

TROPTIONS · INSTITUTIONAL DOCUMENT SYSTEM

Bryan Stone KYC/CIS Master File

Institutional Client Identification and Governance-Controlled Onboarding

For: Owner office, compliance team, legal counsel, and institutional diligence desks

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Executive Summary

This master file structures KYC and CIS onboarding for Bryan Stone and TROPTIONS at institutional standard. It defines identity verification scope, corporate authority checks, source-of-funds evidence requirements, and governance controls for controlled release to qualified counterparties.

Who This Document Is For

Internal compliance teams preparing owner-level diligence packets and external institutional reviewers requiring a structured, auditable KYC/CIS package.

Required Information

- Primary subject identity profile (Bryan Stone)
- TROPTIONS ownership and control structure
- Beneficial ownership and signatory authority map
- Jurisdictional compliance profile
- Counterparty-facing disclosure scope
- Document validity and refresh cadence

Required Documents

- & Government-issued identity documentation
- & Proof-of-address and residency evidence
- & Entity formation and good-standing documents
- & Beneficial ownership declaration
- & Board/owner resolution confirming authority
- & Source-of-funds and source-of-wealth memo
- & Sanctions/PEP screening evidence
- & Control policy acknowledgment

Step-by-Step Process

Step 1: Identity and Entity Collection

Collect subject identity documents and TROPTIONS corporate records into a single indexed package with issue and expiry tracking.

Step 2: CIS Mapping

Map each required CIS field to supporting evidence so institutional reviewers can validate legal identity, authority, and control chain quickly.

Step 3: Compliance Screening

Run sanctions and PEP screening and record timestamped results, provider source, and reviewer sign-off.

Step 4: Authority Validation

Validate signer authority for treasury and placement operations through governance records and legal authority documents.

Step 5: Controlled Distribution

Release only approved packet sections to qualified counterparties with access logs and expiration windows.

Approval Gates

- & Identity validation complete
- & Entity validation complete
- & Beneficial ownership confirmed
- & Sanctions/PEP review approved
- & Legal authority approved
- & Compliance release approval recorded

Readiness Checklist

- & KYC identity packet complete
- & CIS field map complete
- & Corporate authority documents validated
- & Screening results archived
- & Release controls active

What Stays Blocked

- No release of unrestricted personal documents
- No operational activation from onboarding packet alone
- No external distribution without compliance approval

Common Blockers

- Expired identity documents
- Unclear beneficial ownership chain
- Missing authority resolutions
- Screening evidence gaps

TROPTIONS System Handling

TROPTIONS should treat this as a controlled KYC/CIS record: indexed evidence, status tracking, reviewer sign-offs, and limited-scope packet exports for institutional diligence.

Final Checklist Before Submission

- & Identity and CIS packet indexed
- & Authority chain validated
- & Compliance screening approved
- & Release policy applied
- & Audit trail exported

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