



Please tick category of Account

Individual Joint

Title:	Surname:
First Name:	Middle Name:
Gender: Male <input type="checkbox"/> Female <input type="checkbox"/>	Date of Birth:
Place /Country of Birth:	State/Local Govt Area of Origin:
Marital Status: Single <input type="checkbox"/> Married <input type="checkbox"/> Others:	
Wedding Anniversary (If Married):	
Mother's Maiden Name:	
Residential Address:	
Mailing address:	
Mobile Phone Number:	Alternative Phone Number:
Personal Email Address:	
ID Type: International Passport <input type="checkbox"/> Driver's License <input type="checkbox"/> National ID Card <input type="checkbox"/> Specify if Others:	
EMPLOYMENT INFORMATION	
Employment Status: Employed <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Others:	
Occupation/Employment Industry:	
Name of Company:	
Address of Company:	
Period With Current Employer:	
Official Website/Telephone Number:	/
BANK ACCOUNT INFORMATION	
Name of Bank:	Branch/Sort code:
Account Name:	
Account Number:	Bank Verification Number:
Date of Opening of Bank Account:	
Do you opt for Direct Settlement into your Bank Account? YES <input type="checkbox"/> NO <input type="checkbox"/>	
DETAILS OF NEXT OF KIN	
Title:	Surname:
Other Names:	
Gender: Male <input type="checkbox"/> Female <input type="checkbox"/>	
Relationship with Next of Kin:	
Email Address of Next of Kin:	
Phone Number of Next of Kin:	
Contact Address of Next of Kin:	
QUESTIONNAIRE (Please ensure this section is well completed)	
Source(s) of fund:	
Annual Average Income:	
Purpose of Investment:	
Have you held any political position:	
Do you have any relative or close associate occupying/occupied a political position:	

For Joint Account Holder Only

Name of Account:		Affix Passport	
Name of Joint Account Holder:			
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: <input type="checkbox"/>
Wedding Anniversary (If Married) :			
Mother's Maiden Name:			
Residential Address:			
Mailing address:			
Mobile Phone Number:		Alternative Phone Number:	
Personal Email Address:			
ID Type: International Passport <input type="checkbox"/>			
Driver's License <input type="checkbox"/>			
National ID Card <input type="checkbox"/>			
Specify if Others: <input type="checkbox"/>			

Client's Signature

Please tick as appropriate signatory (ies) for transaction on account

Sole Signatory Either Signatory Both Signatory

Client's Name

Client's Name

For Minor Only

Name of Parent/Guardian:

Date of Birth: Gender: Male Female

For Official Use

Documentation Status: Complete Incomplete

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

Relationship Officer

Supervisor

Internal Control

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 CESU 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.

IMPORTANT NOTICE

In line with regulatory efforts to combat Terrorism Financing and Money laundering, we are obliged to request, verify and record necessary KYC information that helps us identify our potential and existing clients on an on-going basis. To this effect, you are required to supply true KYC information that would help us know you better.

In addition, any fund transfer, lodgement or transaction in excess of N 5,000,000 or its equivalent for individuals and N10,000,000 in the case of corporate body shall be reported within 7 days to the Nigerian Financial Intelligence Unit (NFIU) and related regulatory body as required.

DULY EXECUTED BY.....

(The client 1)/Signatory

DULY EXECUTED BY.....

(The client 2)/Signatory