



Prime Bank Securities Ltd.

we make your money work harder

(A subsidiary of Prime Bank)

Corporate TREC Holder of DSE & CSE

ACCOUNT OPENING FORM

Account Name

Customer Account No.

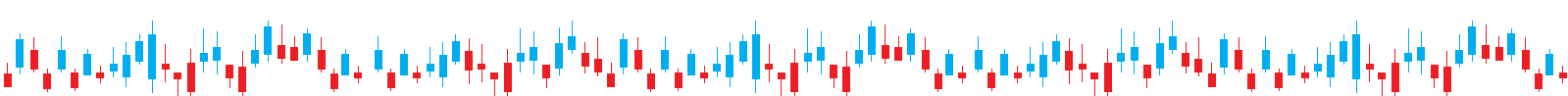
BO ID No.

Address

Phone No.

Mobile No.

Email ID





Prime Bank Securities Ltd.

A subsidiary of Prime Bank Limited

Head Office: Peoples Insurance Bhaban (11th Floor), 36 Dilkusha, Dhaka, Bangladesh
DSE TREC No. 219 & CSE TREC No. 141

DSE REG No. REG-3.1/DSE-219/2010/429, CSE REG No. REG-3.2/CSE-141/2010/239

“শেয়ার বাজারে বিনিয়োগ ঝুঁকিপূর্ণ,
জেনে ও বুঝে বিনিয়োগ করুন।”

Photograph(s)
of Customer(s)
with attestation
of the Introducer

Photograph(s)
of Customer(s)
with attestation
of the Introducer

CUSTOMER ACCOUNT OPENING FORM

Customer Account No. (Filled by the PBSL)

Date

BO ID No

Account Type: Cash ☐ Margin ☐

Account Status: Individual ☐ Joint ☐ NRB ☐ Company/Institutions ☐ Others ☐

Name of the Account Holder.....

Father's Name.....

Mother's Name

Spouse Name.....

Date of BirthSex: Male ☐ Female ☐ OccupationNationality

In case of Non-Individual, Registration Date: Registration No.
(Supporting Documents enclosed)

Present Address.....

PhoneMobile..... Fax.....

Email

Permanent Address.....

National ID NoTIN No.....

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

Joint Account Holder's Name (if any).....

Father's Name.....

Mother's Name

Spouse Name.....

Date of BirthSex: Male ☐ Female ☐ OccupationNationality

Present Address.....

PhoneMobile..... Fax.....

Email

Permanent Address.....

National ID NoTIN No.....

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

Bank Account Details

Bank Name		Account Number	
Branch Name		Routing Number	

Details of Nominee-1 (if any)

Name				Photograph(s) of Nominee(s) with attestation of the Customer(s)
Address				
Date of Birth		National ID		
Relationship with 1 st Account Holder		Percentage (%) of Nomination		

Details of Nominee-2 (if any)

Name				Photograph(s) of Nominee(s) with attestation of the Customer(s)
Address				
Date of Birth		National ID		
Relationship with 1 st Account Holder		Percentage (%) of Nomination		

****If the Account holder(s) wish to nominate more than 2 (two) persons, please insert additional copies as required.**

Authorized Person Details (If any)

Name							
Father's/ Husband's Name					Date of Birth		
National ID/Birth Certificate/Passport No				Sex	Male	Female	Others
Address							
Phone		Mobile		Email			

Officer or Director of any Stock Broker/Dealer/Stock Exchange/Listed Company? Yes ☐ No ☐

If yes, please mention name & address of the Broker/Dealer/Exchange/Listed Company with designation of the said officer or director:

..... Source of Fund details.....

Introducer Details:

Name					
Account No		Mobile		Signature	

Signature of the Account Holder with date

Signature of the 2nd Account Holder (If any) with date

Signature of the Authorized Person (if any) with date

Authorized Signature of the PBSL with date & seal

Authorized Signature of the PBSL with date & seal

Authorized Signature of the PBSL with date & seal

KYC Profile Form

(Filled by the Stock Broker)

Name of the Account Holder(s).....

BO Account Number.....

Customer Account Number.....

Occupation (with Joint Account Holder's, if any):

Name of MD/CEO (in case of Firm or Company):

Nature of Business (in case of Firm or Company):.....

Source of Fund.....

Describe, how source of fund was verified; details and nature of business:.....

Detailed Information/Documents of the Account Holder(s):.....

Sl.	Nature of Documents	Number	Photocopy Obtained		Applicable for
			Yes	No	
1	National ID				Individual (if any)
2	Passport				Individual (if any) or NRB
3	Visa/Residential Permit and Work Permit				NRB
4	Birth Certificate				Individual (if any)
5	Driving License				Individual (if any)
6	Bank Account with supporting document				Individual or NRB
7	NID/Birth Certificate/ Passport				Nominee
8	NID/Birth Certificate/ Passport				Authorized Person
9	Registration Certificate				Firm/Company/Institution
10	Date of Incorporation				Firm/Company/Institution
11	Memorandum of Association				Company/Institution
12	Articles of Association				Company/Institution
13	Trade License				Firm/Company/Institution
14	TIN				Firm/Company/Institution
15	VAT Registration				Firm/Company/Institution
16	Particular of Directors				Company or Institution

Comments (if any):

 Signature of Account Opening
 Officer with date & Seal

 Signature of Authorized Officer/
 MD/CEO with date & Seal

When was the information related to the Account last reviewed and updated? If any, details with comments:

.....

 Signature of the Officer performing review
 and update with date & Seal

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 client of PBSL and intend 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 be governed by the terms and conditions of this agreement as provide hereinafter and as may be modified from time to time by PBSL.

TERMS AND CONDITIONS

Instructions: A written instruction shall be given to PBSL from time to time to purchase and/or sell instruments (which shall mean and include stocks, share, debentures, mutual funds and private placement or any other similar financial instrument as may be made available from time to time) on behalf of the account holder. On receipt of such instructions along with a cash deposit or delivery of instruments, PBSL shall, so far considers it reasonably practicable, purchase and/or sell instruments in accordance with those instruction provided always that (i) any such dealings to do not contravene any applicable laws or regulations; (ii) PBSL shall have an absolute discretion to accept or reject purchase/sell instructions and (iii) accounts holder's instruction shall include the following details:

- The name of the Securities
- Quantity
- Price with notification of limits 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 holdings. 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 account: if this is a joint account, unless the account holders notify PBSL otherwise and provide such documentation as PBSL may require, the brokerage account(s) shall be held by the account holder jointly with rights or survivorship (payable to either or the survivor). Under these terms and conditions each joint account holder irrevocably appoints other as attorney in fact to take all action on his or her behalf and to represent him or her in all respects in connection with this agreement. PBSL shall be fully protected in acting but shall not be required to act upon the instruction of either of the account holder, who shall be liable, jointly or severally, for any amounts due to PBSL pursuant to this agreement, whether incurred by either or both of the account holders.

Risk: the accountholder understand(s) that the stock market is rapidly changing market and that there is an Inherent risk in incurring loss in share dealings.

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

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

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

Cancellation Provisions: PBSL is authorized, in its discretion, should the undersigned die or should PBSL for any reason whatsoever deems it necessary for its protection, without notice, to cancel and 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 s default, omission or act committed by PBSL as Broker/TREC Holder of the DSE & CSE, the account holder shall be indemnified if and only as provided by the Rules and Regulations of the DSE & CSE.

Confirmation and Settlements: PBSL shall use its best endeavors to provide the account holder with (a) written confirmation of each transaction it has effected in instruction; and (b) contract notes (in such form as PBSL shall determine) setting forth (i) details of the trade date, value date, settlement date, quantity, price and commission rate that the account holder does hereby agree and undertake to confirm in writing beforehand of all our instructions.

Fees and Expenses: The account holder will pay a brokerage commission of _____% (in word _____), 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 CSE is subject to transaction levies or other fees imposed by DSE, CSE & CDBL. The account holder understands that the rate of commission may be changed from time to time.

Set-off: PBSL shall be entitled to, in respect of all commissions, costs, charges or expenses, set off from any money from time to time held by PBSL for the account holder and if such money is insufficient for the purpose, to sell any instruments held by PBSL 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 PBSL for termination this agreement or on the written instruction of the PBSL to the Account Holder for termination of this Agreement. Termination shall not absolve the parties from completing account and adjusting any outstanding dues.

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

Force Majeur: PBSL 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 circumstance beyond its control.

Forged Shares: PBSL shall not be liable or responsible for any shares that are found to be forged. However, PBSL 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 notice, instructions or other communications shall be given in English and in writing or orally (facsimile, sms, Email, Telex, cable or letter) and shall be sent to PBSL and the accountholder 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 case of a letter: dispatch of the letter duly stamped and addressed;
 - (ii) In case of facsimile, telex, telegram or Email 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 of such meaning is inconsistent with the context shall have this same defined meaning wherever used.

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

Disputes and Resolution of Dispute: In case of any dispute arising between the PBSL and the account holder in connection with the interpretation or enforcement of the terms and conditions contained herein attempts should be made to settle the matter amicably, in case of failure to settle the matter amicably, the same shall referred to arbitration of two arbitrators, each to be nominated by the parties who shall also appoint an Umpire. The decision of the arbitrators, so nominate, shall be binding on both the parties. In case the Arbitrators differ in their finding, the decision of the Umpire shall be final binding on the parties. The Arbitration shall be conducted in accordance with the Arbitration Act, 2001.

I/We have read the terms & conditions contained herein above & having agreed with such terms & conditions I/We put my/our/company seal & signature on this the _____ day of _____, 20 _____

Signature of the First Applicant

Signature of the Second Applicant

FOR OFFICE USE ONLY:

Checked by :

Approved by :

Name :

Name :

Managing Director & CEO
Prime Bank Securities Ltd.
Peoples Insurance Bhaban (11th Floor)
36 Dilkusha, Dhaka, Bangladesh

Photograph of
authorized Person
attestation of the
Customer(s)

Dear Sir,
Letter of Authorization

I/We Son/Daughter of
of hereby authorize
Mr./Mrs. Son/Daughter of
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 other securities on behalf of me with regard to the "Securities Account" opened and
maintained in my name with M/s Prime Bank Securities Limited submitted (hereinafter referred to as the "Broker").

I/We hereby authorize and instruct the "Broker" to deal, buy, sell, transfer shares, stocks, debentures, debenture stocks,
bonds & other securities and fund withdrawal on verbal and/or written instructions of the "Account Operator".

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

I/We hereby declare that I/We are fully aware of all consequences of transaction that may be carried out on my/our behalf
by the "Account Operator" and shall take responsibility for all such transaction as that of my/our own. I/We shall fulfill and
abide by all rules and regulation described in the "Account Opening Form" duly completed and signed by me/us, with
regard to all transaction carried out by the "Account Operator" without any demure or protest.

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

Thank You:
Yours Sincerely,

(Signature of Account Operator)

Attested by Account Holder(s)

Signature of the 1st Account Holder

Signature of the Joint Account Holder

Foreign Account Tax Compliance Act (“FATCA”)

Account Opening Form Supplement (use additional copies, if required)

This form must be completed by any individual/entity who wishes to open a BO Account/have been maintaining one. Please Complete in BLOCK LETTERS:

Account Number :	<input style="width: 95%;" type="text"/>
Name:	<input style="width: 95%;" type="text"/>
Country of Residence/Registration	<input style="width: 95%;" type="text"/>
Country of Birth/Incorporation	<input style="width: 95%;" type="text"/>

Please check (✓) yes or No for each of the following questions i.e. 10% or more? (For company /non-individuals):

	Yes	No
1. Are you a U.S. Resident?	<input type="checkbox"/>	<input type="checkbox"/>
2. Are You a U. S. Citizen?	<input type="checkbox"/>	<input type="checkbox"/>
3. Do you hold a U.S. Permanent Resident Card (Green Card)	<input type="checkbox"/>	<input type="checkbox"/>
4. Is your entity a foreign entity where there is substantial ‘US ownership’ i.e. 10% or more?(For company /non-individuals	<input type="checkbox"/>	<input type="checkbox"/>

I/we hereby confirm the information provided above is true, accurate & complete.

Subject to applicable local laws, I/we hereby consent for Prime Bank Securities Limited (PBSL), Bangladesh or any of its affiliates (including branches)(Collectively “the company”) to share my/our information with domestic/U.S. regulators or tax authorities where necessary to establish my/our tax liabilities in any jurisdiction.

Where required by domestic or U.S. regulators or tax authorities, i/we consent and agree that the company may withhold from my/our account(s), such amounts as may be required according to applicable laws, regulations and directives.

I/we undertake to notify the company within 30 calendar days if there is a change in any information which I/we have provided to the company.

Signature with date	Signature with date	Signature with date
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Signature verified by:

(Name, Designation with seal): _____

Date:

KYC Profile Form

1. Title of Account :

2. Applicant's Name :

3. Type of BO A/C : **4. Account Number:**

5. Name of A/C Opening Officer: Designation

6. Actual Beneficiary (if applicable): Name:
Address:

7. Profession : 1. Business ☐ 2. Service ☐ 3. Others ☐
(Please specify)

a) In Case of Business : Business Name :
(Business Information) Address :

TIN :

VAT Registration No.:
(If applicable)

b) In case of service : Employer's Name :
(Service Information) Address :

c) In case of others : Particulars :
(Practice Information) Address :

d) In case of NRB/Foreigner: b) Type of Visa ☐ Resident ☐ Work Valid up-to

C) Passport Number Valid up-to

8. Source of Fund :
(Please mention one or more source)

9. Sanction Screening as per BFIU Guideline:

a. Is the person's name listed in the local sanction list of BFIU circulars or GOB? Yes/ No

b. Is the person's name listed in the United Nations Security Council Resolution 1267 and its successors, 1373, 1540, 1718, and 1737? Yes/ No

Customer's Signature

Authorized Signature

Transaction Profile

Account Number	<input type="text"/>	Date:	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Title of Account (First Applicant)	<input type="text"/>										
(Second Applicant)	<input type="text"/>										
Type of Account	<input type="checkbox"/> NON-MARGIN <input type="checkbox"/> MARGIN BO Category <input type="checkbox"/> Regular <input type="checkbox"/> Clearing										
Type of BO	<input type="checkbox"/> Individual <input type="checkbox"/> Joint Account <input type="checkbox"/> Company										
BO ID	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Deposit	Particulars	No. of Transactions (Monthly)	Maximum Transaction amount (each Transaction)	Total amount (Monthly)
	Cash Deposit (inclusive of Online Transactions)			
	Transfer/deposit by Instruments			
	Others (specify).....			
Total Deposit (approx.)				

Withdrawal	Particulars	No. of Transactions (Monthly)	Maximum Transaction amount (each Transaction)	Total amount (Monthly)
	Transfer/payment by Instruments			
	Others (specify).....			
	Total withdrawal (approx.)			

Securities Transaction	Particulars	No. of Transactions (Daily)	Volume of Transactions (Daily)	Volume of Transactions (Monthly)
	Buy			
	Sale			

Sources of Fund	<input type="text"/>
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I/We the undersigned hereby acknowledge that the transactions limit is my/our organization's usual transactions. I/We do hereby acknowledge that if necessary, i/We will change/update the transaction profile.

Signature	<input type="text"/>	<input type="text"/>	<input type="text"/>
Name	<input type="text"/>	<input type="text"/>	<input type="text"/>



Account Referred By:	Signature		
Name of Employee	<input type="text"/>		
Employee ID	<input type="text"/>	Disignation	<input type="text"/>
Date	<input type="text"/>		



Prime Bank Securities Ltd.

A subsidiary of Prime Bank Limited

Head Office:

Peoples Insurance Bhaban (11th Floor) 36, Dilkusha, Dhaka, Bangladesh

Extension of Head Office:

Peoples Insurance Bhaban (13th Floor), 36, Dilkusha, Dhaka, Bangladesh

Banani Branch Office:

Tajwar Centre (5th Floor), Road-19/A , House-34 Kemal Ataturk Ave, Dhaka

Contact:

Phone: 088-02-9513396, Mobile: +88 01701 217863, Email: csd.pbsl@pbsl.com.bd, pbsl@pbsl.com.bd

Web: www.pbsl.com.bd, fb: facebook.com/pbsl.com.bd

