

Security Account No.:

BO ID :



**AB Securities Limited**

A Subsidiary of AB Bank Limited

*A TREC Holder of  
Dhaka Stock Exchange Limited & Chittagong Stock Exchange Limited*

*Registration No: 3.1/DSE-201/2010/419 & 3.2/CSE-101/2010/232*

## **CUSTOMER ACCOUNT OPENING INFORMATION FORM**

Name of the Account Holder : .....

Mailing Address (Present) : .....

.....

Phone No. : .....

E-mail. : .....

শেয়ার বাজারে বিনিয়োগ বুকিপূর্ণ  
জেনে ও বুরো বিনিয়োগ করান।



# AB Securities Limited

A Subsidiary of AB Bank Limited

A TREC Holder of  
Dhaka & Chittagong Stock Exchange Limited

Registration No: 3.1/DSE-201/2010/419 And 3.2/CSE-101/2010/232

## (TERMS AND CONDITIONS FOR OPENING A BROKERAGE ACCOUNT)

### DECLARATION

I/we the undersigned whose information is given in the Brokerage Application Form hereby request to be registered as a client of AB Securities Limited (here in after ABSL) and to open a brokerage account in my/our/company name. I/we further agree and comfirm that the account hereby requested to be opened by me/us shall be held and governed by the terms and conditions of this agreement as provided hereinafter and as may be modified from time to time by ABSL.

### TERMS AND CONDITIONS

**Instructions :** A written instruction shall be given to ABSL from time to time to purchase and/or sell Investments (which shall mean and include stocks, debentures, mutual funds and private placement) on behalf of the account holder on receipt of such instructions along with a case deposit or delivery of shares, ABSL shall, so far as ABSL considers it reasonably practicable, purchase and/or sell Investments in accordance with those instructions, provided always that (i) any such dealings do not contravene any applicable laws or regulations, (ii) ABSL shall have an absolute discretion to accept or reject purchase / sell instructions and (iii) account holder's instruction shall include the following details:

- ❖ The name of the Serip/Securities
- ❖ Quantity.
- ❖ Price with notification of limit or discretion.
- ❖ The duration of the order.
- ❖ The nature of the lot (i.e. scrip size) for sale or the desired format for purchase order (See Note).
- ❖ The order should specify completion formats of:
- ❖ All or partial fill with minimum trade value or number of shares.
- ❖ Mode of execution i.e. DVP (delivery versus payment)/NON DVP (non delivery versus payment).

(Note: The number of shares constituting a "market lot" may change. Sellers must include the exact format of their holding. This has a direct impact on market pricing given the predominantly retail nature of the market. Trades may fail where non-agreed lot sizes are delivered.)

**Joint Accounts :** If this is a joint account, unless the account holders notify ABSL otherwise and provide such documentation, as ABSL may require, the brokerage accounts(s) shall be held by the account holders jointly with rights of survivorship (payable to either or the survivor). Each joint tenant irrevocably appoints the other as attorney to take all action on his or her behalf and to represent him or her in all respects in connection with this Agreement. ABSL shall be fully protected in acting but shall not be required to act upon the instructions of either of the holder. Each of the account holders shall be liable, jointly and severally, for any amounts due to ABSL pursuant to this Agreement, whether incurred by either or both of the account holders.

**Risk :** The account holder understand(s) that the stock market is a rapidly changing market and that there is an inherent risk in incurring loss in share dealings.

**Limit Orders :** While ABSL will endeavor to purchase or sell the Investment within the limits of the prices that may be notified by the account holder. ABSL does not guarantee or assure that the transactions will be materialized within such notified limits. ABSL will always endeavor to obtain the best price.

**Dhaka and Chittagong Stock Exchange Rules :** All transactions duly concluded through and recognized by the Dhaka Stock Exchange Limited (hereafter DSE) and the Chittagong Stock Exchange Limited (hereafter CSE) are governed by the respective Rules of DSE and CSE relating to trading and settlement in particular and will be binding on both the parties concerned.

**Payment and Disclosure :** ABSL shall not be obliged to make any payment on behalf of the account holder. ABSL may disclose information regarding the account holder or his/her dealings in relation to this agreement to any department of any government or public body upon request, whether or not such request is in fact legally enforceable, and ABSL will not be liable in any way to account holder for so doing.

**Cancellation Provisions :** ABSL is authorized, in its discretion, should the undersigned die or should ABSL for any reason whatever deem it necessary for its protection, without notice, to cancel any outstanding orders in order to close out the accounts of the account holder, in whole or in part, or to close out any commitment made on behalf of the account holder.

**Indemnity :** In the event of a default, omission or act committed by ABSL as a broker/member of the DSE or as a broker/member of the CSE, the account holder shall be indemnified if and only as provided by the rules and Regulations of the DSE/CSE

**Confirmations and Statements :** ABSL shall use its best endeavors to provide the account holder with (a) written confirmation of each transaction it has effected on instructions; and (b) contract notes (in such form as ABSL shall determine) setting forth (i) details of the trade date, value date, Settlement date, quantity, price, commission rate and DSE Howla number or CSE equivalent provided also that the account holder does hereby agree and undertake to confirm in writing beforehand of all my instructions.

**Fees and Expenses :** The account holder will pay a brokerage commission of .....% 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 and CSE. The account holder understands that the rate of commission may be changed from time to time.

**Set-off :** ABSL shall be entitled to, in respect of all commissions, costs, charges or expenses, set off from any monies from time to time held by ABSL for the account holder and if such monies are insufficient for the purpose, to sell any Investments held by ABSL or any of its agents on behalf of the account holder.

**Termination :** This agreement will stand terminated;

7 days prior, written instruction of the Account Holder to the ABSL terminating this agreement or on the written instruction of the ABSL to the Account Holder for termination this Agreement. Termination shall not absolve the parties from completing accounts and adjusting any outstanding dues.

**Assignment :** The benefit and burden of this Agreement is capable of assignment by both the account holder and ABSL without the consent of the other but the notice of assignment must be given to the other in writing.

**Force Majeur :** ABSL shall not be liable for any losses, damages, expenses, costs or otherwise resulting directly or indirectly from any Government restriction, exchange ruling, suspension of trading, war, strike, national disaster or any other event or circumstances beyond its control.

**Forged Shares :** ABSL shall not be liable or responsible for any shares that are found to be forged. However, ABSL will make every attempt to replace the forged shares from the seller.

**Law :** The terms and conditions contained herein shall be governed by and construed in accordance with the laws of Bangladesh.

**Notices :**

(a) All notices, instructions or other communications shall be given English and in writing or orally (facsimile, telex, telegram, cable or letter E-mail) and shall be sent to ABSL and the account holder at the address, fax and/ or telex number shown herein or at such other address as may be communicated by the parties hereto in writing.

(b) Proof of delivery or dispatch shall be :

(i) In the case of a letter : dispatch of the letter duly stamped and addressed

(ii) In the case of facsimile, telex, telegram or cable on the day of dispatch.

(c) All oral notices, instructions or other communications should be confirmed in writing.

**Definitions :** Words defined herein save where a contrary meaning appears or such meaning is inconsistent with the context shall have this same defined meaning wherever used.

**Sums due :** For all purposes, including any legal proceedings, a certificate by any of ABSL officers confirming the monies and/ or liabilities for the time being due and/or incurred to by the account holder shall be conclusive evidence thereof against him/her.



# AB Securities Limited

A Subsidiary of AB Bank Limited

## Known your Customer (KYC)

(After filling this form it ahould be attached with main pan of Inrlrvdual and Corporate Account Opening Form)

Date         
D/D      M/M      Y/Y/Y/Y

Security A/C No.

BO ID.  1  2  0  3  7  1  0  0

### PARTICULARS CUSTOMER

Name :					
Relationship with the Account :	<input type="checkbox"/> 1st Applicant <input type="checkbox"/> 2nd Applicant <input type="checkbox"/> 3rd Applicant <input type="checkbox"/> Director <input type="checkbox"/> Partner <input type="checkbox"/> Minor <input type="checkbox"/> Attorney <input type="checkbox"/> Holder <input type="checkbox"/> Signatories <input type="checkbox"/> Others _____				
Father's Name :					
Mother's Name :					
Spouse Name :	No of Children _____				
Nationality :	National ID No _____				
Date of Birth :	Place of Birth _____ TIN No. (if any) _____				
Sex (Please <input checked="" type="checkbox"/> ) :	<input type="checkbox"/> Male	<input type="checkbox"/> Female			
Occupation (With Designation) :					
Passport No. (it any) :	Validity _____ Place of Issue _____				
Other Identrfication (if any) :					
Marital Status (Please <input checked="" type="checkbox"/> ) :	<input type="checkbox"/> Marred	<input type="checkbox"/> Single	<input type="checkbox"/> Widow	<input type="checkbox"/> Divorced/Separated	
Education (Please <input checked="" type="checkbox"/> ) :	<input type="checkbox"/> None	<input type="checkbox"/> Primary	<input type="checkbox"/> SSC/HSC	<input type="checkbox"/> Graduate/POSt Graduate	
Residence Status (Please <input checked="" type="checkbox"/> ) :	<input type="checkbox"/> Resident	<input type="checkbox"/> Non-Resgent			
Present Address (Residence) :	<input type="checkbox"/> Rented	<input type="checkbox"/> Own Private House	<input type="checkbox"/> Liuing Panner's House		
Permanent Address :					
Occupational Address :					
If Business, Please mention the Nature of Business :					
Contact :	Tele No.	Res	Office	Mo.	E-mail

### BO Account Name

Type of Account      Cash  Margin  NAB  Company  Status: Individual  Joint

Occupation

Business  Service  House Wife  Others (in details)

Natur of Business

(in case of Business)

Sources of Fund

Details Obtained      Yes  No

### Political Exposed Person (PEPS)

Local  Foreign

Approval obtained from Branch Manager

Yes  No

Customer(s) interviewed personally

Yes  No

### PREPARED BY A/C

Account opening officer Name

Signature

Date

Seal:

### VERIFIED BY CAMLCO/BAMALCO

Name

Signature

Date

Seal:

To

**MD / CEO**

AB Securities Limited  
WW Tower (6th floor)  
68, Motijheel C/A  
Dhaka-1000.

Photo

**LETTER OF AUTHORISATION**

Photograph of  
Authorized Person

Dear Sir

I/We.....s/o..... of  
..... hereby authorize Mr/Mrs.  
..... s/o ..... of

..... whose specimen signature is given below (hereinafter referred to as the "Account Operator") to exclusively deal, buy, sell, transfer shares, debenture / stocks, bonds and others securities on behalf of me with regard to the " Securities Account" opened and maintained in my name with AB SECURITIES LTD. (ABSL) submitted (hereinafter referred to as the "Broker")

I hereby authorize and instruct the "Broker" to deal, buy, sell, transfer shares, debenture stocks, bonds and other securities on verbal and/or written instructions of the "Account operator"

I also authorize the "Account Operator" to place buy/sell orders, receive confirmation notes, receive and deliver cheques/cash and/or shares other securities on my behalf with regard to my "Securities Account"

I hereby declare that I am fully aware of all consequences of transaction that may be carried out on my behalf by the "Account operator" and shall take responsibility for all such transaction as that of my own. I shall fulfill and abide by all rules and regulations described in the "Securities Account Opening Form" duly completed and signed by me with regard to all transaction carried out by the "Account Operator" without any demur or protest.

I hereby undertake and ensure to make good and compensate for any loss or damage incurred or sustained by the "Broker" for any reason whatsoever as a result of any transaction carried out by the "Account Operator"

Thank you

.....  
(Signature of the Account Operator)

Yours sincerely

( .....

.....  
(Attested by the Account Holder)

Date .....

Witnesses: 1. Signature : .....

2. Signature : .....

Name : .....

Name : .....

Address : .....

Address : .....



# AB Securities Limited

A Subsidiary of AB Bank Limited

শেয়ার বাজারে বিনিয়োগ বৃক্ষিপ্ত  
জেনে ও বুরো বিনিয়োগ করুন।

Registration No: 3.1/DSE-201/2010/419 And 3.2/CSE-101/2010/232

## APPLICATION FOR CREDIT FACILITY UNDER MARGIN RULE 1999

Security Account No. :

Beneficiary Owner Account No. :  1  2  0  3  7  1  0  0

**Name of the Applicant :** .....

Father's/Husband's/CEO's (In Case of Firm or Company) Name : .....

Mother's Name : .....

Present Address : .....

Permanent Address ; .....

Date of birth : ..... Age : ..... Sex : Male/Famale : .....

Nationality : ..... Occupation : ..... Phone no : .....

**Name of Joint Account Holder :** .....

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

Mother's Name : .....

Present Address : .....

Permanent Address ; .....

Date of birth : ..... Age : ..... Sex : Male/Famale : .....

Nationality : ..... Occupation : ..... Phone no : .....

**In case of Company :** Registration No : ..... Date of Retistration

Bank Name : ..... Branch : ..... A/C No : .....

In case of Joint Account, the Account will be oprated Jointly  Anyone can operate

I /We hereby declare the information given is true and correct.

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Signature of the Account Holder

Date : .....

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Signature of the Joint Account Holder

Date : .....

## **TERMS AND CONDITIONS FOR OPENING A MARGIN ACCOUNT**

### **1. DEFINITIONS**

- "BROKER" means AB Securities Limited. (ABSL) and include its successors and interest.
- "CLIENT" means applicant named in the application form and include its successors and interest
- "SECURITIES ACCOUNT" shall mean the account opened by the CLIENT with the BROKER to deposit/sell/buy securities with the Broker.
- "APPROVED SECURITIES" shall mean the securities purchased into the SECURITIES ACCOUNT.
- "PORTFOLIO VALUE" means total market value of all the stocks in the SECURITIES ACCOUNT.
- "MARGIN CALL" shall mean on request the "CLIENT" to deposit money or share to bring the Debit Balance below 50% of the Portfolio Value within 24 hours.
- "DEBIT BALANCE" shall mean the total value of cash owed by the CLIENT together with interest, brokerage and any other charges to the BROKER in the Client SECURITIES ACCOUNT for securities transaction into the said account.

2. The client would be required to submit an application to the broker/dealer for the Margin Trading Facility.
3. This facility granted under this account shall be a short term facility and shall be valid at the sole discretion of the Broker and repayable on demand of the Broker
4. The "broker" will have absolute discretion to accept or decline any security, against which credit facility is granted and shall reserve the right to make changes to their list of "approved securities" at any given moment
5. Only "Approved Securities" may be used as collateral for Margin Trading. A list of the "Approved Securities" which will be updated from time to time, will be available with the broker/dealer.
6. When a previously approved share is later disqualified from the approved list, it will be excluded from all subsequent margin calculations.
7. The client which is a legal person (i.e, Trust or Company) shall be allowed to commence Margin Trading, only when it shall submit copies of the relevant extracts of constitutional documents (i.e, certified copy Trust Deed or Memorandum and Articles of Association as the case may be) and a resolution that authorizes that specific entity and its representatives to conduct Margin Trading.
8. Client will be allowed to transfer shares to any clearing account or link B.O.account or withdraw fund from his B.O. account or security account provided that the client debit balance will remain below 50% of the portfolio value after the transaction.
9. The client's contribution of share will be deposited to the Security Account/ B O Account. The Last trade price of the security on the preceding market day shall be used to calculate portfolio value and should be updated on a daily basis.
10. Using the credit facility, the client may purchase quoted securities through the Broker into the "Security Account" to a maximum value as approved by the Securities and Exchange Commission under Margin Rule, 1999 or as approved by the Management of ABSL time to time following the guideline of Securities and Exchange Commission.
11. If Debit balance goes above 60% of portfolio value due to fluctuation in the market or any other event, ABSL will issue a "Margin Call" to the client. Margin Call could be written or via telephone call.

12. If client doesn't response to Margin Call, in that case ABSL will sell out whatever shares as the Broker see fit to regularize The "Debit balance" to 60% of the "portfolio value "(+/-5%) deviation accepted in case of adjustment) and the broker/dealer May act upon as the Attorney of the client in accordance with the terms thereof and in terms of the margin Rules.
13. If the "Debit balance" reach to 70% of portfolio value due to a sudden fall in the market or any other event then in such a case a case without any notice in that trading day or next 7(saven) working day, ABSL will sell out shares of any company what so ever as it sees fit to make the Debit Balance regularize. Any residual shares will remain in the account and will be available to client.
14. If the Client exceeds the value of the " Debit Balance" above the stipulated limit and/or violates any other terms and conditions / rules / requirements as laid down by the " Broker" or any regulatory authority from time to time, the Broker shall have absolute discretion at the "Clients's" risk to sell/buy any or all shares or securities of any Company whatsoever in the Client's " Securities Account" without any consent of any form from the Client in order to adjust the Debit Balance of the " Securities Account". In the event the Portfolio value of the " Securities Account" becomes inadequate to regularize the "Debit Balance", the Client shall be under obligation to make cash payment to settle any shortfall.
15. The Client shall pay brokerage commission for all transactions i.e. buy and sell, in the "Securities Account" The client shall also pay brokerage commission for all transactions carried out in order to regularize the "Securities Account" Rate of brokerage will be fixed by the "Broker" and can change from time to time.
16. In the "Securities Account" if client enjoy margin facilities, in that case, highest limit to a single account holder Should be 25% of last three month average net capital balance and to buy a single security, highest limit should be 100% of last three month average net capital balance.
17. "Broker" shall have the authority to give notice to the client to adjust the debit balance in "Securities Account" within 20 trading days for what ever reason which "Broker" reserves the right to divulge to Client. If client doesn't respond to such notice "Broker" shall have absolute discretion at the Client's risk to sell / Buy any or all shares or securities in any Company whatsoever in the Client's "Securities Account without any consent of any form from the client in order to adjust the Debit Balance of the "Securities Account"
18. "Broker" will charge clients account for any debit amount, calculated on a daily basis. Broker shall advice the interest rate to the client from time to time. Broker reserve the right to increase/decrease the interest rate by giving 7 trading days notices to Client.
19. The "Securities Account" will be fully operated (All Buy/Sell decisions) by the client at all times other than in the instance of "Broker" regularizing the account.
20. Trading will take place in the same way as with normal accounts i.e. either by giving written order, by
21. Interest rate on Margin will charge @.....per year which may be change time to time as decided by the Management. Interest on the margin trading facility is repayable on or before the end of every calendar month by way of depositing cash or adjustment in the security account.

## **22. Paying off Debit Balance**

To reduce or to pay off debit balance the client has to bring funds into the current account in either or both of following ways:

- a) By deposit funds directly to the client's Current Account.
- b) By selling securities in client's Security /BO Account and depositing sales proceeds to client's Security Account.

The proceeds will first be used to pay off the client's debit balance whatever is left will be given to the client

## **23. Security**

The shares or cash brought by the client together with shares purchased by using debit balance will be considered as collateral for the Margin Trading facility.

However, the shares brought by the client to cover Margin Requirement should meet following criteria:

- a) The shares should be acceptable to the broker/dealer
- b) The shares should be tradable in the DSE & CSE.
- c) The shares should possess reasonable liquidity.

The broker/dealer may also take additional securities as collateral from the client depending on the tradable demand of the client.

**24. The client hereby irrevocably authorizes the broker:**

- a) To deal with all the client's securities deposited in the "Central Depository System "(CDS) from time to time and at all times whatsoever independently and at the sole discretion of the broker/dealer as long as the client's liabilities in the repayment of all such facilities remain outstanding.
- b) To purchase and sell any such securities of the client deposited with "CDS" and to deal or negotiate with other Institution, engaged in the purchase of sale of any securities on the client's behalf and to deal with any other matters relating to the "Security /BO Account" with or without instructions given to the broker/dealer by the client and the client hereby agree that he/it shall at all times ratify and endorse such acts of the broker/dealer. The broker/dealer shall not be liable for any loss to the client directly or indirectly resulting from any such act of commission or omission.
- c) To debit the "Security Account" for any sums or sum of money being purchase price of marginable securities, broker's commissions, payments for rights and benefits in respect of marginal securities transaction fee, commission or for any payment whatsoever.
- d) To issue Pay Orders or Bank Drafts or Transfer Funds by any means to any person or persons and for any amount in respect of any transaction pertaining to the business averred herein.
- e) To deposit Cash, Cheque or other instruments into the "Security Account"
- f) Generally to do all things which the client is empowered to do in respect of the "Security Account"
- g) The client shall indemnify the broker in full and keep indemnified at all times against any losses, liabilities expenses and costs whatsoever incurred by the broker as a result of any such transactions
- h) Client further gives irrevocably power of attorney to the broker to sign CDBL pay in pay out instruction slip on behalf of the client as when required.
- i) To execute sell shares from client Security account and subsequently sign pay in instruction of situation arises.

**25. The Broker agrees with the client as follows :**

- a) Both the broker and Client's shall have the right of any time in its absolute discretion and without having to furnish any reason therefor to close the "Security Account" by giving one month prior written notice of closure to the client and any debit of the client security account (If any) will be adjusted as per rules 23 mentioned in the Terms & Conditions.
- b) The broker/dealer shall act directly as the agent of the client in respect of all dealing of marginable securities and the client shall remain principally liable for all dealings, negotiations and transactions entered into by the Broker on behalf of the client.
- c) To charge interest on all such amounts due and unpaid or spent on behalf of the client at rates determined by the broker with Statutory Levies and the Broker shall have the right to debit the "Security Account" with the same.
- d) Where the client is in default of payment of legal fees, stamp duty or other out of pocket expenses incurred by the broker, the broker shall have the right and discretion to recover such expenses from the client by debiting the Security Account.
- e) This agreement shall be binding on the parties hereto their successors, heirs, executors, administrators assigns of legal representatives.
- f) The terms and conditions shall not be altered, amended or modified except in writing by the duly authorized representatives of each party here to.
- g) This agreement shall be governed and construed by the laws of the Peoples Republic of Bangladesh.
- h) The client does hereby agree and irrevocably holds the broker indemnified, save and harmless against any losses, suits, claims and damages that the broker shall or may be caused, sustained, incurred, or suffered by reason in maintaining the client's accounts and using the Margin Trading Facilities in any manner whatsoever and/or acting on the instructions or requests, advices made or forwarded by way of telephone messages or Facsimile messages and/or by accepting electronic messages exchanged.

- i) In the event of the death of one of the joint account holder, the survivor; and on the death of sole account holder, the nominee or successor shall be the beneficiary of the transactions.

I/we hereby declare the information given is true and correct. I also read and understood the Terms and Conditions to the account and agree to abide by the same.

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Signature of the Account Holder

---

Signature of Joint Account Holder

**For office use only**

Date :

Margin account may be opened

Security Account No.

---

Signature of Dealing Officer

---

Signature of the Approving Authority



শেয়ার বাজারে বিনিয়োগ বৃক্ষিপূর্ণ  
জেনে ও বুরো বিনিয়োগ করুন।

A Subsidiary of AB Bank Limited

A TREC Holder of  
Dhaka & Chittagong Stock Exchange Limited

Registration No: 3.1/DSE-201/2010/419 And 3.2/CSE-101/2010/232

**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 (ddmm/yyyy) .....

Please Tick whichever is applicable

BO Category : Regular  Omnibus  Clearing BO Type : Individual  Joint Holder  Company Name of CDBL Participant (Up to 99 Characters) ..... **AB Securities Limited**

CDBL Participant ID BO ID

3 7 1 0 0

1

2 0 3 7 1 0 0

\_\_\_\_\_

Date Account Opened (DDMMYYYY)

\_\_\_\_\_

**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 ie 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 .....

Cell ..... Fax ..... E-mail .....

**3. Passport Details**

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

**4. Bank Details**

Bank Name ..... Branch Name ..... Routing No ..... Account No .....

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) .....

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 ( 8 Digits):

## **8. Nominees/Heirs**

If account holder(s) wish to nominate person(s) 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

Passport size Photograph of 1st Applicant or Authorized Signatory in case of Limited Co. Only	Passport size Photograph of 2nd Applicant or Authorized Signatory in case of Limited Co. Only	Passport size Photograph of Authorized Signatory in case of Limited Co. Only
--	--	--

1st 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 instruction 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/Authorized signatories in case of ltd Co.	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

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

**AB Securities Limited**

WW Tower (6<sup>th</sup> floor)  
68, Motijheel C/A  
Dhaka-1000.

Dear Sir,

Please open a Depository account (BO Account) in my/our names (s) on the terms and conditions set out below. In Consideration of AB 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 below.

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
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
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 genuiness 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 provide 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 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 accounts (s) held with any other CDBL Participants(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 Convents 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 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 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 Accounts 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 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 of transaction during that month, and in any event once at the end of each financial year, the CDBL Participant shall furnish such statement 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 satatement of account received from the CDBL Participant for the accuracy and veracity there of and shall promptly bring to the notice of the CDBL Participant any mistakes, inaccuracies or discrepancies in
- f) Promptly attend to all grievances/complaints of the Account Holder and shall resolve all such grievances / complaints as it relates to matters exclusively within the domain of the CDBL Participant within one month of the same being brought to the notice of then 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 dematerializaton any certificates or other documents of title which are forged, fabricated, counterfeit or stolen or have been obtained by forgery or the transfer where of is restrained or prohibited by any direction, order or decree of any court or the Securities
  - (c) Commits or participates in any fraud or other act of moral turpitude in his / its dealings with
  - (d) Otherwise misconduct's 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

Applicants	Full Name	Signature with Date
First Applicant		
Second Applicant		
Third Applicant		

## **LETTER OF AUTHORIZATION FOR PAY IN SECURITIES**

I/We do hereby authorize AB Securities Limited (ABSL) to treat my executed sale order of Securities as pay in instruction i.e. transfer from my Beneficiary Owner (BO) Account to AB Securities Limited (ABSL) clearing account.

I/We do further authorize AB Securities Limited (ABSL) to debit interest on margin A/C and all CDBL related fees & charges from my Securities Account.

Name of the Account Holder/s : 1)

2)

3)

Security Account No :

B. O Account No :  1  2  0  3  7  1  0  0

Signature of the Account Holder/s :

1)

2)

3)



# **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.

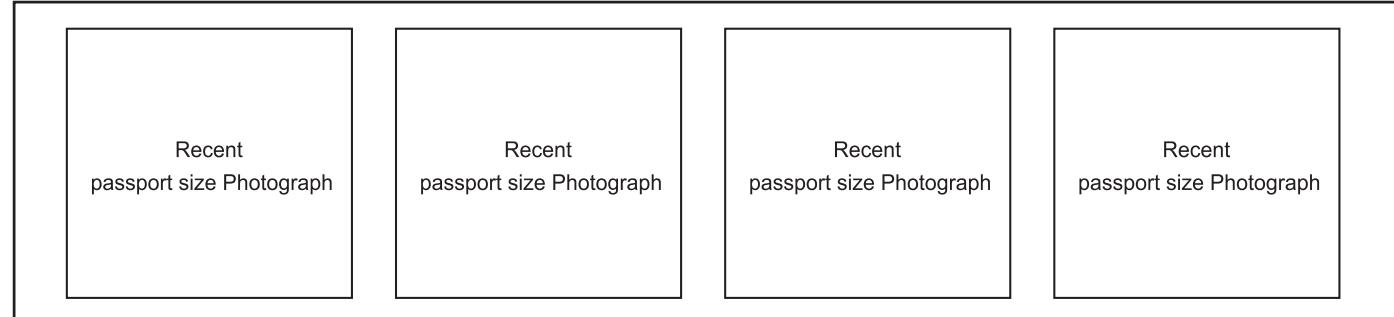
Name of CDBL Participant (Up to 99 Characters)	<b>AB Securities Limited</b>	CDBL Participant ID
.....		<b>3 7 1 0 0</b>
Account holder's BO ID	<b>1 2 0 3 7 1 0 0</b>	<b>  </b>
Name of Account Holder ( <b>Insert full name starting with Title i.e.Mr./Mrs./Ms/Dr, abbreviate only if over 30 characters</b> )		
<b>  </b>		

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**

<b>Nominee 2</b>														
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)													<i>Title i.e. Mr./Mrs.</i>	
<input type="text"/>													<input type="text"/>	
Relationship with A/C Holder .....													Percentage (%) .....	
Address .....														
City .....		Post Code .....		State/Division .....		Country .....		Telephone .....						
Cell .....		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)		<input type="text"/>						
<b>Guardian's Details (if Nominee is a Minor)</b>														
Name in Full														
Short Name (Insert full name starting with Title i.e.Mr./Mrs./Ms/Dr, abbreviate only if over 30 characters)														
<input type="text"/>														
Relationship with Nominee ....., Date of Birth of Minor (DDMMYYYY) ....., Maturity Date of Minor (DDMMYYYY) .....														
Address .....														
City .....		Post Code .....		State/Division .....		Country .....		Telephone .....						
Cell .....		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)		<input type="text"/>						

## 2. Photograph of Nominees/Heirs



Nominee/Heir 1

Nominee/Heir 2

Guardian 1

Guardian 2

	Name	Signature
Nominee/Heir 1		
Guardian 1		
Nominee/Heir 2		
Guardian 2		
First Account Holder		
Second Account Holder		



## **Power of Attorney (POA) 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 (DDMMYYYY) .....

Name of CDBL Participant (Up to 99 Characters)	<b>AB Securities Limited</b>	CDBL Participant ID
.....	.....	<b>3 7 1 0 0</b>
Account holder's BO ID	<b>1 2 0 3 7 1 0 0</b>	<b>  </b>
Name of Account Holder ( <b>Insert full name starting with Title i.e.Mr./Mrs./Ms/Dr, abbreviate only if over 30 characters</b> )	<b>  </b>	
<b>  </b>		

## **Power of Attorney Holder's Details**

Name in Full

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

<b>Power of Attorney Holder's Details</b>
Name in Full .....
Short Name of Power of Attorney Holder (Insert full name starting with Title i.e.Mr./Mrs./Ms/Dr, abbreviate only if over 30 characters) Title i.e. Mr/Mrs .....
.....

## **1. Power of Attorney Holder's Contact Details**

Address .....  
City ..... Post Code ..... State/Division ..... Country ..... Telephone .....  
Cell ..... Fax ..... E-mail .....

## **2. Power of Attorney Holder's Passport Details**

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

### **3. Others Information of Power of Attorney Holder**

Residency : Resident <input type="checkbox"/>	Non Resident <input type="checkbox"/>	Nationality .....	Date of Birth (DDMMYYYY) <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Power of Attorney Effective Form		<input type="text"/>	To <input type="text"/>
		D D M M Y Y Y Y	D D M M Y Y Y Y
<p>Remarks (Insert reference to POA document i.e. Specific POA or General POA etc.): ..... .....</p>			

**4. Photograph of Power of Attorney Holder**

	Recent passport Size Photograph
--	------------------------------------

(POA Holder)

**5. 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 applicants/Authorized signatories in case of ltd Co.	Signature with date
POA Holder		
First Applicant		
Second Applicant		
3rd Signatory (Ltd Co. only)		



## **LETTER OF UNDERTAKING**

I/We, the undersigned, do hereby execute this Letter of Undertaking in this the day of .....20 of the Christian Era, in favour of:

I/we the undersigned whose information is given in the Brokerage Application Form hereby request to be registered as a client of AB Securities Limited (here in after ABSL) and to open a brokerage account in my/our/company name. I/we further agree and confirm that the account hereby requested to be opened by me/us shall be held and governed by the terms and conditions of this agreement as provided hereinafter and as may be modified from time to time by ABSL.

I/We, the undersigned and executor of this Letter of Undertaking to hereby acknowledge, affirm and undertake the following:

1. That all shares securities and proceeds held in BO Account No         maintained by ME/US be kept as collateral in favor of ABSL as standing security for the repayment of any margin, charges, interest, fees other charges owed by me/us to ABSL,
2. That I/we have duly signed and executed Power of Attorney Form (Form 20). authorising and empowering the ABSL to carryout any kind of transactions in BO Account No        standing in my/our name(s).
3. That I/we have signed and executed the post dated cheque(s) referred to in the Schedule hereunder in favour of the ABSL for the purpose of repaying our outstanding investment liabilities, charges and other dues in connection to the BO Account.
4. That I/we acknowledge that the post dated cheque(s) has been executed and submitted in favour of the ABSL for the purpose of repayment of my/our outstanding dues and liabilities.
5. That in the event any one or more of the post dated cheque(s) are dishonored, the ABSL shall be fully entitled to initiate appropriate civil/criminal legal action against us including, but not limited, filing a suit under Negotiable Instrument Act-1882.
6. That the contents, undertakings and acknowledgements on my/our part under this Letter of Undertaking in favour of the ABSL shall not revocable by my/us until full settlement of all outstanding dues owed by me/us to the ABSL.

That this Undertaking of Lion shall be construed in accordance with and governed by the prevailing



# AB Securities Limited

A Subsidiary of AB Bank Limited

## KYC Profile Form Write in Block Letter

1. Customer Name : [15 boxes]

2. Father/Husband Name: [15 boxes]

3. Mothers Name : [15 boxes]

4. Present Address : .....

.....

5. Permanent Address : Thana/Upazila.....Union.....  
District/City..... Division..... Post Code.....

6. Occupation : Service  Business  Student  Others

7. Office/Work/Educational Institution/ Owners name and Address :  
Designation: Phone/Mobile: [15 boxes]

8. Date of Birth

9. Mobile Number : [15 boxes]

10. Gender : Male  Female

11. ID Type : National ID  Passport  Driving License  Others

12. National ID Number : [15 boxes]

13. Bank Account Details : Bank Name..... Branch.....  
Account Number.....

14. Introducer information : Name.....  
Address.....  
Phone/Mobile [15 boxes] T&T [15 boxes]  
Relation:..... ABSL Code:.....

15. Whether the address of the account holder is/are verified? Yes  No   
16. If reply is positive then mention the way of verification : By Courier  By Personal

---

Customer Signature

Dealer /Associate Signature

Introducer Signature

Office Use Only		BAMLCO	CAMLCO
	Customer Service		



AB Securities Limited

A Subsidiary of AB Bank Limited

First Account Holder															Stamp Size Photo
Name :															
Signature								Date							
	D	D	M	M	Y	Y	Y	Y	Y						

Joint Account Holder															Stamp Size Photo	
Name :																
Signature								Date								
								D	D	M	M	Y	Y	Y	Y	Y

Nominee												Stamp Size Photo		
Name : _____														
Signature						Date	D	D	M	M	Y		Y	Y

Authorized Person															Stamp Size Photo
Name : _____															
Signature _____ Date _____															

<input type="checkbox"/>	Cheque Collect	<input type="checkbox"/>	Cheque Deposit	<input type="checkbox"/>	Share Collect	<input type="checkbox"/>	Share Deposit
<input type="checkbox"/>	Portfolio Statement Collect	<input type="checkbox"/>	Buy / Sell Order Slip Deposit				

Dealer												Stamp Size Photo		
Name : _____														
Signature						Date	D	D	M	M	Y		Y	Y

## **Documents Check List**

### **(For Office Use Only)**

#### **Individual Account :**

- Photocopy of National ID with signature
- Bank Certificate/ Bank statement (at least 06 months) of the Account Holder.
- 03 Copies Passport size Photograph of the Account Holder (Signed by Account Holder)
- MICR Cheque Leaf.

#### **Joint Account :**

- Photocopy of National ID with signature
- Bank Certificate/ Bank statement (at least 06 months) of the Account Holder.
- 03 Copies Passport size Photographs of Account Holder (Signed by Account Holder).

#### **Nominee :**

- 01 Copy Passport size Photograph of Nominee Driving License (Attested by Account Holder).
- Photocopy of National ID of Nominee / Bank Certificate / Passport (Attested by any Gezettted officer).
- Photocopy of Birth Certificate(if nominee is a minor) Attested by Account Holder.

#### **Authorized Person :**

- 01 Copy Passport size Photograph of Authorized Person (Attested by Account Holder).
- Photocopy of National ID / Bank Certificate / Passport Driving License of Authorized Person (Attested by Account Holder).

#### **Power of Attorney :**

- Photocopy of National ID / Bank Certificate / Passport Driving License of Power of Attorney (Attested by Account Holder).
- 01 Copy Passport size Photograph of POA (Power of Attorney).

#### **Non Resident Bangladeshi (NRB) Account :**

- 03 Copies Passport size Photograph of Account Holder(s)
- Photocopy of Valid Passport and Visa.
- Work Permit or salary Statement.
- Foreign Currency A/C (F/C) Certificate. MIC R Cheque Leaf.
- There must be Authourized Person/POA (Power of Attorney).
- 01 Copy Passoport size Photograph and Photocopy of National ID / Bank Certificate / Passport of Power of Attorney / Authorized Perosn (Attested by Account Holder).
- 01 Copy Passport size Photograph of Nominee duly attested by Account Holder.
- Photocopy of Naitonal ID / Bank Certificate / Passport of Nominee (Attested by Account Holder).

**N.B:** In Case of joint account, the second holder must be NRB. And he must provide his passport and visa photocopy.

#### **Foreign Account :**

- 03 Copies Passport size Photograph of account holder(s)
- Photocopy of Valid Passport and Visa.
- Foreign Currency A/C (F/C) And NITA A/C Certificate. MIC R Cheque Leaf.
- 01 Copy Passoport size Photograph and Photocopy of Nationalt ID / Bank Certificate /Passport of Power of Attorney / Authorized Perosn (Attested by Account Holder).
- 01 Copy Passport size Photograph of Nominee.
- Photocopy of Passport of Nominee (Attested by Account Holder).

In case of joint account, the second account holder must be Foreigner. And he must be provide his valid passport and visa photocopy.

#### **Company Account :**

- Photocopy of Trade License  Memorandum of association/Articles of association  TIN Certificate  Bank Certificate. MIC
- 03 Copies Passport size Photograph  National ID / Passport of the Authorized Person/Operator.
- Board Resulotion related to. (1) B O Account Opening Decision &  
(2) Nominated Authorized Person/Operator.

**Corporate Head Office :**

WW Tower, (Level-6)  
68, Motijheel C/A, Dhaka-1000, Bangladesh  
Phone: 9566266, 9566238, 9553939  
Fax: 880-2-9568937  
E-mail: [absl@abbl.com](mailto:absl@abbl.com)  
Web: [www.abbl.com](http://www.abbl.com)

**Chittagong Branch :**

Agrabad Centre, (2nd Floor) 2470/A, Sk. Mujib Road  
Chowmohoni, Agrabad C/A. Chittagong-4100, Bangladesh  
Phone: +031-2512793, PABX: 031-2512790-2  
Fax: 031-2512794  
E-mail: [absl@abbl.com](mailto:absl@abbl.com)  
Web: [www.abbl.com](http://www.abbl.com)

**Sylhet Branch :**

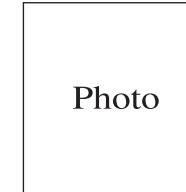
Firoz Centre (4th Floor)  
891/Ka, Chowhatta, Sylhet-3100, Bangladesh  
Phone: +880-821-724650  
Fax: 880-821-725505  
E-mail: [absl@abbl.com](mailto:absl@abbl.com)  
Web: [www.abbl.com](http://www.abbl.com)



# AB Securities Limited (ABSL)

(A Subsidiary of AB Bank Limited)

A TREC Holder of Dhaka & Chittagong Stock Exchange Ltd.



Photo

Account Number

Date :

BO ID :  1  2  0  3  7  1  0  0

Name of Client (1) .....

(If Joint) (2) .....

Name of Authorised Person (if any):.....

	Full Name (In Block Letter)	Specimen Signature
First Account Holder		
Joint Account Holder		
3rd Signatory (Ltd. Co. Only)		
Authorised Signature/POA		
Nominie		

Mode of Operation:      Single       Joint       Any One