



**NIGERIA STOCKBROKERS
LIMITED**

A License Holder of the Nigerian Exchange

Reg. No. RC 1237075

Individual Account Opening Form

CSCS CHN
(Client with existing account)

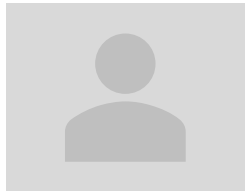
--	--	--	--	--	--	--	--	--	--	--

ACCOUNT NAME _____



**NIGERIA
STOCKBROKERS**

CATEGORY OF ACCOUNT

<input type="checkbox"/>	Individual	<input type="checkbox"/>	Joint	<input type="checkbox"/>	Minor	Insert passport 
❖ <i>I/We would like a NASD OTC Account opened for me/us in addition to the NGX Trading Account with the CSCS. YES/NO?</i>						
		<input type="checkbox"/> Yes <input type="checkbox"/> No				
Title		Surname		First name		Middle name
Mother's maiden name		State of origin		Nationality		Place of birth
Gender:				Date of Birth		
Residential address				Country of residence		
Mobile number				Other mobile line:		
Bank Verification Number (BVN):				Email address:		
Type of ID:				Resident permit details for foreigners:		
ID number:						
Date of issue		Expiry date:				

EMPLOYMENT DETAILS

<input type="checkbox"/>	Employed	<input type="checkbox"/>	Self employed	<input type="checkbox"/>	Retired	<input type="checkbox"/>	Others? Please state
Occupation:				Company name:			
Address				Purpose of investment			
Official telephone number				Source of wealth:			
Annual salary range (₦)							
<input type="checkbox"/>	Less than 10m		<input type="checkbox"/>	10m – 50m		<input type="checkbox"/>	50m and above

INDIVIDUAL ACCOUNT OPENING FORM



NIGERIA
STOCKBROKERS

Net worth (₦)

	Less than 50m	50m – 100m	100m and above
--	---------------	------------	----------------

JOINT ACCOUNT SECTION

Joint account name	Relationship of account holders
--------------------	---------------------------------


Note for joint account holders

- ❖ Both account holders are expected to append their signatures at the appropriate section of this form
- ❖ Also note that in order to get the correct details of the other joint account holder, a separate account opening form should be completed

BANK ACCOUNT DETAILS

Bank Name:	Account number:
Account name:	Bank Verification Number:

NEXT OF KIN/ MINOR DETAILS

Name	Relationship:	Date of Birth:	Insert passport
			

Address:

Mobile number	Other mobile line:
---------------	--------------------

Tax identification number:	Email address:
----------------------------	----------------

Type of ID:	Resident permit details for foreigners:
-------------	---

ID number:																			
------------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Date of issue	Expiry date:
---------------	--------------

INDIVIDUAL ACCOUNT OPENING FORM



**NIGERIA
STOCKBROKERS**

Risk Statement

General Risk Warning

The Client should be aware that there are significant risks in investing in the securities in emerging markets, including Nigeria. It is highly speculative, involves a high degree of risk and may result in the loss of the entire investment. Generally, such investment is only suitable for sophisticated investors who fully understand and appreciate the risks involved. Accordingly, the Client should exercise particular care in evaluating the risks involved and must decide for themselves whether, in the light of those risks, investment is appropriate.

Summarised below are some risks generally associated with investing in emerging markets. However, this notice is not intended to be exhaustive and there may be other risk factors which the Client should take into account in relation to a particular investment. The Client should also note that the information contained in this notice may become out-dated relatively quickly. The Client hereby acknowledges and accepts each of the risks listed herein and acknowledges and accepts that all of these risks could lead to the loss of the entire value of Client's investments under this Agreement.

Emerging Markets

Investing in emerging markets, including Nigeria and elsewhere in Africa, involves certain risks and special considerations including potential market volatility, currency fluctuations, less liquidity in the capital market, restrictions on investments, limited information, and the risk of political, economic and social instability.

Market Liquidity

Some of the securities in which Client may invest may not be traded on a stock exchange; and many of the listed securities in which the Client may invest may be traded in very low volumes. There is therefore the risk that investments could not be easily liquidated, and the valuation of investments will be more difficult. The Client acknowledges that the investments contemplated herein are highly volatile and relatively illiquid and that there is no guarantee of a return on investment and no guarantee that a return of or repatriation of any of the invested amounts in a convertible currency will be possible.

Declaration

I/We hereby request that RMBNS accepts me/us as client/clients in relation to the provision of brokerage services by RMBNS.

I/We hereby declare that the information provided to RMBNS is accurate. I/We further declare that no funds/Securities in relation to any Transactions have been subject to any Money Laundering or Fraudulent activities and none are intended for use in any criminal or illegal activity. I/We understand that providing false or misleading information is a criminal offence and will be taken very seriously. I/We understand and accept that RMBNS in the course of its duties may verify any of the information provided (including source of funds) and is by law required to report any suspicious activity to the relevant regulatory authorities.

I/we confirm that I/we have read and understood the RMBNS Brokerage Agreement. By signing this Account Opening Form, I/we agree to be bound by the RMBNS Brokerage Agreement and the best execution policy.

Authorised Signature (1) /Date

Authorised Signature (2) /Date



**NIGERIA
STOCKBROKERS**

TERMS & CONDITIONS

GENERAL TERM AND CONDITIONS

WAVIER & INDEMNITY

- a. The Client considers it desirable from time to time to convey instructions by medium of telephone, facsimile (fax), e-mail or other electronic means to RMB Nigeria Stockbrokers Limited ("RMBNS") and for RMBNS to implement such instructions on receipt thereof.
- b. The Client acknowledges that he/she is fully aware that signatures and/or instructions faxed or e-mailed, given over the telephone or other electronic medium are easy to add to a forged document in such a way that it is impossible or difficult for the recipient of such a message to verify the validity thereof and accepts all risks involved.

The Client, with the full knowledge of the risks associated with conveying instructions by such means nevertheless requires RMBNS to act on this style of message/authority from time to time, and wishes to waive any claim which it may have against RMBNS and to indemnify RMBNS from any loss resulting from the use of such means to convey instructions to RMBNS, which waiver and indemnity RMBNS accepts.

Data Protection

1. You consent to us collecting your Personal Information from you and where lawful and reasonable, from public sources for credit, fraud and compliance purposes, as well as the purposes set out below.
2. If you give us Personal Information about or on behalf of another person (including, but not limited to, account signatories, shareholders, principal executive officers, trustees and beneficiaries), you confirm that you are authorised to: (a) give us the Personal Information; (b) consent on their behalf to the Processing of their Personal Information, specifically any cross-border transfer of Personal Information into and outside the country where the products or services are provided; and (c) receive any privacy notices on their behalf.

You consent to us Processing your Personal Information:

- to provide products and services to you in terms of this agreement and any other products and services for which you may apply;
 - to carry out statistical and other analyses to identify potential markets and trends, evaluate and improve our business (this includes improving existing and developing new products and services);
 - in countries outside the country where the products or services are provided. These countries may not have the same data protection laws as the country where the products or services are provided. Where we can, we will ask the receiving party to agree to our privacy policies;
 - by sharing your Personal Information with our third-party service providers, locally and outside the country where the products or services are provided. We ask people who provide services to us to agree to our privacy policies if they need access to any Personal Information to carry out their services; and within the FirstRand Bank Group
3. You will find our Processing practices in the Group's and our privacy statements. These statements are available on our website or contact our data privacy officer on dataprivacyofficer@rmb.com.ng.
 4. If you are unsure about your tax or legal position because your Personal Information is processed in countries other than where you live, you should get independent advice.

Marketing and Promotion

Provided you have agreed to the above Data Protection Clause, we may use your personal or other information to share information with you on new products and services that may be of interest to you and from time to time will mail, email or SMS information to you about us, our products and services, or our partners and their products and services. If you do not wish to continue receiving this information, you may contact us and request that we delete you information from our mailing list.

Authorized Signature

Authorized Signature

Name of Authorized Signatory

Name of Authorized Signatory

Date

Date

INDIVIDUAL ACCOUNT OPENING FORM



**NIGERIA
STOCKBROKERS**

KYC REQUIREMENTS FOR INDIVIDUAL CLIENTS			
1	Account Opening Package	Duly completed RMBNS Account Opening Form (AOF)	
		Clear passport-size photograph for each authorized signatory	
		Bank Verification Number (BVN) for authorized signatories	
		Copy of valid means of ID (International passport, driver's license or national ID card) for individual or authorized signatories in case of joint account	
		Evidence of residential address (not older than 3 months)	
		Valid Residence permit (for non-Nigerians)	
2	FATCA Declaration form Common Reporting Standard (CRS) Self Certification	The Foreign Accounts Tax Compliance Acts form must be completed	
		The CRS self-certification form must be completed	