



BROKERAGE SERVICES
(Member of The Nigerian Stock Exchange)

ACCOUNT OPENING FORM (INDIVIDUAL)

TO BE COMPLETED IN BLOCK LETTERS

8, Asaba Close Opp. Nicon Luxury Hotel Area 11, Garki-Abuja
+234 813 705 8301, +234 809 044 4477, +234 803 592 3214
info@dsbs.com.ng | www.dsbs.com.ng

Client Account Number

Prof. Dr. Mr. Mrs. Ms. Alhaji Hajia Rev.

Surname First Name

Middle Name Mother's Maiden Name.....

Occupation Date of Birth ____/____/____

Postal Address

Residential Address

State Of Origin LG/Town

Source of Income Personal Savings Salary Inheritance/Gift

Knowledge of Investment: Low Moderate High

Risk Attitude: Low Moderate High

Contact Person in DSU (If any):

Landline Mobile Fax

National ID/Passport/Drivers License No: Place of Issue ____/____/____

Mode of Payment for Purchase: Cash ____ Cheque ____ Date of Issue ____/____/____

Email

Residential Status:

(Tick where applicable) Resident Nigeria Resident Foreigner
 Non Resident Nigerian Non Resident Foreigner

Account Statement

Send Statement by (tick where applicable) Email Post Hold

Dividend Mandate

Bank Post

Payment Mode Bank Account Direct Cash Settlement

Bank Information

A/C No

A/C Name

Name of Bank Branch

Account Opening Date: BVN.....

For 2nd Joint Account Holder (Optional)

Title Surname First Name

Middle Name(s) Previous Name(s)

Tel: Landline Mobile Fax

National ID/Passport/Drivers Licence/NHIS/Voters ID No

Place of Issue Date of Issue

I/We hereby

Declaration:

- i. Request to open and maintain an account for securities in my/our names
- ii. Affirm that all information on the form are correct
- iii. Undertake to notify DSU Brokerage Services Limited of any change of particulars or information provided by me/us in this form.

Name Signature Date

Name Signature Date

Particulars of Next of Kin

Full Name Mobile

Relationship with applicant

Address

Required Supporting Documents:

1. Two Passport Photographs
2. Means of Identification (Driver Licence, National ID, Voters Card, International Passport)
3. Utility Bill (PHCN, Water bill, Tenancy Agreement)
4. Other Requirement by the management

Our Execution Policy

- DSU Brokerage Services Limited's (DSU) offices are open for business between the hours of 8 a.m. and 5 p.m. on each day that is designated a business day in Nigeria ("business day").
- The deadline for the receipt of clients' mandates via all channels is 8 a.m. on the intended business day of execution
- Amendments/cancellation of mandates can be done via either the online brokerage account or via e-mail to info@dsbs.com.ng. This is also subject to the deadline in (3) above.
- Mandates / amendments /cancellation received on a day that is not a business day will be deemed to have been received on the business day immediately following the day of actual receipt.
- Where a mandate consists of a purchase instruction, it can only be treated if sufficient funds are available in the client's stockbroking account to execute such an instruction.
- DSU is acting as execution-only stockbroker and not financial advisors or portfolio manager. Consequently, DSU will only execute BUY and SELL mandates given by the client on the floor of The Nigerian Stock Exchange.
- DSU executes transactions based on the ruling market prices of stocks on The Nigerian Stock Exchange at the time of execution.
- DSU executes mandates on a best effort's basis only. It is therefore unable to guarantee that a mandate will be executed on a particular day even where such mandate indicates that the relevant transaction is to be affected at "market price".
- All sales proceeds of stocks sold shall be retained in the client's stockbroking account except if otherwise advised (expressly) by the client.
- Funds deposited into client's stockbroking account with DSU including retained proceeds of sales is not interest bearing. A client's fund will remain in the client's stockbroking account until an express instruction/mandate is received authorizing the utilization of the fund.
- Where an inter-bank withdrawal/transfer instruction has not been concluded within the period stipulated above, it is the client's responsibility to request for an evidence of execution of the interbank transfer from DSU and to follow up with the receiving bank. DSU shall in no circumstance be held liable for the lapses of other institutions involved in the withdrawal/transfer process.
- Requests to withdraw funds from client's stockbroking account will only be honored if there are adequate cleared and unencumbered funds in the client's stock broking account with SISL. Associated transfer charge(s) for interbank transfers will be borne by the client.
- DSU shall not make any payment from a client's stockbroking account to a 3rd party even if such payment has been authorized by the account holder.
- DSU can be contacted via e-mail: info@dsbs.com.ng, telephone: +234 (0) 8090444477, (0)8137058301.
- The preferred channel for receiving clients' mandates is through the secure on-line brokerage account which can be accessed via www.dsbs.com.ng. Mandates can also be sent to the dedicated email address for mandates via info@dsbs.com.ng or submit @ our office address.
- In the absence of an express instruction as to a specific timeline for the expiration of DSU, clients' mandates, the mandate will be valid for 10 working days upon receipt by after which it expires and the unexecuted portion will be automatically cancelled.
- Where mandates/amendments/cancellations are submitted after the deadline stated in (3) above, the mandates/amendments/cancellations may not be treated until the next business day.
- 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 sale mandate will be executed even if the stocks to purchase are not available.
- Buy and sell mandates can only indicate one price and not a price range. You will be advised of the outcome of your mandate via e-mail. Where this is not received by close of business on the next working day after you submitted your mandate, kindly contact DSU via email to info@dsbs.com.ng
- Withdrawal/transfer instructions should be sent via e-mail to info@dsbs.com.ng. Intra-bank and Inter-bank withdrawal/transfer instructions are to be executed within 24 hours and 48 hours respectively upon submission of the instructions and where the client's account is not credited with the requested amount within the stipulated period, the client is required to notify DSU via e-mail to info@dsbs.com.ng
- The deadline for the submission of withdrawal/transfer instruction is 10a.m on business days for inter-bank withdrawal/transfer and 3.00pm on business days for intra-bank withdrawal/transfer and any instruction submitted after the deadline may not be treated until the next business day.
- I/We understand that all mandates, amendments, cancellations, transfer and withdrawal requests sent after the specified deadlines may not be treated till the next business day as specified above. DSU is not under any compulsion to treat any of the referenced instructions sent after the deadlines; however, in event that such instructions are treated despite having been received after deadline by DSU, the instructions shall be binding upon me/us.

Confirmation

I/We hereby confirm that I/We have read and agree to be bound by the above terms and conditions and indemnity.

Name of Account Holder:

Signature of Account Holder.....

Names of Joint Account Holder:

Signature of joint Account holder:.....Dated.....this..... Day

of.....20.....