



Company Information

Name of Company:		
RC Number:	Date of Incorporation:	Tax Identification Number:
Business Address		
Mailing Address		
Company Type: Enterprise <input type="checkbox"/> Partnership <input type="checkbox"/> Limited Liability Company <input type="checkbox"/> Others _____		
Industry/Sector of Business:		
Official Website/Telephone:		
Source(s) of Investment Fund:		
Average Annual Turnover: Below N5m <input type="checkbox"/> Between N5m-N20m <input type="checkbox"/> Above N20m <input type="checkbox"/>		
BANK ACCOUNT INFORMATION		
Name of Bank:		Branch/Sort code:
Account Name:		
Account Number:		Bank Verification Number:
Date of Creation of Bank Account:		
Name of Contact Person: _____		
Mobile Phone Number of Contact person: _____		
Email Address of Contact person: _____		

Details of Authorised Signatory 1

Name of Signatory:	
Gender: Male <input type="checkbox"/> Female <input type="checkbox"/>	Date of Birth:
Place /Country of Birth:	State of Origin:
Marital Status Single <input type="checkbox"/> Married <input type="checkbox"/> Others _____	
Mother's Maiden Name:	
Residential Address:	
Mailing address:	
Mobile Phone Number:	Alternative Phone Number:
Personal Email Address:	
ID Type: International <input type="checkbox"/> Driver's License <input type="checkbox"/> National ID Card <input type="checkbox"/> Voters Card <input type="checkbox"/> Others <input type="checkbox"/>	
Tax Identification Number:	
Signature of Signatory	<i>Append Signature here</i>
Class of Signatory A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>	

Affix Picture 1

Signature to be appended on the reverse side of the picture

Details of Authorised Signatory 2

Name of Signatory:	
Gender: Male <input type="checkbox"/> Female <input type="checkbox"/>	Date of Birth
Place /Country of Birth	State of Origin
Marital Status Single <input type="checkbox"/> Married <input type="checkbox"/> Others _____	
Mother's Maiden Name:	
Residential Address:	
Mailing address:	
Mobile Phone Number:	Alternative Phone Number:
Personal Email Address:	
ID Type: International <input type="checkbox"/> Driver's License <input type="checkbox"/> National ID Card <input type="checkbox"/> Voters Card <input type="checkbox"/> Others <input type="checkbox"/>	
Tax Identification Number:	
Signature of Signatory	<i>Append Signature here</i>
Class of Signatory A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>	

Affix Picture 2
Signature to be appended on the reverse side of the picture

Details of Authorised Signatory 3

Name of Signatory:	
Gender: Male <input type="checkbox"/> Female <input type="checkbox"/>	Date of Birth:
Place /Country of Birth:	State of Origin:
Marital Status Single <input type="checkbox"/> Married <input type="checkbox"/> Others _____	
Mother's Maiden Name:	
Residential Address:	
Mailing address:	
Mobile Phone Number:	Alternative Phone Number:
Personal Email Address:	
ID Type: International <input type="checkbox"/> Driver's License <input type="checkbox"/> National ID Card <input type="checkbox"/> Voters Card <input type="checkbox"/> Others <input type="checkbox"/>	
Tax Identification Number:	
Signature of Signatory	<i>Append Signature here</i>
Class of Signatory A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>	

Affix Picture 3
Signature to be appended on the reverse side of the picture

Details of Authorised Signatory 4

Name of Signatory:	
Gender: Male <input type="checkbox"/> Female <input type="checkbox"/>	Date of Birth:
Place /Country of Birth:	State of Origin:
Marital Status Single <input type="checkbox"/> Married <input type="checkbox"/> Others _____	
Mother's Maiden Name:	
Residential Address:	
Mailing address:	
Mobile Phone Number:	Alternative Phone Number:
Personal Email Address:	
ID Type: International <input type="checkbox"/> Driver's License <input type="checkbox"/> National ID Card <input type="checkbox"/> Voters Card <input type="checkbox"/> Others <input type="checkbox"/>	
Tax Identification Number:	
Signature of Signatory	<i>Append Signature here</i>
Class of Signatory A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>	

Affix Picture 4
Signature to be appended on the reverse side of the picture

Important Notice

The Money Laundering Prohibition Act and Terrorism Act requires that all our clients' declare whether or not they are politically exposed. Politically exposed persons are clients' holding a political office in Nigeria or elsewhere or their immediate family members. State below if applicable:

Full Name of Officeholder:	Political Position Held:
Relationship With PEP:	Level of Govt(Federal/State/Local):
Name of State/LG:	Date of Appointed/Elected:

MANDATE FORM

Signing Instruction:

<i>Affix Picture 1</i> <i>Signature to be appended on the reverse side of the picture</i>	<i>Affix Picture 2</i> <i>Signature to be appended on the reverse side of the picture</i>	<i>Affix Picture 3</i> <i>Signature to be appended on the reverse side of the picture</i>	<i>Affix Picture 4</i> <i>Signature to be appended on the reverse side of the picture</i>
<i>Name of Signatory 1</i>	<i>Name of Signatory 2</i>	<i>Name of Signatory 3</i>	<i>Name of Signatory 4</i>
<i>Class</i>	<i>Class</i>	<i>Class</i>	<i>Class</i>
<i>Signature 1</i>	<i>Signature 2</i>	<i>Signature 3</i>	<i>Signature 4</i>

CHECKLIST	YES	NO
Duly completed Account Opening Form		
CERTIFIED TRUE COPY of Certificate Incorporate (Original Copy to be sighted)		
Copies of Utility Bills for the last 3 months (Original copies to be sighted)		
Two (2) recent clear passport-size photographs of each signatory to the account with their names and signature written on the reverse side.		
Memorandum and Articles of Association (certified as a true copy by the Registrar of Companies and a Director of the Company)		
Form C07/CAC 2.3 Particulars of Directors of the company certified by the Registrar of Companies (Original to be sighted)		
Form C02 Allotment of shares of the Company		
Residence Permit (where applicable).		
Board Resolution appointing Capital Express Securities Ltd as the company's Stockbroker, Portfolio Managers etc. and including names of all signatories to the account and Directors of the Company in attendance. This must be executed under Company seal.		
Public Utility Receipt i.e. Tax Clearance Certificate (TCC), PHCN Bills, Water Bills or Telephone Bills (Original to be sighted) which must bear the current address of the company.		
Board Resolution and a Power of Attorney/Mandate letter authorizing its officers to act on behalf of the Company		
Completed form for Address Verification conducted		

Documentation Status: Complete Incomplete

Risk Rating (*To be filled by Risk Management Unit*): Low Risk High Risk

Relationship Officer

Supervisor

Internal Control

Client's In-house Account Number	
CSCS Number	
Date of Account Opening	

TERMS AND CONDITIONS

1. Our offices are open for business from 8 am to 5 pm from Mondays through Fridays except on Federal Government declared public holidays.
2. Our preferred mode of receiving client's mandate is a duly signed written correspondence(s) or an e-mail to our dedicated mailing address for mandates: info@capitalexpresssecurities.com
3. Mandates/amendments/cancellation received on a day that is not a business day will be treated as received on the business day immediately following the day of actual receipt.
4. CESL shall not be under any duty to verify the identity of the person(s) giving instructions in the Client's name provided such instructions have emanated from the Client registered details in CESL's record and any transaction made pursuant to the instructions shall be binding upon the Client.
5. For mandates consisting of purchase instruction, the execution of such mandate shall be subject to availability of sufficient cleared funds in the Client's stockbroking account.
6. Where a purchase mandate is dependent on the sales proceeds of stocks, the purchase mandate may not be executed until the sales transaction has been executed. The sales mandate will be executed even if the stocks to purchase are not available.
7. CESL executes transactions based on the ruling market prices of stocks on the Nigerian Stock Exchange. The Client will be advised on the outcome of the mandate via e-mail. Where this is not received by close of business on the next working day after the mandate have been submitted, kindly contact CESL via e-mail to info@capitalexpresssecurities.com
8. Funds deposited into the Client's Stockbroking account with CESL including retained proceeds of sales are not interest bearing. The client's fund will remain in the client's stockbroking account until an express instruction/mandate is received authorising the utilisation of the fund.
9. All transactions are to be done by cheques / bank drafts crossed, Bank Electronic transfer and payable to CESL/ Client's Name. CESL shall not bear any responsibility for any loss arising from lodgement of cash by client.
10. Where an inter-bank withdrawal/transfer instruction is requested, the responsibility to ensure execution lies with the Client/beneficiary. Evidence of execution of the interbank transfer may be requested from CESL to support the process. CESL shall in no circumstance be held liable for the lapses of other institutions involved in the withdrawal /transfer process.
11. Instruction to withdraw funds from the Client's stockbroking account will only be honoured if there are adequate, cleared and unencumbered funds in the client's stockbroking account with CESL. Associated transfer charge(s) for interbank transfers will be borne by the client.
12. CESL shall not make any payment from a client's stockbroking account to a 3rd party even if such payment have been authorised by the account holder.
13. Transaction settlement of the NSE is done on a trading day plus three days (T+3). Thus payment for sales of shares shall comply with this regulation.
14. The Client acknowledges that there are certain risks associated with conveying instructions by fax, post and/or email, and hereby fully waive, discharge

and indemnify CESL in respect of any loss or damages resulting from the use of fax, postal or email instructions.

15. The Client agrees that reports of execution of orders, contract notes and statements for their account shall be conclusive if not objected to within 24 hours of transmittal to the client by mail or otherwise.

16. The Client understands and agrees that any telephone conversation with CESL will or may be recorded for accuracy and consents to such recording. However, all instruction(s) given by telephone must be confirmed in writing. Where instruction(s) are sent by email, then they must emanate from the email address listed as the Clients contact email address as contained in the clients application form. Any change in this address shall be communicated in writing.

17. In the event that the Client become indebted to CESL in the course of operating of its account, the Client agrees to repay such indebtedness upon demand. The Client also agrees that if after demand, the Client fail to pay the indebtedness; CESL may close the account and /or liquidate any asset in the account at CESL's discretion in an amount sufficient to pay such indebtedness and all reasonable costs of collection including attorney's fees incurred.

18. CESL shall not be liable for loss caused directly or indirectly by war, natural disasters, government restrictions, exchange or market rulings or other conditions beyond its control.

19. The Client agrees to pay fees and commissions in accordance with CESL's fees and commissions which is subject to change from time to time at CESL's discretion. Fees and commissions, including mark-ups or markdowns on principal transactions, will be included with the purchase price of or deducted from the sales proceeds of securities purchased or sold.

20. The Client certify that the information contained in this Agreement, the account application form, and any other document submitted to CESL in connection with the account(s) is complete, true and correct, and shall promptly advise CESL of any change to the information in such agreements and documents. CESL may retain this Agreement, the account application, and all other such documents in their respective records at their sole discretion.

DULY EXECUTED BY.....
.....
(The Signatory 1)

DULY EXECUTED BY.....
.....
(The Signatory 2)

DULY EXECUTED BY.....
.....
(The Signatory 3)

DULY EXECUTED BY.....
.....
(The Signatory 4)