



OSBORNE CAPITAL MARKETS LIMITED

RC 1458060

(TRADING LICENSE HOLDER OF THE NIGERIAN EXCHANGE LIMITED)

2A Idanre Close, Osborne Foreshore Estate, Ikoyi, Lagos.

Tel: 0201- 2914775, Email: info@ocmlng.com. www.ocmlng.com

INDIVIDUAL ACCOUNT OPENING FORM

**AFFIX
CURRENT
PASSPORT
PICTURE**

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 Number:	Mother Maiden Name:
Nationality:	State of Origin (Nigerians Only):	LGA:

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

Section B: Bank Account Details

Bank Name:		Bank Branch:
Account Name:		Account Number:
BVN:	NIN:	Date Account was Opened:

Section C: Means of Identification (Attach a Copy)

ID Type (Tick One): <input type="checkbox"/> International Passport: <input type="checkbox"/> Driver's License: <input type="checkbox"/> National ID Card <input type="checkbox"/> Voters Card			
ID Number:	Place of Issue:	Issue Date:	Expiry Date:

Section D: Next of Kin Details

Name:	Relationship:
Email:	Phone Number:

Section E: For Minors

(Parents/Guardian should attach a copy of their valid means of Identification, Utility Bill and Passport picture)

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

- Have you ever held any political; appointment: Yes ☐ No ☐
If yes please state the political office and period which you held the office below
- Has any of your close relatives / associates occupied any political position: Yes ☐ No ☐
If yes please state the name of the person, the office and date occupied, and your relationship with the person
- Source Of Investment Fund: Employment ☐ Business ☐ Others ☐
(Specify Your source of Income)
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- Investment Risk Appetite: High ☐ Medium ☐ Low ☐
- Purpose of Investment:
- Type of Employment: Business ☐ Public Sector ☐ Private Sector ☐ Military/Paramilitary ☐
- Employment Status: Full-Time ☐ Part-Time ☐ Retiree ☐
- Average Annual Income (Naira): ☐ 1- 5 Million ☐ 5 – 10 Million ☐ Above 10 million
- Direct Cash Settlement of Sales Proceeds: ☐ To Stock Broking Account ☐ To Bank Account

Section G: Declaration

- That, I,..... hereby authorize OCML to open an Investment Account in my name and for me.
- That OCML is hereby requested and authorized to act on my instructions with regard to any transactions on the Investment Account.

- 3) That all transactions between OCML and I shall be subject to the articles, rules and regulations of the Nigerian Exchange Limited (NGX), 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.
- 4) That my mandates shall be sent through written instruction(s) to OCML, and/or via a secured e-mail to info@ocming.com
- 5) That all my communication and written instructions to OCML shall be via a secured e-mail to info@ocming.com
- 6) 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.
- 7) That I can only make amendments/cancellations of mandates in writing delivered to OCML via a secured e-mail to info@ocming.com. This is also subject to the deadline stated in the above clause.
- 8) 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.
- 9) 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.
- 10) That my buy and sell mandates will only be executed based on the prevailing market prices of stocks on the Nigerian Exchange Limited at the time of execution and not a price range.
- 11) 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).
- 12) 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
- 13) 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.
- 14) 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.
- 15) 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.
- 16) That no mandate will be executed on my account if my KYC documentation is incomplete or if my account has been inactive without any transactions for more than 3 years.

.....

SIGNATURE

.....

DATE

WITNESS INFORMATION

NAME

ADDRESS:

OCCUPATION:

DATE:

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			



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