



Plot 12292-972, Mabelebele Street, Racecourse, Maseru, Lesotho Tel: +266 59709178 / 53230700/ 68730055 | Fax: +266 242 745
879 info@katlehosecurities.com | www.katlehosecurities.com

INDIVIDUAL ACCOUNT OPENING FORM

Date: -----

Account Number: _____

Title Mr. Mrs. Ms. Dr. Prof.

Surname:

Full Name(s):

ID Number / Passport Number:

Profession:

Banking Details

Bank name:

Account Name:

Branch:

Account Type:

Account Number:

Currency:



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Supporting Documents Required:

1. Certified photocopy of ID card
2. Certified photocopy of passport (for non-resident clients)
3. Proof of Residence (e.g. utility bill)

Forms & Attachments received and checked by:

Name (on behalf of Katleho Securities (Pty) Ltd.

Date: _____



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ANT-MONEY LAUNDERING DECLARATION

1. Are you or have you been entrusted with a prominent public function?

YES

☐

NO

☐

If yes, please provide us with the exact title of the public function:

Description and role of the public function:

2. Are you related in terms of immediate family member or close associate to a natural person who is or has been entrusted with a prominent public function?

YES

☐

NO

☐

If yes, please provide us with the exact title of the public function as well as with the identity and your relationship with the involved natural person(s)

Surname, first name:

Relationship:

Description and role of the public function:



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3. In the past five years, has any action been brought against you or your institution resulting from violations of laws or regulations concerning money laundering or terrorist financing?

Yes ☐

No ☐

If Yes, please provide us with information concerning this action and the result of this action.



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MANDATE

1. Placement of Order:

- All buy and sell orders must be placed by way of the methods listed below:

- a) In writing or by fax
- b) By way of telephone followed by written confirmation
- c) Via email

2. Form of Payment:

- Settlement of shares to be done through client's local custodian.

3. Time of Payment:

- Settlement of trades to be done in accordance with the Maseru Securities Market settlement cycle, currently "T+3" - In the event of the settlement day falling on a public holiday, the next business day automatically becomes the settlement date.

4. Bona Fide Deliveries of Shares:

- The client warrants that all securities received from the client or its agent shall be free of any pledge or other encumbrance and be accompanied by documentation required for good delivery.

5. Safe Custody: -

KATLEHO SECURITIES does not offer any custody services. - Client should utilize custody services only from registered local custodians.

6. Client Master File:

- The client shall immediately advise KATLEHO SECURITIES in writing of any change to the client's address, contact numbers, email addresses, contact persons, bank account details, custodians and any other relevant information, failing which, KATLEHO SECURITIES shall not be liable for any loss occasioned directly or indirectly from such failure.



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7. Indemnity:

- Whilst KATLEHO SECURITIES shall use its best endeavours at all material times, the client shall have no claim for any loss resulting from the client's investment objectives, if any, not being satisfied or from the client relying and/or acting upon advice, information or opinions furnished by KATLEHO SECURITIES or its employees. - The client agrees and warrants that all persons authorized to give instructions to KATLEHO SECURITIES in terms of this mandate on behalf of the client shall be deemed to have all consents and authorities of the client to do so unless otherwise instructed in writing by the client.

I/We the undersigned

("the client"), hereby request and authorise Katleho Securities (Pvt) Ltd (KATLEHO SECURITIES) upon the specific instructions received from the client from time to time to purchase and/or sell securities and financial instruments (collectively, "securities") on behalf of, and for the account of the client and to take steps incidental thereto and generally, to act on the client's behalf as KATLEHO SECURITIES deems to be in the client's best interests but subject at all times to the Rules and Directives of the Maseru Securities Market and applicable legislation in force from time to time (collectively, "the Rules") and the terms of this mandate. To this end, KATLEHO SECURITIES is hereby instructed and authorized to open and operate in the name of the client an account as envisaged and governed by the Rules and the terms of this mandate. Words and phrases used in this mandate shall have the meanings assigned to them in the Rules. This mandate shall commence upon signature hereof and shall endure indefinitely until terminated upon 30 days written notice to that effect subject to all accrued rights and obligations.

Signature: _____

Represented By: _____

Date: _____

Place: _____