not at all
- Somewhat familiar
- Comfortable
- Very knowledgeable

4.2 What percentage of your total investable assets do you wish to allocate to digital assets?

- Less than 5%
- 5-10%
- 10-25%
- Over 25%

4.3 Do you understand that digital assets can lose all their value, are subject to hacking, regulatory risk, and extreme volatility?

- Yes, I understand and accept the risks.
- No (we cannot proceed with onboarding).

4.4 Do you plan to use leverage or margin with crypto investments?

- Yes
- No

4.5 How important is liquidity (ability to access your investment quickly)?

- Very important
- Somewhat important
- Not important

4.6 Digital Asset Use Case Interest (check all that apply)

- Buy and hold long-term
- Trade actively
- Participate in DeFi
- Staking / Yield Farming

- NFTs / Web3
- Crypto Private Equity

## **SECTION 5: AML – Anti-Money Laundering Compliance**

### 5.1 Source of Funds (Primary Funding Origin)

- Employment income
- Investment returns
- Business proceeds
- Sale of property
- Inheritance or trust
- Crypto proceeds (from which platform?): \_\_\_\_\_

### 5.2 Are you or any close associate a Politically Exposed Person (PEP)?

- No
- Yes — describe: \_\_\_\_\_

### 5.3 Are you currently under investigation or indictment for financial crimes?

- No
- Yes — describe: \_\_\_\_\_

### 5.4 Will you be funding your account using crypto directly?

- Yes
- No

If Yes, list wallet address or platform: \_\_\_\_\_

## **SECTION 6: Legal Acknowledgments & Disclosure**

### 6.1 Regulatory Disclosures

I understand that investing in digital assets involves significant risk, including the potential loss of all invested capital.

I understand that digital assets may not be protected by FDIC or SIPC insurance.

I acknowledge that regulatory treatment of digital assets is evolving and may impact future investments.

- I acknowledge and accept all risks associated with digital asset investments.

### 6.2 Identity Certification


By checking the box below, I certify that all information provided is accurate and complete to the best of my knowledge.

- I certify that the information provided is accurate.

Digital Signature: \_\_\_\_\_

Date: \_\_\_\_\_

### **Submission Notice**

 Security Note:

Your data is protected under industry-standard encryption protocols and is used solely for regulatory and suitability purposes.