



## INDIVIDUAL ACCOUNT OPENING FORM

Category of Account (tick as appropriate): Individual ☐ Joint ☐

Title	First Name		
Middle Name	Last Name		
Religion	Gender	<input type="checkbox"/> Male	<input type="checkbox"/> Female
Date of Birth (dd/mm/yyyy)	Place/Country of Birth		
Marital Status	<input type="checkbox"/> Married	<input type="checkbox"/> Single	Others _____
State of Origin (Nigerians Only)	LGA		
Mother's Maiden Name			
Residential Address			
Mailing Address			
Date of Entry into Present Residence			
Country of residence	Nationality		
Resident Indicator	<input type="checkbox"/> Resident	<input type="checkbox"/> Non-Resident	
Do you carry other country's passport other than Nigeria?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
If yes, state the country _____			
Mobile Phone	City Code	Country Code	
Landline Phone	City Code	Country Code	
Personal Email Address			
ID Type	<input type="checkbox"/> International Passport	<input type="checkbox"/> Driver's License	<input type="checkbox"/> National ID Card
ID Number	Issue Date	Expiry Date	Place of Issue

## Joint Account Holder

Name of Account			
Relationship with Joint Account Holder			
Name of Joint Account Holder			
Date of Birth (dd/mm/yyyy)	Place/Country of Birth		
Residential Address			
Marital Status	<input type="checkbox"/> Married	<input type="checkbox"/> Single	Others _____
Country of Residence	Nationality		
Mobile Phone	City Code	Country Code	
Landline Phone	City Code	Country Code	
Personal Email Address			
ID Type	<input type="checkbox"/> International Passport	<input type="checkbox"/> Driver's License	<input type="checkbox"/> National ID Card
ID Number	Issue Date	Expiry Date	Place of Issue

## Employment Details

Level of Qualification	
Employment Status	<input type="checkbox"/> Full-time <input type="checkbox"/> Part-time <input type="checkbox"/> Retired <input type="checkbox"/> Self Employed Others _____
Occupation/Employment Segment	Appointment Date
Company Name	
Company/Office Address	

Official Telephone Number		Fax Number	
Official Email Address		Official Website Address	
Annual Average Income	<input type="checkbox"/> Less than N10m	<input type="checkbox"/> N10 - 50m	<input type="checkbox"/> N50m and Above
Source of Investment Fund	<input type="checkbox"/> Employment	<input type="checkbox"/> Business	Others _____
Purpose of Investment			

## Bank Account Details (Your Bank Account Name Details Should Correspond With CSCS Account Name).

Bank Name	Branch
Account Name	Account Number
Bank Verification Number	

## Next Of Kin Details

Title	First Name		
Middle Name	Last Name		
Date of Birth	Nationality	Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female
Relationship	<input type="checkbox"/> Parent <input type="checkbox"/> Child <input type="checkbox"/> Spouse	Others _____	
Email	Telephone Contact		
Contact Address of Next of Kin			

## For Minor Only

Name of Minor		
Date of Birth	Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female

## Questionnaire

Have you occupied any Political Position? ☐ Yes ☐ No If yes, please state the most recent political position occupied

\_\_\_\_\_ Date: From \_\_\_\_\_ To \_\_\_\_\_

Have any of your close relatives/associates occupied a Political Position? Yes ☐ No ☐

If yes, please state the names and your relationship with such persons below

- Name \_\_\_\_\_ Relationship \_\_\_\_\_

Position Held \_\_\_\_\_ Date: From \_\_\_\_\_ To \_\_\_\_\_
- Name \_\_\_\_\_ Relationship \_\_\_\_\_

Position Held \_\_\_\_\_ Date: From \_\_\_\_\_ To \_\_\_\_\_

## Attestation

I/We attest that all information provided herein is accurate and would notify you to update my/our records where any change occurs

\_\_\_\_\_  
Name, Signature and Date

\_\_\_\_\_  
Name, Signature and Date

## For Official Purpose Only

### Documentation Checklist

- |                                   |                          |   |                          |
|-----------------------------------|--------------------------|---|--------------------------|
| 1. Completed account opening form | <input type="checkbox"/> | 5. *Proof of address (e.g. copy of recent utility bill) | <input type="checkbox"/> |
| 2. Standard terms and conditions  | <input type="checkbox"/> | 6. Resident permit (for Non-Nigerians)                  | <input type="checkbox"/> |
| 3. Passport photograph            | <input type="checkbox"/> | 7. *Birth certificate (for minors only)                 | <input type="checkbox"/> |
| 4. *Means of identification       | <input type="checkbox"/> | 8. Safe watch list report                               | <input type="checkbox"/> |

\* Originals must be sighted

Document Status	<input type="checkbox"/> Complete	<input type="checkbox"/> Incomplete
Risk Rating	<input type="checkbox"/> Low	<input type="checkbox"/> High
Account Opening Authorized By		
Date		
CSCS Number	Account Number	

## SECTION A:

1. Stanbic IBTC Stockbrokers Limited's (SISL) offices are open for business between the hours of 8 a.m. and 5 p.m. on each day that is designated a business day in Nigeria ("business day").
2. The preferred channel for receiving clients' mandates is through the secure on-line brokerage account which can be access via [www.sislbrokerage.com](http://www.sislbrokerage.com). Mandates can also be sent to the dedicated email address for mandates via [stockmandates@stanbicibtc.com](mailto:stockmandates@stanbicibtc.com)
3. The deadline for the receipt of clients' mandates via all channels is 8 a.m. on the intended business day of execution
4. In the absence of an express instruction as to a specific timeline for the expiration of clients' mandates, the mandate will be valid for 30 Days upon receipt by SISL, after which it expires and the unexecuted portion will be automatically cancelled.
5. Amendments/cancellation of mandates can be done via either the online brokerage account or via e-mail to [stockmandates@stanbicibtc.com](mailto:stockmandates@stanbicibtc.com). This is also subject to the deadline in (3) above.
6. Where mandates/amendments/cancellations are submitted after the deadline stated in (3) above, the mandates/amendments/cancellations may not be treated until the next business day.
7. Mandates / amendments /cancellation received on a day that is not a business day will be deemed to have been received on the business day immediately following the day of actual receipt.
8. Where a mandate consists of a purchase instruction, it can only be treated if sufficient funds are available in the client's stockbroking account to execute such an instruction.
9. Where a purchase mandate is dependent on the sales proceeds of stocks, the purchase mandate may not be executed until the sales transaction has been executed. The sale mandate will be executed even if the stocks to purchase are not available.
10. SISL is acting as execution-only stockbroker and not financial advisors or portfolio manager. Consequently, SISL will only execute BUY and SELL mandates given by the client on the floor of The Nigerian Stock Exchange.
11. SISL executes transactions based on the ruling market prices of stocks on The Nigerian Stock Exchange at the time of execution.
12. SISL executes mandates on a best efforts basis only. It is therefore unable to guarantee that a mandate will be executed on a particular day even where such mandate indicates that the relevant transaction is to be effected at "market price".
13. Buy and sell mandates can only indicate one price and not a price range. You will be advised of the outcome of your mandate via e-mail. Where this is not received by close of business on the next working day after you submitted your mandate, kindly contact SISL via email to [stockbroking@stanbicibtc.com](mailto:stockbroking@stanbicibtc.com)
14. All sales proceeds of stocks sold shall be retained in the client's stockbroking account except if otherwise advised (expressly) by the client.
15. Funds deposited into client's stockbroking account with SISL including retained proceeds of sales is not interest bearing. A client's fund will remain in the client's stockbroking account until an expressed instruction/mandate is received authorizing the utilization of the fund
16. Withdrawal/transfer instructions should be sent via e-mail to [stockbroking@stanbicibtc.com](mailto:stockbroking@stanbicibtc.com). Intra-bank and Inter-bank withdrawal/transfer instructions are to be executed within 24 hours and 48 hours respectively upon submission of the instructions and where the client's account is not credited with the requested amount within the stipulated period, the client is required to notify SISL via e-mail to [stockbroking@stanbicibtc.com](mailto:stockbroking@stanbicibtc.com)
17. Where an inter-bank withdrawal/transfer instruction has not been concluded within the period stipulated above, it is the client's responsibility to request for an evidence of execution of the interbank transfer from SISL and to follow up with the receiving bank. SISL shall in no circumstance be held liable for the lapses of other institutions involved in the withdrawal/transfer process.
18. The deadline for the submission of withdrawal/transfer instruction is 10a.m on business days for inter-bank withdrawal/transfer and 3.00pm on business days for intra-bank withdrawal/transfer and any instruction submitted after the deadline may not be treated until the next business day.
19. Requests to withdraw funds from client's stockbroking account will only be honored if there are adequate cleared and unencumbered funds in the client's stock broking account with SISL. Associated transfer charge(s) for interbank transfers will be borne by the client.
20. SISL shall not make any payment from a client's stockbroking account to a 3rd party even if such payment have been authorized by account holder.
21. I/We understand that all mandates, amendments, cancellations, transfer and withdrawal requests sent after the specified deadlines may not be treated till the next business day as specified above. SISL is not under any compulsion to treat any of the referenced instructions sent after the deadlines; however in event that such instructions are treated despite having been received after deadline by SISL, the instructions shall be binding upon me/us
22. SISL can be contacted via e-mail: [stockbroking@stanbicibtc.com](mailto:stockbroking@stanbicibtc.com), telephone: +234-1-4488800-9, +234 (0) 8023257777, (0)8033231941.

## SECTION B:

In Consideration of your Stanbic IBTC Stockbrokers Limited (SISL) having agreed to accept and to act on my/our instructions given via e-mail, online brokerage account and other electronic channels (without requiring a written confirmation bearing my/our actual signatures in accordance with my/our mandate) in respect of any transactions regarding my/our account with SISL, I/We hereby confirm that:

1. I/We understand that it is my/our responsibility to keep my/our profile details (User name, password and other electronic channel details) as private and confidential to prevent unauthorized access to my/our stockbroking account with SISL.
2. I/We understand that it is my/our responsibility to notify SISL where I/we detect that my/our profile details (User name, password and other electronic channel details) have been compromised. I/We also understand that any transaction executed on my/our account before SISL is notified of such compromise is binding on me/us.
3. SISL is authorized to act on instructions, which have been transmitted via any of the referenced electronic channels without bearing my/our signature (s) provided such instructions emanated from my/our registered details in SISL's records.
4. SISL shall not be under any duty to verify the identity of the person(s) giving instructions in my/our name provided such instructions have emanated from my/our registered details in SISL's records and any transaction made pursuant to the instructions shall be binding upon me/us.
5. Except my/our instruction sent via any of the referenced electronic channels is duly revoked or modified by a subsequent instruction issued by me/us and such subsequent instruction has been communicated to and received by SISL before the execution of the prior instruction and within the stipulated deadline for revocation and or amendment of instructions, I/We undertake to be bound irrevocably by such prior instruction.
6. I/We understand that where a mandate/instruction is sent via e-mail to [stockmandates@stanbicibtc.com](mailto:stockmandates@stanbicibtc.com), I/We should receive an auto generated acknowledgment e-mail immediately. Where this is not received within 30 minutes, I/We understand that I/We should immediately contact SISL to confirm receipt of the mandate/instruction.
7. I/We understand that upon submission of my/our mandates/ instructions placed via my/our online brokerage account, it is my/our responsibility to confirm that such mandates/ instructions have been successfully submitted and are reflecting on my/our online outstanding order module. Where the mandates/instructions are not reflecting, I/We understand that I/We should immediately contact SISL to confirm receipt of the mandate/instruction
8. I/We hereby agree to keep SISL indemnified from and against all actions, proceedings, claims and demands which may be brought or made against SISL and all losses, costs, charges, damages and expenses which may be incurred or sustained or for which SISL may become liable by reason of honoring such e-mail, online brokerage account and other electronic channels instructions provided that SISL has taken all measures prescribed by this agreement irrespective of whether the instructions are in fact erroneous, fraudulent or issued otherwise than as foresaid.

### Confirmation

I/We hereby confirm that I/We have read and agree to be bound by the above terms and conditions and indemnity.

Name of Account Holder: \_\_\_\_\_

Signature of Account Holder: \_\_\_\_\_

Name of Joint Account Holder: \_\_\_\_\_

Signature of Joint Account Holder: \_\_\_\_\_

Dated this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_