



Account Number

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Account Name

Stockbroking Account
Opening form



STOCKBROKING

Zenith Securities Limited is the stockbroking arm of Zenith Capital Markets

Our services include:

- Stockbroker to primary issues
- Securities (equities & bond) trading
- Securities perfection
- Receiving agent on primary issues
- Research & performance analysis
- Investment advisory

Zenith Securities also provides Asset Management and Investment Advisory Services.

Our target market on stockbroking is restricted to individuals and institutional investors with a minimum investment of N5,000,000.00

Account Opening Requirements

1. Duly completed Account Opening Form
2. Two (2) clear recent passport-size photographs of each signatory to the account with their names and signature written on the reverse side
3. Identification of signatories: International Passport, Driver's license or National ID Card. (Originals to be sighted)
4. Public Utility Receipt: Tax Clearance Certificate (TCC), Electricity Bills, Water Bills or Telephone Bills bearing current address (Originals to be sighted)
5. Counter Party Agreement
6. Dividend Warrants Extraction Authority
7. Mandatory Initial Deposit

Additional Requirements for Corporate Accounts

1. Certificate of Incorporation (Original to be sighted)
2. Memorandum and Articles of Association (certified true copy) by the Registrar of Companies and a Director of the company
3. Form C02 CAC certified true copy (Original to be sighted)
4. Form C07 CAC Certified true copy
5. Board resolution appointing Zenith Securities Ltd. as the company's stockbroker/fund managers and including names of all signatories to the account and directors of the company in attendance. This must be executed under company seal.



Stockbroking Account Opening Form

Individual / Corporate Account

Surname / Company's Name: _____

Other Names (for individual applicant only): _____

Sex: Male Female Date of Birth: _____ Marital Status: _____

Date of Incorporation: _____ Incorporation Number: _____

Nationality: _____

Contact Address (Not P. O. Box): _____

Postal Address: _____

Telephone No: _____ Fax: _____ E-mail: _____

Identification: Please tick one (1) Driver's License (2) International Passport No (3) National ID Card

Mobile No _____ Occupation / Profession: _____

Employer's Name / Nature of Business: _____

Would you want to have access to your account on the web: Yes No

Would you like to have ZSL Market Reports sent to your mail box Yes No

Joint Applicant

Surname _____ Other names _____

Telephone: Mobile _____ Day time _____

Next of Kin Information:

Name: _____ Relationship: _____

Contact Address: _____

Investment Details

Initial Investment: (N) _____

Mode of Investment: Cheque/Draft Share Certificate Account Transfer

Authorized Signatory

Authorized Signatory

Date

While all information is treated as highly confidential, they may be required by the Securities and Exchange Commission and/or the Nigerian Stock Exchange.



COUNTER - PARTY AGREEMENT

I/We....., hereby authorize Zenith Securities Limited, hereinafter referred to as the ‘Company’, to dispose, sell or charge any asset(s) that may be held by the Company on my/our account to liquidate or offset any indebtedness or liability due from me/us to the Company and I/We hereby agree and shall at all time keep the Company and any of its Officers fully indemnified against any loss, claims, liabilities, expenses and costs (including reasonable legal cost) which may be incurred or suffered by the Company arising out of or in connection with any transaction entered into by the Company on my/our behalf.

My/Our undertaking herein shall be irrevocable until any and / or all obligations due from me/us to the Company would have been fully settled.

Full Names/Company’s Name:.....

Signature:

Signature:

Date:

(Please apply seal where applicable)

DIVIDEND WARRANTS EXTRACTION AUTHORITY

I/We hereby authorize Zenith Securities Limited, hereinafter referred to as, “the Company”, to make payments or receive value on assets held by the Company on my/our account in the form of dividends and other payment relating to any transaction or contractual agreement between both parties, on my/our behalf.

“The Company” is hereby authorized and/or empowered by me/us to lodge financial instruments or any other related kind in my/our name(s) into “the company’s” Bank Account,, and obtain value for same.

Full Names/Company’s Name:.....

Signature:

Signature:

Date:

Date:

(Please apply seal where applicable)

Official Use Only

S/No	Documents Obtained	In Place	Waiver
1.	Identification:		
	(a) International Passport		
	(b) Drivers License		
	(c) National ID Card		
2.	Passport Photographs		
3.	Verification of Signature		
4.	Signature Cards		
5.	Mandate		
6.	Public Utility Receipt/Invoice		
7.	Form C02 and C07		
8.	Memorandum and Articles of Association		
9.	Board Resolution for Account Opening		

Customer introduced by: _____
 Name & Signature

Relationship Officer: _____
 Name & Signature

Waiver approved by: _____
 Name & Signature

Approved by	Initial	Date
Legal Officer		
Compliance Officer		