

Vertex Stock & Securities Limited

Dhaka Stock Exchange Ltd. (TREC Holder No. 92)



CORPORATE ACCOUNT OPENING FORM

Name of Account Holder

Customer Account No.

BO Account No.

1	2	0	6	0	8	0	0								
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Mailing Address

.....

.....

Phone No.

E-mail ID

শেয়ার বাজারে বিনিয়োগ ঝুঁকিপূর্ণ, জেনে ও বুঝে বিনিয়োগ করুন।

TREC Holder No. 92, Dhaka Stock Exchange Ltd.
City Centre (13th Floor, Level-14), Unit # 13A & 13B
90/1 Motijheel, C/A, Dhaka-1000
Tel : +88 02 55110975, 55110976, Fax : +88 02 55110977
Corporate Member:
Dhaka Stock Exchange Limited - 3.1/DSE-92/2018/459

For the Company or Institutional Account

Bank Account Details :														
Bank Name :														
Branch Name :														
Account No : <table border="1" style="display: inline-table; border-collapse: collapse; text-align: center; width: 150px;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> </table>														Routing No. :

Signatory of the Account (If any) :

Photograph of
authorized Person(s)/
signatory(s)
with attestation of the
MD/CEO

Particulars	Signatory-1	Signatory-2 (If any)
Name of the Authorized Signatory		
Designation		
Present/Contact address		
NID/Birth Cr./Passport Number		
Phone Number		
Mobile Number		
E-Mail		

Source of Fund Details :

Have any other Customer Account (Single/Joint) with any Stock Broker(s)? ☐ Yes ☐ No If Yes, give Details:

Client Code No.	BO Account No.	Name of Broker

Signature of MD/CEO
with date

Signature of the Authorized
Person/Signatory-1
(if any) with date

Signature of the Authorized
Person/Signatory-2
(if any) with date

Introducer Details :

Name :

Account Number : Mobile :

.....
Signature of the Introducer with Date

Office Use Only

Processed by :

Checked by :

Approved by :

Name :

Name :

Name :

Designation :

Designation :

Designation :

Signature :

Signature :

Signature :

Date :

Date :

Date :

N.B.: Stock broker may require additional information, if necessary.

Note: In case of other type of applicant [if the applicant is a director/sponsor of a listed company or the applicant is a politically exposed person (PEP) or an Influential person (IP) or a Member of Senior Management of an International Organization] please use/fill-up individual/joint application form if the applicant is individual/joint person(s), but if the type of applicant(s) is a legal body corporate or institution, please use/fill up the company's or institutional application form.

Vertex Stock & Securities Limited

Form 02

TREC Holder No. 92, Dhaka Stock Exchange Ltd.
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BO Account Opening Form

CDBL Bye Laws

(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 (DDMMYYYY)

Please Tick whichever is applicable

BO Category: Regular ☐ Omnibus ☐ Clearing ☐

BO Type : Individual ☐ Company ☐ Joint Holder ☐

Name of CDBL Participant (Up to 99 Characters) **Vertex Stock & Securities Limited**

CDBL Participant ID

BO ID

Date Account Opened (DDMMYYYY)

6 0 8 0 0

1

2 0 6 0 8 0 0

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 i.e. Mr. / Mrs. / Ms. / Dr.

(In case of a Company/Firm/Statutory Body) Name of the 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.....

Mobile Phone Fax E-mail.....

3. Passport Details

Passport No Issue Place Issue Date Expiry Date

4. Bank Details

Bank Name Branch Name

Bank Account No. Routing Number

Electronic Dividend : 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)

In Case of Company :

Date of Registration (DDMMYYYY)

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):

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8. Nominees / Heirs

If account holder(s) wish to nominate person(s) who will be entitled to receive securities outstanding in the 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, guardians'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 seperate 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 AccountExchange Name DSE ☐ Trading IDCSE ☐ Trading ID**11. Photograph**

Please paste
recent passport
size Photograph of
1st Applicant or
Authorized
Signatory in case
of Limited Co. Only

Please paste
recent passport
size Photograph of
2nd Applicant or
Authorized
Signatory in case
of Limited Co. Only

Please paste
recent passport
size Photograph of
Authorized
Signatory in case
of Limited Co. Only

1st Applicant or Authorized
Signatory in case of Ltd Co. Only

2nd Applicant or Authorized
Signatory in case of Ltd Co. Only

Authorized Signatory in
case of Ltd Co. Only

12. Standing Instructions

I/We authorize you to receive facsimile (fax) transfer instructions 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 iI/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.

Applicants	Name of applicants / Authorized signatories in case of ltd Co.	Signature with date
First Applicant		
Second Applicant		
3 rd 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**

Intoduction by an existing account holder of
 Depository Participant's Name

I confirm the identity, occupation and address of the applicant(s)
 Introducer's Name

..... Account ID

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(Signature of Introducer)

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Central Depository Bangladesh Limited (CDBL) Depository Account (BO Account) opened with CDBL Participant Terms & Conditions-Bye Laws 7.3.3(c) CDBL Participant, Dhaka / Chittagong / Sylhet, Bangladesh

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 **Vertex Stock & Securities Ltd.** (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 however ensure that my/our securities shall not be mixed with the CDBL Participant's own securities.
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 holding securities in and transacting through the said depository account with the CDBL Participant.
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 genuineness of all certificates and/or documents submitted to the CDBL Participant along with or in support of the account opening form 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 provided 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 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 account(s) held with any other CDBL Participant(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 covenants 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 of 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 Account 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 Account 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 Holder's 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 or transaction during that month, and in any event once at the end of each financial year. The CDBL Participant shall furnish such statements 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 statement 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 such statements.
- f) Promptly attend to all grievances /complaints of the Account Holder and shall resolve all such grievances / complaints as it relate to matters exclusively with in the domain of the CDBL Participant within one month of the same being brought to the notice of the 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 dematerialization 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 and Exchange Commission;
- (c) Commits or participates in any fraud or other act of moral turpitude in his/its dealings with the CDBL Participant;
- (d) Otherwise misconducts himself in any manner.

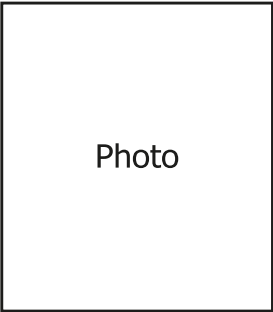
10. Declaration and Signature

I/we hereby acknowledge that I/we have read and understood the aforesaid terms and conditions for operating Depository Account (BO Account) with CDBL Participant and agree to comply with them.

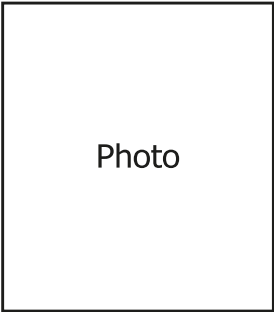
Applicants	Full Name	Signature with date
First Applicant		
Second Applicant		
3 rd Signatory (Ltd Co. only)		√

Vertex Stock & Securities Limited

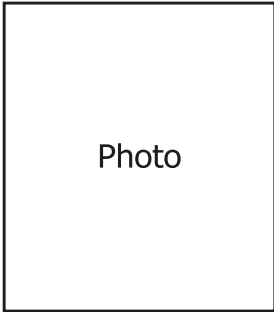
SIGNATURE CARD



3rd Signatory
(Ltd. Co. only)



Authorized Person-1



Authorized Person-2

Account Number

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BO ID No

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Status	Name of Account Holder (In Block Letter)	Signature
3rd Signatory (Ltd. Co. only)		√
Authorized Signatory-1		
Authorized Signatory-2		

The completed form needs to be submitted with the followings:

1. Board resolution authorizing the account opening and the signatories to sign on behalf of the company
2. Copy of valid Company Trade License
3. Company of the Memorandum and Articles of Association
 - a. Copy of the Certificate of Incorporation and Commencement of Business
 - b. Latest copy of Form-XII
4. Specimen Signature (included separately or in attached account opening form)
5. Company E-TIN Copy
6. Bank Certificate/Bank Statement & Cheque Leaf (Photocopy)
7. 1 Copy of a valid photo ID of each account operator
8. Valid photo ID of the CEO/Managing Director of the Company
9. 2 Copy Picture of Authorized Signatories with Signature
10. Authorized Signatories NID Copy with Signature



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