



CapitalAssets

RC.(286096)

Capital Assets Limited

(Member of the Nigerian Stock Exchange)

APPLICATION FOR OPENING STOCKBROKING ACCOUNT

CORPORATE ACCOUNT

We,

situated at

hereby apply for the opening of a Corporate Stockbroking Account with **Capital Assets Limited**.

In consideration of your agreement to establish the said account, we hereby appoint **Capital Assets Limited** as our Stockbrokers and:-

- (a) authorize you not to establish or operate the requested account unless and until you have received the supporting documents for the opening of the account, a list of which has been provided to us and is included in this application form.
- (b) authorize you to undertake at our cost all Know-Your-Customer (KYC) procedures specified by applicable laws and/or regulations including the confirmation of our information details and legal status at the appropriate government registry and to debit our account without further recourse to us for the costs related to such KYC procedures.
- (c) authorize you to purchase and sell securities on our behalf and undertake to pay all statutory charges and fees associated with such transaction(s) and the operation of the account.
- (d) authorize you to send all communication to us at the address given in this application or to such address as we may from time to time give to you in writing. All communication so sent whether by post, email, dispatch, SMS or otherwise shall be deemed to be given to us personally whether actually received or not, and the cost thereof shall be for our account.
- (e) undertake not to hold you responsible for any delay in the transmission of orders due to date/price limit given by us or any other causes beyond your control.
- (f) authorize you to reconcile/regularize our account in case of any posting or trading error.
- (g) undertake to indemnify you in full for any loss you may suffer or incur by acting on the information given herein and the documents supplied for the bases of opening the account and for honouring such letter, email, SMS or instructions given by us to you in the course of operating the account provided that you have taken all measures prescribed by your internal policies and practices to verify the authenticity of such communication.
- (h) undertake to communicate to you immediately any change in our address, email, telephone number(s) and any other information given by us to you in the course of operating the account, and that any loss you may suffer or incur for not communicating such to you shall be borne by us.

NAME

SIGN/DATE

NAME

SIGN/DATE

CORPORATE ACCOUNT INFORMATION SHEET



Name of Company: _____

Registration Number: _____

Tax Identification Number (TIN): _____

Corporate Address (Not P. O. Box): _____

Postal Address: _____

Tel. Number(s): _____ E-mail Address: _____

Nature of Business: _____

Contact Person(s): _____

1. Name: _____ Designation: _____

Tel. Number: _____ E-mail Address: _____

2. Name: _____ Designation: _____

Tel. Number: _____ E-mail Address: _____

OTHER INFORMATION

Has there been any change of Corporate Name prior to the name stated above? YES ☐ NO ☐

If YES, please state the previous name(s), date of change and reason(s) for the change

Previous Full Name: _____

Date of Change of Name: _____

Reason(s) for Change: _____

BANK ACCOUNT DETAILS OF THE CORPORATE ACCOUNT

Bank Name: _____ Branch Address _____

Bank Account Name: _____ Date of Creation: _____

Type of Account: _____ Account Number: _____

CSCS ACCOUNT DETAILS OF THE CORPORATE ACCOUNT

Do you have a CSCS Account already? YES ☐ NO ☐

If Yes, what is your CHN (Clearing House Number)? _____



Investment Objectives

- ☐ Capital Growth
☐ Income Yield
☐ A Mixture of Both

Risk Tolerance

- ☐ High
☐ Medium
☐ Low

Direct Cash Settlement

Do you want payment of proceed through Direct Cash Settlement by CSCS?

YES ☐
NO ☐

FOR OFFICE USE ONLY

Date: _____

Documents Received & Originals Sighted By:

Name: _____ Signature: _____

Client Introduced By: _____

Client's Profiling: ☐ High ☐ Medium ☐ Low

HOP's Comments: _____

_____ HOP's Sign/Date: _____

Confirmed OK By: _____ Sign/Date: _____

Approved By: _____ Sign/Date: _____

SIGNATURE MANDATE FORM

PERSONS AUTHORISED TO OPERATE THE CORPORATE ACCOUNT

1	<p>Name: _____</p> <p>Designation: _____</p> <p>Home Address: _____</p> <p>Bank Verification Number (BVN): _____</p> <p>Signature: _____</p>	<div data-bbox="943 450 1098 551" data-label="Text"> <p>Pls. Specify</p> </div> <div data-bbox="951 551 1086 577" data-label="Text"> <p>Class A, B, C</p> </div> <div data-bbox="1190 573 1366 645" data-label="Text"> <p>Passport Photograph</p> </div>
2	<p>Name: _____</p> <p>Designation: _____</p> <p>Home Address: _____</p> <p>Bank Verification Number (BVN): _____</p> <p>Signature: _____</p>	<div data-bbox="943 831 1098 931" data-label="Text"> <p>Pls. Specify</p> </div> <div data-bbox="951 931 1086 958" data-label="Text"> <p>Class A, B, C</p> </div> <div data-bbox="1190 954 1366 1025" data-label="Text"> <p>Passport Photograph</p> </div>
3	<p>Name: _____</p> <p>Designation: _____</p> <p>Home Address: _____</p> <p>Bank Verification Number (BVN): _____</p> <p>Signature: _____</p>	<div data-bbox="943 1211 1098 1312" data-label="Text"> <p>Pls. Specify</p> </div> <div data-bbox="951 1312 1086 1339" data-label="Text"> <p>Class A, B, C</p> </div> <div data-bbox="1190 1346 1366 1417" data-label="Text"> <p>Passport Photograph</p> </div>
4	<p>Name: _____</p> <p>Designation: _____</p> <p>Home Address: _____</p> <p>Bank Verification Number (BVN): _____</p> <p>Signature: _____</p>	<div data-bbox="943 1615 1098 1715" data-label="Text"> <p>Pls. Specify</p> </div> <div data-bbox="951 1715 1086 1742" data-label="Text"> <p>Class A, B, C</p> </div> <div data-bbox="1190 1738 1366 1809" data-label="Text"> <p>Passport Photograph</p> </div>

Mandate Combination:

Please Specify



CapitalAssets

Attestation:

We understand that the information given herein and the documents supplied are the bases for opening a Corporate Stockbroking Account and therefore attest that all information herein supplied are correct.

For: _____

Director

Company Secretary

Company Seal

Date

Date

Documents Required To Open A Corporate Stockbroking Account

The under listed documents are required to open a corporate stockbroking account:

- ☐ Certified True Copy of Certificate of incorporation
- ☐ Certified True Copy of Memorandum and Articles of Association
- ☐ Certified True Copy of Particulars of Directors (Form CAC7)
- ☐ Certified True Copy of Share Capital & Share Capital Allotment (Form CAC2)
- ☐ Two (2) passport photographs of each signatory indicating full names & duly signed at the back.

Identification document for each authorised signatory:

- ☐ International Passport ☐ National Driver's Licence ☐ National ID card, etc.

A copy of Utility bill of each authorised signatory to the account

- ☐ Electricity Bill ☐ Telephone Bill ☐ Water Rate ☐ Waste Mgt Bill

- ☐ Signature Mandate, indicating those who are authorised to deal with **Capital Assets Limited** on behalf of the Company. At least one of the Directors should be a signatory to the account.
- ☐ Extract of Board Resolution appointing **Capital Assets Limited** as the Company's Stockbrokers.
- ☐ Copy of Tax Identification card for each authorised signatory to the account



AUTHORISED SIGNATORIES INFORMATION SHEET

This Page should be completed by each Authorised Signatory to the Corporate Stockbroking Account.

Full Names (Surname First): _____

Mother's Maiden Name: _____ Sex: ☐ Male ☐ Female

Marital Status: ☐ Single ☐ Married ☐ Others (Specify) _____

Date of Birth: _____ Place of Birth: _____

Home Town: _____ State of Origin: _____

Residential Address (Not P. O. Box) _____

Nearest Bus Stop: _____

Local Government Area (of Residence): _____

Nationality (For Non Nigerians): _____ Res. Permit Number: _____

Resident Permit Issue Date: _____ Resident Permit Expiry Date: _____

Postal Address: _____

E-mail Address: _____

Mobile Tel. Number(s): _____

Occupation: _____ Status/Job Title: _____

Office (Name & Address): _____

Office Tel. Number(s): _____

Office Email Address: _____

IDENTITY INFORMATION

Means of Identification (At least one is required):

- | | | |
|--|------------------|-----------------|
| <input type="checkbox"/> International passport Num:..... | Issue Date:..... | Exp. Date:..... |
| <input type="checkbox"/> National Driver's licence Num:..... | Issue Date:..... | Exp. Date:..... |
| <input type="checkbox"/> National ID card Number:..... | Issue Date:..... | Exp. Date:..... |
| <input type="checkbox"/> Perm. Voters Card Number:..... | Issue Date:..... | Exp. Date:..... |
| <input type="checkbox"/> Others, Please Specify | Issue Date:..... | Exp. Date:..... |



OTHER INFORMATION

Do you hold any political position (PEP) presently or held any in the past? YES ☐ NO ☐

If YES, state the position and period: _____

Do you have any political affiliation / or relationship with a Public Office Holder? YES ☐ NO ☐

If YES, state the following:

Name of the Political Person / Public Office Holder: _____

Office held by the person & the period: _____

Nature of relationship with the person: _____

Has there been any change of name prior to the name stated above? YES ☐ NO ☐

If YES, please state the previous name(s), date of change and reason(s) for the change

Previous Full Name: _____

Date of Change of Name: _____

Reason(s) for Change: _____

Attestation:

I understand that the information given herein and the documents supplied are the bases for opening a Corporate Stockbroking Account and therefore attest that all information herein supplied are correct.

NAME

SIGN/DATE