



ACCOUNT OPENING FORM - INDIVIDUAL

SECTION A: ACCOUNT INFORMATION

Account Type (Tick Appropriately)

Individual

Joint Account Holders

I/We wish to open an investment account and undertake to comply, observe and be bound by the Terms and Conditions in force and as amended from time to time pertaining to such accounts.

First Applicant

1st Applicant passport photograph	Title: <input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Minor <input type="checkbox"/> Other (specify)										
	First Name:					Second Name:					
	Surname:							ID No/Passport No:			
	Date of Birth: D D M M Y Y			Nationality:				Country of Residence:			
	County of Residence:					Postal Address:			Postal Code:		
	Town:				Mobile No:			Other Mobile No:			
	Physical Address of Residential Area:										
	Email Address:							C/O:			
Occupation/Nature of Business:						Passport Expiry Date: D D M M Y Y			Visa Expiry Date: D D M M Y Y		
Work Permit Expiry Date: D D M M Y Y			Main Source of Funds:				KRA PIN No:				
Other Source of Funds:					Annual Income:						
Next of Kin Name:					Relationship:			Mobile No:			
Email Address:					Postal Code:			Town:			

Second Applicant

2nd Applicant passport photograph	Title: <input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Minor <input type="checkbox"/> Other (specify)										
	First Name:					Second Name:					
	Surname:							ID No/Passport No:			
	Date of Birth: D D M M Y Y			Nationality:				Country of Residence:			
	County of Residence:					Postal Address:			Postal Code:		
	Town:				Mobile No:			Other Mobile No:			
	Physical Address of Residential Area:										
	Email Address:							C/O:			
Occupation/Nature of Business:						Passport Expiry Date: D D M M Y Y			Visa Expiry Date: D D M M Y Y		
Work Permit Expiry Date: D D M M Y Y			Main Source of Funds:				KRA PIN No:				
Other Source of Funds:					Annual Income:						
Next of Kin Name:					Relationship:			Mobile No:			
Email Address:					Postal Code:			Town:			

Third Applicant

3rd Applicant passport photograph	Title: <input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Minor <input type="checkbox"/> Other (specify)											
	First Name:						Second Name:					
	Surname:						ID No/Passport No:					
	Date of Birth: D D M M Y Y			Nationality:			Country of Residence:					
	County of Residence:				Postal Address:				Postal Code:			
	Town:			Mobile No:			Other Mobile No:					
	Physical Address of Residential Area:											
	Email Address:						C/O:					
Occupation/Nature of Business:						Passport Expiry Date: D D M M Y Y			Visa Expiry Date: D D M M Y Y			
Work Permit Expiry Date: D D M M Y Y			Main Source of Funds:			KRA PIN No:						
Other Source of Funds:				Annual Income:								
Next of Kin Name:						Relationship:			Mobile No:			
Email Address:				Postal Code:			Town:					

SECTION B: BANK ACCOUNT DETAILS

Bank Account Details (Attach a copy of Bank Card / Bank Statement / Cancelled Cheque)															
Bank:			Account Name:												
Branch:			Account Number:												
SWIFT Code:			Sort Code / Routing / SWIFT / IBAN:												
MPESA Account Details															
Account Name:						Mobile Number:									
COMMON REPORTING STANDARD (CRS)										Applicant 1		Applicant 2		Applicant 3	
Are you tax resident in a jurisdiction outside Kenya?										Yes	No	Yes	No	Yes	No
<i>If you have answered YES to the above question, please fill in the CRS form</i>															

FATCA Compliance

Kindly complete the section below with a YES or NO where appropriate	Applicant 1		Applicant 2		Applicant 3	
	Yes	No	Yes	No	Yes	No
Do you hold a US passport, green card or were you born in the US?						
Do you reside in the US or spend more than 183 days in the US annually?						
Do you have a US address (residential or correspondence)?						
Do you have a US telephone number?						
Do you receive/expect any payments to or from the US?						
Are you a shareholder or director of a US corporation, partnership, company, trust or estate?						

If you have answered YES to any of the above questions please fill in the relevant form (IRS Form W-9/IRS Form W-8BEN/IRS Form W-8BEN-E) available on www.irs.gov

Research and Advisory (Tick Appropriately)

I/We would wish to subscribe for ABC Capital Ltd research reports, stock meter, corporate actions e.t.c
 I/We fully understand that opinions and material on the report are for information purposes only.

Yes No

Signing Instruction (Tick Appropriately)

Sole Either to Sign All to Sign Other (Specify) _____

SECTION C: INDEMNITY FOR INSTRUCTIONS RECEIVED BY EMAIL

YES NO If YES, please complete the indemnity for email instructions form below.

I/We, the undersigned, hereby request and authorize the Bank to accept and act upon my/our instructions transmitted through email to info@abccapital.co.ke or any ABC Capital email. Such email instructions shall: a) Be sent only from my/our registered email address(es), b) Bear signature(s) in accordance with the account operating mandate.

In consideration of ABC Capital Ltd agreeing to act on instructions from myself/us from time to time by email ("the Instructions") for the operations of all my/our account/s held with ABC Capital Ltd.

1. I/We acknowledge that email is not a secure means of communication and confirm that I/We:

a) Accept all risks associated with sending instructions via email.

b) Agree that ABC Capital Ltd shall not be liable for acting upon such instructions.

2. ABC Capital Ltd is hereby authorized to act on the Instructions received in accordance with the Indemnity herein.

3. ABC Capital Ltd reserves the absolute right to: a) Decline or refuse to execute any instruction without providing reason, b) Seek additional verification before executing any instruction, c) Suspend the email instruction service at any time

4. Any transaction executed pursuant to Instructions received in accordance with the Indemnity herein shall be binding upon me/us, irrespective of whether such Instructions were issued with or without my/our authority, knowledge, or consent.

5. I/We hereby covenant and undertake to comply with any and all procedures, protocols, and restrictions implemented by ABC Capital Ltd, whether existing or subsequently imposed, pertaining to the issuance and transmission of email instructions to ABC Capital Ltd.

6. I/We hereby jointly and severally covenant and undertake to, at all times hereafter, fully and effectually indemnify, defend, and hold harmless ABC Capital Ltd against any and all actions, causes of action, suits, proceedings, claims, demands, costs, charges, damages, expenses, losses, and liabilities whatsoever which may be brought, commenced, made, enforced, or prosecuted against ABC Capital Ltd, or which ABC Capital Ltd may pay, incur, sustain, or be put to, by reason of or in connection with, or arising from ABC Capital Ltd's action or omission to act pursuant to the aforementioned Instructions.

Politically Exposed Person (PEP) Declaration

Are you or any of the applicants or immediate family member/close associate currently holding or may have held any position such as/in government such as Member of Parliament, Senior executive of state owned corporations, important political party official, Senior military official and other members of the discipline forces, Member of the Judiciary, Senior State Officer, Senior Public Officer, Senior Official of an international organisation

Yes No If yes, please specify _____

GENERAL TERMS & CONDITIONS GOVERNING OPERATING AN ACCOUNT WITH ABC CAPITAL LTD

I/We, the undersigned, (hereinafter referred to as the Client) hereby request ABC Capital Limited (hereinafter referred to as the company) to open a Discretionary Securities Trading Account subject to the following terms and conditions:

1) The company is hereby authorized to purchase and/ or sell securities for the client's account on receipt of specific instructions for each individual transaction. The client acknowledges that the company will only be bound to act upon receipt of valid written orders in compliance with S.23 of the Capital Markets (Licensing Requirements) (General) Regulations 2002 governing securities transactions in Kenya.

2) The client undertakes to adequately fund the account prior to placing any purchase orders. The client acknowledges that the company will only be bound to execute purchase orders when there are adequate cleared funds in the clients account to cover all transaction costs, including commission and levies.

3) Where a cheque deposited in the customer's account is returned by the bank for any reason, the credit will be reversed and the customer undertakes to pay all related bank charges and any overdrafts that may be created as a result of the reversal.

4) The company shall deposit all monies received from clients for purchase of securities and in respect of or arising from the execution of sale transactions in the company's Clients Account.

5) All debit authorities/payment requests and sale/purchase instructions must be authenticated by the customers' full signature per specimen signature held by the company.

6) Where the customer has appointed an Agent, the appointment must be in writing and the Agent must be approved by the company.

7) The company has the right of lien on all assets of whatever nature held by the company in the name of the customer and may hold the same as security for the payment of any indebtedness by the customer to the company.

8) The customer undertakes not to transact or attempt to transact any funds originating from unlawful sources and to comply with anti-money laundering

requirements and regulations at all times.

9) The company reserves the right to amend, modify, repeal or add the above terms and conditions in its sole discretion from time to time. The changes shall be communicated to the customer in writing, by notices put up in the company's Notice Boards or any other appropriate means.

10) This document shall be governed and construed in accordance with the laws of the Republic of Kenya.

11) Email, Online & Facsimile Indemnity The client does authorize, within the framework of functioning of the Investment Account that, email / online/ fax instructions (if opted for) will be acted upon without any other written confirmation. ABC Capital Limited is not liable in case of any incident that might arise upon execution of such orders That the client acknowledges that they are fully aware and cognizant of the various risks inherent and associated with communicating instructions by facsimile transmission and email and various fraudulent activities arising from and out of such transmissions and are fully prepared to accept such risks and that it is not in the interest of ABCC to assume such risks which have far-reaching consequences.

12) Premium Services The stock broker hereby undertakes to provide the following premium services to the client as set out; hereunder.

- On-line trading services which will include an on-line access to your account and capability to trade real time;
 - Daily market information including daily market reports and regular corporate action updates
 - Real time trade updates on trades executed and account status;
- Dedicated relationship managers to offer advisory services; and
- Periodic statements of account on a monthly basis.

To offer the above services the stock broker will charge an account maintenance fee of Kshs.100/= per month payable on a monthly or basis and recovered every last calendar day of the month or at any other regular interval as determined by the Broker, and variable by the Broker subject to issuing an advance notice of 30 calendar days.

Any amendments or modifications this agreement shall only be valid if it shall. be in

- writing

- Shall be executed by the client and the Stock Broker

The client hereby accepts to pay the above fees as a reasonable pre-estimate of the cost of providing the premium services as enumerated above.

Declaration

I/We agree that this account shall be operated solely at the discretion of ABC Capital Ltd and agree to hereby indemnify ABC Capital Ltd at my/our cost against any loss or claims arising out of the account(s) being closed by ABC Capital Ltd without notice due to unsatisfactory performance. I/We agree to comply, observe and be bound by ABC Capital Ltd General Terms and Conditions and Tariffs available on www.abccapital.co.ke or such other websites as ABC Capital may designate as its official website from time to time on this day..... month..... year..... I/We confirm having understood that my/our personal information provided in this application form shall be processed in accordance with the provisions of the Data Protection Act, 2019, and where applicable the General Data Protection Regulation (EU) 2016/679 or all other applicable laws as may be amended from time to time.

I/We agree to be registered for emails services and Online Share Trading (OST) and agree to be bound by terms and conditions pertaining to email services & Online Share Trading services. Email Address:.....

You will receive your credentials via email after registration.
You may also register yourself on <https://abccapital.kenyaonlinetrading.com/ActiveTrader/#!/login/>

Signed: 1st Applicant

Name: _____

Date: _____

Signed: 2nd Applicant

Name: _____

Date: _____

Signed: 3rd Applicant

Name: _____

Date: _____

Data Protection Notice

The information that you input here shall be retained by us strictly for our own use in line with the Data Protection Act No. 24 of 2019, our Privacy Policy and the Privacy Notice and you consent to the application of the Data Protection Act No. 24 of 2019 and the ABC Capital's Privacy Policy and the Privacy Notice to all information provided to ABC Capital. This Privacy Notice may be updated from time to time and the most recent version can be found on our website or with our customer care representative. If you would like any further information or to contact our Data Protection Officer, kindly contact us at ABC Bank House, Woodvale Grove, P.O. Box 38610 - 00800, Nairobi addressed 'for the attention of the DPO'.

Account Mandate:

Individual

Either to Sign

All of us jointly

Signed: 1st Applicant

Name: _____

Date: _____

Signed: 2nd Applicant

Name: _____

Date: _____

Signed: 3rd Applicant

Name: _____

Date: _____

FOR OFFICIAL USE ONLY

Investment objectives: _____

Risk tolerance: Low Moderate Low-Medium Medium High

Comments: _____

AML risk rating High Medium Low

Comments: _____

PEP status: Principal PEP Yes No Comments: _____

PEP Associate Yes No Comments: _____

Witnessed & Verified By:

Name: _____

Date: _____

Sign & Stamp: _____

Authorized / Checked By:

Name: _____

Date: _____

Sign & Stamp: _____