



ইসলামী ব্যাংক সিকিউরিটিজ লিমিটেড
ISLAMI BANK SECURITIES LIMITED
(ইসলামী শরিয়াহ্ মোতাবেক পরিচালিত)
(ইসলামী ব্যাংক বাংলাদেশ পিএলসি এর সহযোগী প্রতিষ্ঠান)

ACCOUNT OPENING FORM

Name of Account Holder _____

BO Account No.

| | | | | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|--|--|--|--|--|--|--|--|--|--|--|--|
| 1 | 6 | 0 | 3 | 7 | 0 | 0 | 0 | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|--|--|--|--|--|--|--|--|--|--|--|--|

Name of Joint Account Holder _____

Client Code _____ [Account Opening Date:]

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| D | D | M | M | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|

“শেয়ার বাজারে বিনিয়োগ ঝুঁকিপূর্ণ, জেনে ও বুঝে বিনিয়োগ করুন”

REQUIRED DOCUMENTS

List of Required Documents for Individual/ Joint Account

| | | |
|-----------------------------------------------------------------------------------------|----------|----------------------|
| 1. Two copies of passport size photograph (1 st Applicant) | Yes / No | <input type="text"/> |
| 2. Two copies of passport size photograph (2nd Applicant) | Yes / No | <input type="text"/> |
| 3. Photocopy of applicant National ID card/Passport | Yes / No | <input type="text"/> |
| 4. Bank Statement/ photo copy of Cheque Leaf. | Yes / No | <input type="text"/> |
| 5. Two copies photograph of nominee (duly attested by A/C holder) | Yes / No | <input type="text"/> |
| 6. Two copies Photograph of authorized/POA, duly attested by A/C holder (If needed) | Yes / No | <input type="text"/> |
| 7. National ID card/ Passport of nominee/ authorized/POA. (duly attested by A/C holder) | Yes / No | <input type="text"/> |

List of Required Documents of Bangladeshi Institutions

| | | |
|---------------------------------------------------------------------------------------|----------|----------------------|
| 1. Photocopy of Memorandum and Articles of Associations (duly attested) | Yes / No | <input type="text"/> |
| 2. Photocopy of Certificate of incorporation (duly attested) | Yes / No | <input type="text"/> |
| 3. Photocopy of Valid Trade License | Yes / No | <input type="text"/> |
| 4. Photocopy of Board resolution to open the account and authorization for operation. | Yes / No | <input type="text"/> |
| 5. List of authorized signatories along with address. | Yes / No | <input type="text"/> |
| 6. Two copies of passport size photographs of the CEO/ MD/ Chairman (duly attested) | Yes / No | <input type="text"/> |
| 7. Two copies of passport size photographs of authorized person (duly attested) | Yes / No | <input type="text"/> |
| 8. Bank Statement/Photocopy of Cheque Leaf | Yes / No | <input type="text"/> |

List of Required Documents of Non-Resident Bangladeshi (Individual & Joint Account)

| | | |
|--------------------------------------------------------------------------------------------------------------------------------------|----------|----------------------|
| 1. Two copies passport size photograph (1st Applicant). | Yes / No | <input type="text"/> |
| 2. Photocopy of Passport (with valid visa) (1st Applicant). | Yes / No | <input type="text"/> |
| 3. Copy of Service agreement with the employer/Work permit/Residence Permit/Social Security Card/ Business documents. | Yes / No | <input type="text"/> |
| 4. Foreign Currency (FC) Bank account certificate containing name of the applicant, name of father & mother and bank account number. | Yes / No | <input type="text"/> |
| 5. Two copies passport size photograph of the Nominee(s), (Attested by account holder) | Yes / No | <input type="text"/> |
| 6. Two copies passport size photograph of authorized & POA (attested by account holder) | Yes / No | <input type="text"/> |
| 7. Two copies passport size photograph of 2nd applicant (attested by account holder at the back) | Yes / No | <input type="text"/> |
| 8. Photocopy of Passport (with valid visa of 2nd applicant). | Yes / No | <input type="text"/> |

List of required documents (Proprietorship)

| | | |
|-----------------------------------------------|----------|----------------------|
| 1. Copy of Valid Trade License | Yes / No | <input type="text"/> |
| 2. NID Copy & photograph of Contact Person | Yes / No | <input type="text"/> |
| 3. Bank statement / Photo copy of Cheque Leaf | Yes / No | <input type="text"/> |

List of required documents (Partnership)

| | | |
|----------------------------------------------------------------------------------|----------|----------------------|
| 1. Copy of Valid Trade License | Yes / No | <input type="text"/> |
| 2. Partnership Deed. | Yes / No | <input type="text"/> |
| 3. NID Copy & photograph of Authorized Signatory attested by all the partners. | Yes / No | <input type="text"/> |
| 4. Partners letter of authority to open account and authorization for operation. | Yes / No | <input type="text"/> |
| 5. Bank statement/ Photo copy of Cheque Leaf. | Yes / No | <input type="text"/> |

List of required documents (Association /Trust/Society/ Provident Fund)

| | | |
|----------------------------------------------------------------------------------------------------------------------|----------|----------------------|
| 1. Trust Deed (for trust account only) duly attested | Yes / No | <input type="text"/> |
| 2. Photocopy of Constitution/by laws/Rules. | Yes / No | <input type="text"/> |
| 3. Photocopy of Certificate of registration | Yes / No | <input type="text"/> |
| 4. List of members of the governing bodies along with addresses. | Yes / No | <input type="text"/> |
| 5. Reorganization letter from NBR (for Provident fund only) | Yes / No | <input type="text"/> |
| 6. Bank Statement /Photo copy of Cheque Leaf | Yes / No | <input type="text"/> |
| 7. Photocopy of Board Resolution of governing body to open the account and authorization for operation (Company pad) | Yes / No | <input type="text"/> |
| 8. Photocopy of TIN Certificate | Yes / No | <input type="text"/> |
| 9. List of authorized signatories along with addresses. | Yes / No | <input type="text"/> |
| 10. NID Copy & Photograph of authorized person (duly attested) | Yes / No | <input type="text"/> |



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Islami Bank Securities Limited

20, Dilkusha C/A (5th Floor), Dhaka-1000
Corporate TREC: DSE No. : 107 & CSE No.: 146
SEC Reg No. : 3.1/DSE-107/2010/431 & 3.2/CSE-146/2011.265

Photograph of
MD/CEO with
attestation of
the Introducer

FORM-II

CUSTOMER ACCOUNT OPENING FORM

(For the Company or Institutional Account)

[To be filled by the Applicant]

Customer Account No.....

BO Account No. :..... Account Type: Cash Margin

Date

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| D | D | M | M | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|

Incorporation Status of the Company/Institution (Please tick mark):

Bangladeshi Foreign Other (Please Specify):.....

Type of the Company/Institution: Private Ltd. Public Ltd. NGO Others (Please Specify)

Name of the Company/Institution.....

Corporate Address:.....

Registered Address:.....

Incorporation Certificate No..... date.....

Business Commencement Certificate No.(if any)..... date.....

Trade License No..... date.....

TIN No.....

BIN No.(if any).....

VAT Registration Certificate No.....

Phone No.: Mobile No:..... E-mail Address:.....

Details of Managing Director/CEO:

Name of the Managing Director/CEO.....

Father's Name.:

Mother's Name

Spouse's Name :

Present/Contact Address.....

Permanent Address.....

Date of Birth:.....Sex: Male Female Nationality

National ID/Passport/Birth Certificate/Driving License Number.....

Phone No.: Mobile No:..... E-mail Address:.....

Whether the applicant is Officer or Sponsor/Director of any Broker/Dealer/ Exchange/ Depository/Clearing & Settlement Company/Listed Company? Yes..... No.

If yes, please mention the name & address of the Broker/Dealer/Exchange/ Depository/ Clearing & Settlement Company/ Listed Company with designation of the said officer or sponsor or director:.....

Signatory of the Account (if any):

| Particulars | Signatory- | Signatory-2 (if any) |
|-------------------------------------------|------------|----------------------|
| Name of the authorized signatory | | |
| Designation | | |
| Present/Contact Address | | |
| NID/Birth Certificate/ Passport Number | | |
| Phone Number | | |
| Mobile No. | | |
| Email Address | | |

Photograph of authorized Person(s)/ signatory(s) with attestation of the MD/CEO

Source of Fund details.....

Bank Account Details:

| | |
|-----------------------------|--|
| Account Number | |
| Bank Name | |
| Branch Name and Routing No. | |

Introducer Details:

| | |
|----------------|--|
| Name | |
| Account Number | |
| Mobile Number | |

.....
Signature of the Introducer with date

Account operating instruction:(1) Singly operated; (2) Jointly operated; (3) others (specify) Have any other Customer Account with any Stock Broker(s)? Yes.....No..... If yes, give details:.....

| Client Code NO. | BO Account No. | Name of Broker |
|-----------------|----------------|----------------|
| | | |
| | | |
| | | |

.....
Signature of MD/CEO with date

.....
Signature of the Authorized Person/signatory-1 (if any) with date

.....
Signature of the Authorized Person/signatory-2 (if any) with date

Processed by:

Checked by:

Approved by:

Name:.....

Name:.....

Name:.....

Designation:.....

Designation:.....

Designation:.....

Signature:.....

Signature:.....

Signature:.....

Date:

Date:

Date:

N.B.: Stock broker may require additional information, if necessary.

Note: In case of other type of applicant [if the applicant is a director/sponsor of a listed company or the applicant is a politically exposed person (PEP) or an Influential person (IP) or a Member of Senior Management of an International Organization] please use/fill-up individual/joint application form if the applicant is individual/joint person(s), but if the type of applicant(s) is a legal body corporate or institution, please use/fill up the company's or institutional application form.



BO Account Opening Form

Bye Law 7.3.3 (b)

Please complete all details in CAPITAL letters. Please fill all names correctly. All communication shall be sent only to the First Named Account Holder's correspondence address.

Application No.

Date (DDMMYYYY).

Please Tick whichever is applicable

BO Category : Regular Omnibus Clearing **BO Type :** Individual Joint Holder Company

| | | | | | | | | | | | |
|------------------------------------------------|-----------------|--------------------------------|--|--|--|--|--|--|--|--|--|
| Name of CDBL Participant (Up to 99 Characters) | | Islami Bank Securities Limited | | | | | | | | | |
| CDBL Participant ID | BO ID | | | | | | | | | | |
| 3 7 0 0 0 | 1 6 0 3 7 0 0 0 | | | | | | | | | | |
| | | | | | | | | | | | |
| | | | | | | | | | | | |

I / We request you to open a Depository Account in my / our name as per the following details:

1. First Applicant

Name in Full of Account Holder (Up to 99 Characters).....

Short Name of Account Holder (Insert full name starting with Title i.e. Mr. / Mrs. / Ms / Dr. abbreviate only if over 30 characters) Title i.e. Mr. /Mrs. /Ms. /Dr.

(In case of a Company/Firm/Statutory Body) Name of Contact Person

In Case of Individual Male Female

Occupation (30 Characters)

Father's/Husband's Name.....

Mother's Name.....

2. Contact Details:

Address.....

City..... Post Code..... State / Division Country..... Telephone.....

Mobile Phone..... Fax..... E-mail.....

3. Passport Details

Passport No..... Issue Place..... Issue Date..... Expiry Date.....

4. Bank Details

Routing Number..... Bank Account Number.....

Bank Name Branch Name District Name.....

Bank Identifier Code (BIC) SWIFT Code International Bank A/ C No.(IBAN).....

Electronic Dividend Credit: Yes No Tax Exemption if any: Yes No TIN/Tax ID

5. Others Information

Residency: Resident Non Resident Nationality..... Date Of Birth (DDMMYYYY)

Statement Cycle Code Daily Weekly Fortnightly Monthly Other (Please Specify)

Internal Ref. No (To be filled in by CDBL Participant)

National ID Card Number: Date of Registration (DDMMYYYY)

In Case of Company: Registration No.....

6. Joint Applicant (Second Account Holder)

Name in Full (Up to 99 Characters).....

Short Name of Account Holder (Insert full name starting with Title i.e. Mr. / Mrs. / Ms / Dr. abbreviate only if over 30 characters) Title i.e. Mr. /Mrs. /Ms. /Dr.

7. Account Link Request

Would you like to create a link to your existing Depository Account ? Yes No

If yes, then please provide the Depository BO Account Code (Last 8 Digits)

8. Nominees/ Heirs

If account holder(s) wish to nominate persons who will be entitled to receive securities outstanding in the account in the event of the death of the sole account holder / all the joint account holders, a separate nomination Form - 23 must be filled up and signed by all account holders and the nominees giving names of nominees , relationship with first account holder, percentage distribution and contact details. If any nominee is a minor, guardian's name, address, relationship with nominee has also to be provided.

9. Power of Attorney (POA)

If account holder(s) wish to give a Power of Attorney (POA) to someone to operate the account, a separate Form - 20 must be filled up and signed by all account holders giving the name, contact details etc. of the POA holder and a POA document lodged with the form.

10. To be filled in by the Stock Broker / Stock Exchange in case the application is for opening a Clearing Account

Exchange Name DSE Trading ID..... CSE Trading ID.....

11. Photograph

| | | |
|-------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------|
| Please paste recent passport size Photograph of 1st Applicant or Authorized Signatory in case of Limited Co. Only | Please paste recent passport size Photograph of 2nd Applicant or Authorized Signatory in case of Limited Co. Only | Please paste recent passport size Photograph of Authorized Signatory in case of Limited Co. Only |
|-------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------|

1 st Applicant or Authorized Signatory in case of Ltd Co.

2nd Applicant or Authorized Signatory in case of Ltd Co.

Authorized Signatory in case of Ltd Co. Only

12. Standing Instructions

I/We authorize you to receive facsimile (fax) transfer instructions for delivery. Yes No

13. DECLARATION

The rules and regulations of the Depository and CDBL Participant pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/We also declare that the particulars given by me/us are true to the best of my/our knowledge as on the date of making such application. I/We further agree that any false/misleading information given by me/us or suppression of any material fact will render my/our account liable for termination and further action.

| Applicant | Name of Applicant's | Signature with date |
|-------------------------------|---------------------|---------------------|
| First Applicant | | ✓ |
| Second Applicant | | ✓ |
| 3rd Signatory (Ltd. co. Only) | | |

14. Special Instructions on operation of Joint Account

Either or Survivor. Any one Can operate Any two will operate jointly

Account will be operated by _____ with any one of the others.

15. Introduction

Introduction by an existing account holder /employee of Islami Bank Securities Limited.
 Depository Participant's Name

I confirm the identity, occupation and address of the applicant(s)
 Introducer's Name

..... Account ID **1 6 0 3 7 0 0 0**

(Signature of Introducer)

Central Depository Bangladesh Limited (CDBL)
Depository Account (BO Account) opened with CDBL Participant
Terms & Conditions - Bye Laws 7.3.3(c)

CDBL Participant, Dhaka / Chittagong / Sylhet, Bangladesh

Dear Sir,

Please open a Depository account (BO Account) in my/our names(s) on the terms and conditions set out bellow. In consideration of **Islami Bank Securities Limited** (the "CDBL Participant") opening the account providing depository account facilities to me/us, I/we have signed the BO Account Opening Form as a token of acceptance of the terms and conditions set out bellow.

1. I/we agree to be bound by The Depositories Act, 1999, Depositories Regulations, 2000, The Depository (User) Regulations 2003, and abide by the Bye Laws and Operating Instructions issued from time to time by CDBL.
2. CDBL shall allocate a unique identification number to me/us (Account Holder BO ID) for the CDBL Participant to maintain a separate Account for me/us, unless the I/we instructs the CDBL Participant to keep the securities in an Omnibus Account of the CDBL Participant. The CDBL Participant shall however ensure that my/our securities shall not be mixed with the CDBL Participant's own securities.
3. I/we agree to pay such fees, charges and deposits to the CDBL Participant, as may be mutually agreed upon, for the purpose of opening and maintaining my/our account, for carrying out the instructions and for rendering such other services as are incidental or consequential to my/our holding securities in and transacting through the said depository account with the CDBL Participant.
4. I/we shall be responsible for:
 - (a) The veracity of all statements and particulars set out in the account opening form, supporting or accompanying documents;
 - (b) The authenticity and genuineness of all certificates and/or documents submitted to the CDBL Participant along with or in support of the account opening form or subsequently for dematerialization;
 - (c) Title to the securities submitted to the CDBL Participant from time to time for dematerialization;
 - (d) Ensuring at all times that the securities to the credit of my/our account are sufficient to meet the instructions issued to the CDBL Participant for effecting any transaction / transfer;
 - (e) Informing the CDBL Participant at the earliest of any changes in my/our account particulars such as address, bank details, status, authorizations, mandates, nomination, signature, etc.;
 - (f) Furnishing accurate identification details whilst subscribing to any issue of securities.
5. I/we shall notify the CDBL Participant of any change in the particulars set out in the application form submitted to the CDBL Participant at the time of opening the account or furnished to the CDBL Participant from time to time at the earliest. The CDBL Participant shall not be liable or responsible for any loss that may be caused to me/us by reason of my/our failure to intimate such change to the CDBL Participant at the earliest.
6. Where I/we have executed a BO Account Nomination Form
 - a) In the event of my/our death, the nominee shall receive/draw the securities held in my/our account
 - b) In the event, the nominee so authorised remains a minor at the time of my/our death, the legal guardian is authorised to receive/draw the securities held in my/our account.
 - c) The nominee so authorised, shall be entitled to all my/our account to the exclusion of all other persons i.e., my/our heirs, executors and administrators and all other persons claiming through or under me/us and delivery of securities to the nominee in pursuance of this authority shall be binding on all other persons.
7. I/we may at any time call upon the CDBL Participant to close my/our account with the CDBL Participant provided no instructions remain pending or unexecuted and no fees or charges remain payable by me/us to the CDBL Participant. In such event I/we may close my/our account by executing the Account Closing Form if no balances are standing to my/our credit in the account. In case any balances of securities exist in the account the account may be closed by me/us in one of the following ways:
 - (a) By rematerialization of all existing balances in my/our account;

- (b) By transfer of all existing balances in my/our account to one or more of my/our other account(s) held with any other CDBL Participant(s);
 - (c) By rematerialization of a part of the existing balances in my/our account and by transferring the rest to one or more of my /our other account(s) with any other CDBL Participant(s);
8. CDBL Participant covenants that it shall
- a) act only on the instructions or mandate of the Account Holder or that of such person(s) as may have been duly authorized by the Account Holder in that behalf.
 - b) not effect any debit or credit to and from the account of the Account Holder without appropriate instructions from the Account Holder.
 - c) maintain adequate audit trail of the execution of the instructions of the Account Holder.
 - d) not honour or act upon any instructions for effecting any debit to the account of the Account Holder in respect of any securities unless:
 - (i) Such instructions are issued by the Account Holder under his signature or that of his/its constituted attorney duly authorized in that behalf;
 - (ii) The CDBL Participant is satisfied that the signature of the Account Holder under which instructions are issued matches with the specimen of the Account Holder or his / its constituted attorney available on the records of the CDBL Participant;
 - (iii) The balance of clear securities available in the Account Holder's account are sufficient to honour the Account Holder's instructions.
 - e) furnish to the Account Holder a statement of account at the end of every month if there has been even a single entry or transaction during that month, and in any event once at the end of each financial year. The CDBL Participant shall furnish such statements at such shorter periods as may be required by the Account Holder on payment of such charges by the Account Holder as may be specified by the CDBL Participant. The Account Holder shall scrutinize every statement of account received from the CDBL Participant for the accuracy and veracity thereof and shall promptly bring to the notice of the CDBL Participant any mistakes, inaccuracies or discrepancies in such statements.
 - f) promptly attend to all grievances / complaints of the Account Holder and shall resolve all such grievances / complaints as it relate to matters exclusively within the domain of the CDBL Participant within one month of the same being brought to the notice of the CDBL Participant and shall forthwith forward to and follow up with CDBL all other grievances / complaints of the Account Holder on the same being brought to the notice of the CDBL Participant and shall endeavour to resolve the same at the earliest.
9. The CDBL Participant shall be entitled to terminate the account relationship in the event of the Account Holder:
- (a) Failing to pay the fees or charges as may be mutually agreed upon within a period of one month from the date of demand made in that behalf;
 - (b) Submitting for dematerialization any certificates or other documents of title which are forged, fabricated, counterfeit or stolen or have been obtained by forgery or the transfer whereof is restrained or prohibited by any direction, order or decree of any court or the Bangladesh Securities and Exchange Commission;
 - (c) Commits or participates in any fraud or other act of moral turpitude in his / its dealings with the CDBL Participant;
 - (d) Otherwise misconducts himself in any manner.
10. Declaration and Signature
- I/we hereby acknowledge that I/we have read and understood the aforesaid terms and conditions for operating Depository Account (BO Account) with CDBL Participant and agree to comply with them.

| Applicant | Name of Applicant's | Signature with Date |
|------------------------------------------|---------------------|---------------------|
| First Applicant | | ✓ |
| Second Applicant | | ✓ |
| 3rd Signatory (Ltd. co. Only) | | |



Islami Bank Securities Limited

20, Dilkusha C/A (5th Floor), Dhaka-1000
 Corporate TREC: DSE No. : 107 & CSE No.: 146
 SEC Reg No. : 3.1/DSE-107/2010/431 & 3.2/CSE-146/2011.265

BO Account Nomination Form

Please complete all details in CAPITAL letters. **Please fill all names correctly.** All communications shall be sent to the correspondence address of only the First Named Account Holder as specified in BO Account Opening Form -02.

Application No.....

Date

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| D | D | M | M | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|

| | | | | | | | | | | | | | | | | | | | | | |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|---|---|---|---|--|--|--|--|--|--|--|--|--|--|--|--|--|
| Name of CDBL Participant (Up to 99 Characters) Islami Bank Securities Limited | CDBL Participant ID <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td>3</td><td>7</td><td>0</td><td>0</td><td>0</td></tr></table> | 3 | 7 | 0 | 0 | 0 | | | | | | | | | | | | | | | |
| 3 | 7 | 0 | 0 | 0 | | | | | | | | | | | | | | | | | |
| Account holder's BO ID <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td>1</td><td>6</td><td>0</td><td>3</td><td>7</td><td>0</td><td>0</td><td>0</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table> | 1 | 6 | 0 | 3 | 7 | 0 | 0 | 0 | | | | | | | | | | | | | |
| 1 | 6 | 0 | 3 | 7 | 0 | 0 | 0 | | | | | | | | | | | | | | |
| Name of Account Holder (Insert full name starting with Title i.e. Mr. / Mrs. / Ms / Dr. abbreviate only if over 30 characters) <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"></table> | | | | | | | | | | | | | | | | | | | | | |

I / We nominate the following person(s) who is/are entitled to receive securities outstanding in my/our account in the event of the death of the sole holder / all the joint holders.

1. Nominee / Heirs Details

| | | | | | | | | | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|---|---|---|---|---|
| Nominee 1 | | | | | | | | | |
| Name in Full | | | | | | | | | |
| Short Name of Nominee (Insert full name starting with Title i.e. Mr. / Mrs. / Ms / Dr. abbreviate only if over 30 characters) <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"></table> | Title i.e. Mr. /Mrs. /Ms. /Dr. <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"></table> | | | | | | | | |
| Relationship with A/C Holder:..... | Percentage (%):..... | | | | | | | | |
| Address | | | | | | | | | |
| City..... Post Code..... State/ Division Country..... Telephone..... | | | | | | | | | |
| Mobile Phone..... Fax..... E-mail..... | | | | | | | | | |
| Passport No..... Issue Place..... Issue Date..... Expiry Date..... | | | | | | | | | |
| Residency: Resident <input type="checkbox"/> Non Resident <input type="checkbox"/> Nationality..... | Date of Birth (DDMMYYYY) <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table> | D | D | M | M | Y | Y | Y | Y |
| D | D | M | M | Y | Y | Y | Y | | |
| Guardian's Details (if Nominee is a Minor) | | | | | | | | | |
| Name in Full | | | | | | | | | |
| Short Name (Insert full name starting with Title i.e. Mr. / Mrs. / Ms / Dr. abbreviate only if over 30 characters) <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"></table> | | | | | | | | | |
| Relationship with NomineeDate of Birth of Minor (DDMMYYYY)Maturity Date of Minor(DDMMYYYY)..... | | | | | | | | | |
| Address | | | | | | | | | |
| City..... Post Code..... State/ Division Country..... Telephone..... | | | | | | | | | |
| Mobile Phone..... Fax..... E-mail..... | | | | | | | | | |
| Passport No..... Issue Place..... Issue Date..... Expiry Date..... | | | | | | | | | |
| Residency: Resident <input type="checkbox"/> Non Resident <input type="checkbox"/> Nationality..... | Date of Birth (DDMMYYYY) <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table> | D | D | M | M | Y | Y | Y | Y |
| D | D | M | M | Y | Y | Y | Y | | |



Islami Bank Securities Limited

Corporate TREC: DSE No. : 107 & CSE No.: 146
SEC Reg No. : 3.1/DSE-107/2010/431 & 3.2/CSE-146/2011.265

Terms and Condition

Article -1 General Terms

- 1-1 The client has absolute discretionary power to make investment decisions and may from time to time instruct the Authorised Representative (A/R) to make such investment(s) for and on behalf by the following means of communication:
- (a) Order Slip of Islami Bank Securities Limited
 - (b) Written instruction signed by the client
 - (c) Faxed instruction signed by the client
 - (d) Other evidence of order recorded through any electronic devices accepted by the Islami Bank Securities Limited
- 1-2 The means of Communication shall constitute evidence of orders made by the client to the A.R, which when executed shall be conclusive and binding on the client.
- 1-3 All instruction and orders made by the client over telephone or any other electronic and electrical devices shall be logged by the A.R in its system and such records shall be conclusive that the instructions have given by the client and the transactions so ordered or instructed shall be binding on the client.
- 1-4 Order by electronic transmission to the A.R shall be made at the risk of the Client and the A.R shall under no circumstance be held responsible for any loss due to non-transmission arising out of any electronic, electrical or mechanical fault
- 1-5 In case of telephonic and e-mail support, IBSL will only correspond to those number(s) and address that have been provided in the account opening form.
- 1-6 In case of telephonic order, Client/POA holder has to sign buy/sell order within 24 hours after the execution of his trade order.
- 1-7 If this is a Joint Account, unless the account holders notify Islami Bank Securities Limited otherwise and provide such documentation, as Islami Bank Securities Limited, may require, the brokerage customer account(s) shall be held by the account holders jointly with rights of survivorship (payable to either or survivor). Under these terms and conditions each joint account holder irrevocably appoints the other as attorney in fact to take all action on his or her behalf and to represent him or her in all respects in connection to this agreement. Islami Bank Securities Limited shall be fully protected in acting but shall not be required to act upon the instruction of either of the account holder, who shall be liable, jointly or severally, for any amounts due to Islami Bank Securities Limited pursuant to this agreement, whether incurred by either or both of the account holders. Unless and otherwise it is mentioned in case of joint account, both the account holder will be treated as equal partner and in case of death and any other accident the account balance will be divided equally to the joint account holders or their respective nominees, if any.
- 1-8 **Jumbo and Market Lots:** When an account holder wishes to sell stock, he/she must inform Islami Bank Securities Limited as to the format of the lot being sold, for example 5000 shares in 10's and 2000 in 5's (Jumbo lots are difficult to split with the company and so face a considerable discount to market price)
- 1-9 Investment Agreement has to be signed properly before availing Investment
- 1-10 The Account Holder must show his/her latest portfolio to A.R before placing an Investment
- 1-11 The client shall be eligible to purchase only securities approved by the Management in his/her Investment Account.
- 1-12 The Management may, as its discretion, from time to time add new securities to or remove existing securities from the list of approved securities
- 1-13 The client cannot sell any instrument until the instrument is sellable/matured
- 1-14 The client shall only be allowed to buy a particular instrument if he/she has purchase power to buy that instrument in his/her Investment Account.
- 1-15 The client has to sign pay in slip and trade confirmation after execution of his/her given order.
- 1-16 The A.R upon acceptance of an order shall undertake necessary steps to execute such orders of the client. If the Means of Communication is not satisfactory, the AR shall not be obliged to comply with such order but revert back to client for clarification.
- 1-17 If the value of an order of the client exceeds the purchasing power of the client, which will be determined by the available cash and Investment in the account, the A.R shall have the discretion either to reject the order or modify the order by reducing the order quantity and/or eliminating a specific order in his/her Investment Account.
- 1-18 The sole responsibility for making investment decision shall be on the client and the A.R will not make any discretionary investment decision for or on behalf of the client.
- 1-19 The AR shall under no circumstance be responsible or liable for any result whether adverse or otherwise of the investment decisions of the Client.
- 1-20 The client acknowledges that the A.R neither guarantees any rate of return nor profit from any investment to the client nor shall be responsible for any losses caused to the client due to fluctuations of the capital market.
- 1-21 The client may from time to time appoint or remove any person as Authorized Person/Power of Attorney holder to act on behalf of the client.
- 1-22 Such Authorized Person shall be able to do all acts and give instructions or orders for all transactions under this Agreement, including operating the account(s) of the client and shall be acting for and on behalf of the client or described in the power of attorney declaration by the client until he/she removed in the manner stipulated hereunder.
- 1-23 The A.R may act on the instructions of an Authorized Person until it actually receives written notice from the client of the removal of such Authorized Person and may in any event act on any instructions issued by the Authorized Person before the date of receipt of the written notice of such removal.
- 1-24 The client shall bear the full responsibility of the acts or omission of its authorized person. The A.R shall not be held liable for any irregularities or unauthorized acts committed by the Authorized Person including and not limited to, unauthorized placing of securities purchase/sale orders or withdrawal of fund/securities.
- 1-25 In case the client is a limited company, institution, association, trust or a firm, the signatories to this Agreement shall provide full corporate documents, including board approvals and shareholders' approval (if any) supporting the appointment of the Authorized Person prior to the agreement.
- 1-26 The client shall solely responsible for notifying the Bangladesh Securities and Exchange Commission and other concerned authorities in the case of acquiring substantial shares of a company and/or trading shares of companies in which the client holds Directorship or in other case where it is obligatory to notify the regulatory authorities.

Article - 2 Fees and Charges

- 2-1 The account holder will pay a brokerage commission of _____ (in words _____) and any other related expenses and charges that may from time to time be applicable. Every transaction concluded through and recognized by the DSE or the CSE is subject to transaction levies or other fees imposed by the DSE & CSE. The account holder understands that the rate of commission may be changed from time to time.
- 2-2 The account holder will pay a profit at the rate of _____ in his/her Investment account. The account holder understands that the rate of commission may be changed from time to time.

Article - 3 Nominee

- 3-1 In the event of death of the Client, the nominee(s) as prescribed by the Client in the application form shall be the only person(s) recognized by the Management as being entitled to the asset of the portfolio.
- 3-2 In case nominee(s) are not mentioned, the Management shall not be obliged to deal with any person or persons except any right, title or interest of any person unless such person is holding a valid succession certificate, probate or letter of administration covering the investment from a court of competent jurisdiction and subject to such further documents or evidence that the Management may require.

Article - 4 Notice

- 4-1 Any notice provided for in this Agreement shall be in writing and shall be first transmitted by facsimile transmission, and then confirmed by registered mail or courier service, in the manner as elected by the party giving such notice to the addresses provided in account opening form.
- 4-2 All notices shall be deemed to have been validity given on (i) the Business Day when the transmission was made, if transmitted by facsimile transmission, or (ii) the expiry of 3 (three) Business Day after posting if transmitted by registered mail or (iii) the Business Day of receipt, if transmitted by courier.
- 4-3 Any party may, from time to time, change its address or representative for receipt of notices provided for in this Agreement by giving to the other party, not less than 10 (ten) days prior written notice.
- 4-4 Client has to strictly follow the laws, rules and regulation of all the regulatory bodies
- 4-5 In case of deposit through cheque, the client cannot trade until his/her deposited cheque is matured.
- 4-6 In case of cash deposit, the client can deposit a maximum amount of Taka 05 (five) Lac cash to the respective bank referred by the Islami Bank Securities Limited in any given day.
- 4-7 In case of money withdrawal, Client has to submit a money withdrawal requisition slip to the Respective Department of Islami Bank Securities Limited. Islami Bank Securities Limited shall only issue A/C pay Cheque in the name of Account Holder BEFTN. No cash/cash cheque/fund transfer shall be allowed.
- 4-8 In case of issuance of Cheque to AP/POA Holder's name, client has to submit a Registered POA Agreement from 1st Class Magistrate. In this case, Islami Bank Securities Limited's decision will be full and final.
- 4-9 If any change(s) regarding account information, client must place a written request to the CEO/Managing Director of Islami Bank Securities Limited.
- 4-10 Client must check and verify all documents he/she receives from Islami Bank Securities Limited and make sure that those documents are duly signed by Authorized Person of the company. Once satisfied he/she should sign in those documents. If any documents is not duly signed by the Authorized Signature of any employee then client cannot make any complain against that particular document.

Article - 5 Termination of Agreement

- 5-1 This agreement shall continue in force until terminated by either party giving to the other not less than 30 (Thirty) Business Days' notice in writing provided that either party may upon serving written notice to terminate this Agreement in occurrence of any one of the following events:
 - (a) The other party is in breach of material terms of this Agreement, which shall not been remedied within 15 (Fifteen) days after serving of written notice requiring the breach to be remedied.
 - (b) The other party shall go into bankruptcy or liquidation, a resolution is passed for its winding up or a receiver or similar officer is appointed over any assets of the party.
 - (c) Occurrence of any other matter that causes permanent disability for the Manager to carry out portfolio management functions.

Article - 6 Governing law and jurisdiction

- 6-1 This agreement shall be governed by the law of Bangladesh.

Article -7 Miscellaneous

- 7-1 Islami Bank Securities Limited shall be fully authorized to modify or vary the terms and conditions contained herein for compliance with any prevailing or change of relevant laws relating to matters herein.
- 7-2 The Schedule(s) and any rider(s) attached hereto including the Account Opening Form, together with this Agreement shall constitute the entire Agreement between the parties hereto and supplement this Agreement.
- 7-3 This Agreement is or shall be in compliance with the Bangladesh Securities and Exchange Commission (BSEC) laws and such rules, regulations, notices or circular issued by the Bangladesh Securities and Exchange Commission from time to time.

I/we have read the terms and conditions contained herein above, and having agreed with such terms and conditions.

I/we put my/our/company seal and signature on this the.....day of.....20.....

| Applicant | Name of Applicant's | Signature with Date |
|------------------------------------------|---------------------|---------------------|
| First Applicant | | ✓ |
| Second Applicant | | ✓ |
| 3rd Signatory (Ltd. co. Only) | | |



KYC PROFILE FORM

(Filled by the Stock Broker)

Name of the Account Holder(s).....

B.O. Account Number.....

Customer Account Number.....

Occupation (with Joint Account Holder's, if any):

Name of MD/CEO (in case of Company or Institution or Firm):.....

Nature of Business (in case of Company or Institution or Firm):.....

Describe in detailed as to whether the account holder (the individual/ institution /company) is a director/ sponsor of a listed company or he/is is a Politically exposed person (PEP) Influential Person/Member of Senior Management of an International Organization.

Source of Fund:.....

Approximate amount of Daily/Monthly/Annual transactions:

Describe in detailed, how source of fund was verified:.....

Details of Information/Documents of the Account Holder(s):

| Sl. | Nature of Documents | Number | Photocopy Obtained | | Applicable for |
|-----|-----------------------------------------|--------|--------------------|----|-----------------------------------------------|
| | | | Yes | No | |
| 1 | National ID | | | | Individual (if any) |
| 2 | Passport | | | | Individual (if any) or NRB or NR or Foreigner |
| 3 | Visa/Residential Permit and Work Permit | | | | NRB or NR or Foreigner |
| 4 | Birth Certificate | | | | Individual (if any) |
| 5 | Driving License | | | | Individual (if any) |
| 6 | Bank Account with supporting document | | | | Individual or NRB or NR or Foreigner |
| 7 | NID/Birth Certificate/ Passport | | | | Nominee |
| 8 | NID/Birth Certificate/ Passport | | | | Authorized Person |
| 9 | Registration Certificate | | | | Firm/Company/Institution |
| 10 | Date of Incorporation | | | | Firm/Company/Institution |
| 11 | Memorandum of Association | | | | Company/Institution |
| 12 | Articles of Association | | | | Company/Institution |
| 13 | Trade License | | | | Firm/Company/Institution |
| 14 | TIN | | | | Firm/Company/Institution |
| 15 | VAT Registration | | | | Firm/Company/Institution |
| 16 | Particular of Directors | | | | Company / Institution |

Comments (if any):

.....
Signature of Account
Opening Officer with date &
Seal

.....
Signature of Authorized
Officer/ MD/CEO with date
& Seal

When was the information related to the Account last reviewed and updated? If any, details with comments:

.....
Signature of the Officer performing review
and update, with date & Seal