



OSBORNE CAPITAL MARKETS LIMITED

RC 1458060

2A Idanre Close, Osborne Foreshore Estate, Ikoyi, Lagos
Tel: 01-2914775 E-mail: info@ocmlng.com www.ocmlng.com

INDIVIDUAL ACCOUNT OPENING FORM

Kindly Affix Current
Passport Photograph

Section A: Personal Details

Name (Surname First):		CHN (If any):
Residential/Permanent Address:		Date of Birth:
Office Address:		
Place/Country of Birth:	Marital Status:	<input type="checkbox"/> Married <input type="checkbox"/> Single <input type="checkbox"/> Others
Email Address:	Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female	
Wedding Anniversary:	Phone No:	Mother's Maiden Name:
Nationality:	State of Origin (Nigerians Only):	L.G.A:

Kindly provide a copy of a recent utility bill in your name confirming the address above and attach a photocopy
(This could be PHCN, Water Bill, Waste Bill or Tenancy Agreement)

Section B: Bank Account Details

Bank Name:	Bank/Branch:
Bank Account Name:	Bank Account No:
Bank Verification No:	Date Account was opened:

NIN:

Section C: Means of Identification (Please attach photocopy)

ID Type (Tick One Please):	<input type="checkbox"/> International Passport	<input type="checkbox"/> Driver's License	<input type="checkbox"/> National ID Card
ID No:	Issue Date:	Expiry Date:	Place of Issue:

Section D: Next-of-Kin Details

Name:	Relationship:	
Contact Address:	Email Address:	Phone No:

Section E: For Minors Only

Parents / Guardians should please attach their valid means of identification and utility bill as well as their passport photograph

Name:	Date of Birth:	Gender:	<input type="checkbox"/> Male <input type="checkbox"/> Female
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Section F: Questionnaire

- (1) Have you ever had any political appointment at one time or the other? Yes No
If yes, please state the political office and date/period of occupying the position in the box below (i.e. from / to)

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- (2) Has any of your close relatives / associates occupied any political position? If yes, please give name of the person and the relationship you have with him/her.

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(2b) Kindly state the political office and date occupied (i.e. from / to)

(3) Sources of investment fund: Employment Business Others

(Please specify your source of income)

(4) Investment Risk Appetite: High Medium Low

(5) Purpose of Investment:
(Briefly state below your purpose of investing)

(6) Type of Employment: Business Public Sector Private Sector Military/Paramilitary

Employment Status: Full Time Part Time Retiree

(7) Settlement of Sales Proceeds: Direct CSCS Bank Settlement Credit To In-House Account

Declaration:

- (i) I hereby authorize Osborne Capital Markets Limited (OCML) to open an investment account for me using the above information provided by me in this form.
- (ii) I hereby authorize OCML to honor all instructions including but not limited to purchases/sales mandates, e-dividends/e-bonuses mandates, etc. emanating from me in writing or through my e-mail address as given in this form.
- (iii) I hereby confirm that I shall be solely responsible for all orders / transactions done in my name and on my account. Consequently, OCML and its officers, Directors and/or Employees shall have no liability, financial or otherwise, and/or suffer any damages arising from my decision/instruction on this account.
- (iv) I agree that any debit balance on my account shall attract interest at a rate to be determined by OCML, but not below MPR plus 4% per annum.
- (v) I agree to be bound by the terms and conditions governing the operation of this account.

Signature:

Date:

Witness Information

Name:

Occupation:

Address:

Signature/Date:



Osborne Capital Markets Limited. 2A, Idanre Close, Off Ogun Street, Osborne Foreshore Estate, Ikoyi, Lagos. Tel: 012914775

DECLARATION

- (I) That, I,hereby authorize OCML to open an Investment Account in my name and for me.
- (II) That OCML is hereby requested and authorized to act on my instructions with regard to any transactions on the Investment Account.
- (III) That all transactions between OCML and I shall be subject to the articles, rules and regulations of the Nigerian Stock Exchange (NSE), the Securities & Exchange Commission (SEC), the Investments and Securities Act (ISA) of 1999, and all further regulations/directives passed and as amended from time to time to regulate trades between the parties and to regulate broker/dealer activities.
- (IV) That my mandates shall be sent through written instruction(s) to OCML, and/or via a secured e-mail to mandates@ocmlng.com
- (V) That my mandates will only be executed if delivered to OCML through any of the aforementioned channels by/or before 8:00am on the intended business day of execution.
- (VI) That I can only make amendments/cancellations of mandates in writing delivered to OCML via a secured e-mail to mandates@ocmlng.com. This is also subject to the deadline stated in the above clause.
- (VII) That in the event that I submit mandates/amendments/cancellations after the deadline stated above, they may not be executed until the next business day.
- (VIII) That OCML executes mandates on a best-effort basis only. Thus, OCML does not guarantee that my mandate(s) will be executed on a particular day even where such mandate indicates that the relevant transaction is to be effected at "market price" or on a particular day.
- (IX) That my buy and sell mandates will only be executed based on the prevailing market prices of stocks on the Nigerian Stock Exchange at the time of execution and not a price range.
- (X) That my purchase mandates shall not be executed if sufficient funds are not available in my stockbroking account to meet the value of such transaction(s).
- (XI) That in the event that purchase mandate was erroneously executed in excess of my account balance, OCML has a duty to notify me with a view to regularizing my account without any loss to me
- (XII) That where my purchase mandate is dependent on proceeds of sale mandate(s), my purchase mandate will not be executed until the sale has been executed and proceeds settled into my account. Also, the sale mandate will be executed even if the stocks to be purchased are not available.
- (XIII) That all sales proceeds of stocks shall be retained in my investment account except if I advise otherwise in writing, provided that such express instruction(s) is/are not in favor of third parties.
- (XIV) That funds deposited in my investment account with OCML, including retained sales proceeds, are not interest bearing. The fund will remain in my investment account until I give an express instruction/mandate authorizing its utilization.

Name of Client

Signature

Date



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For Official Use Only

S/N	DOCUMENTS CHECKLIST	RECEIVED			
1	Receipt of passport photograph	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
2	Receipt of valid means of identification	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
3	Receipt of utility bill	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
4	Birth certificate (For Minors only)	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>

APPROVAL

DESIGNATION	NAME	SIGNATURE	DATE
Account Opening Officer			
InfoWARE Account Opening Personnel			
Chief Compliance Officer			
MD/CEO			



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