



## ACCOUNT OPENING FORM

**TREC Holder : 007**  
Dhaka Stock Exchange Limited  
Full Service Depository Participant  
(DP) of CDBL

Code No:

BO ID No: 1 2 0 2 0 2 0 0

Name:

Contact No:

Types of Account:  Cash  Margin  Link



# APEX INVESTMENTS LIMITED

TREC Holder : 007, Dhaka Stock Exchange Limited  
SEC Reg. No- 3.1/DSE/07/2008/251

Photograph of Principal Account Holder	Photograph of Joint Account Holder
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Date      
D D M M Y Y Y Y

## CUSTOMER ACCOUNT INFORMATION FORM

Client Account No.  BO ID NO.  1  2  0  2  0  2  0  0

Account Type: Cash  Margin  Link A/C  NRB: Yes  No  Status: Individual  Joint

### Special Remarks, If any:

Name of the Customer / Account Holder: .....

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

Date of Birth ..... Sex: Male  Female  Nationality ..... Occupation .....

Present Address .....

Phone/Cell ..... Fax ..... E-mail.....

Permanent Address .....

Phone/Cell ..... Fax ..... E-mail.....

Joint Account Holder's Name : .....

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

Date of Birth ..... Sex: Male  Female  Nationality ..... Occupation .....

Present Address .....

Phone/Cell ..... Fax ..... E-mail .....

Permanent Address .....

Phone/Cell ..... Fax ..... E-mail .....

Name and contact details of the Authorized Person (if any) of the Customer to deal with **Apex Investments Limited** (A passport size photograph of the Authorized Person is required to be attested by the Customer)

Name of Authorized Person : .....

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

Date of Birth ..... Sex: Male  Female  Nationality .....

Present Address .....

Phone/Cell ..... Fax ..... E-mail .....

Permanent Address .....

Phone/Cell ..... Fax ..... E-mail .....

Photograph of  
Authorized Person

Whether the Customer or Joint Holder is an Officer or Director of any Stock Exchange/Listed Company ? Yes  No

If Yes, Name & Address of the Stock Exchange/ Listed company .....

Name & Address of the Person Introducing the Customer .....

### Special Instruction, If any:

Date & Signature of Customer	Date & Signature of Joint Account Holder	Date & Signature of Authorized Person (if any)
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Signature of Trader / Reference By	Date & Signature of Introducer	Authorized Signatory Accepting the Account
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**Nominee 2**

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) Title i. e. Mr./Mrs./Ms

Relationship with A/C Holder.....Percentage (%) .....

Address: .....

City ..... Post Code ..... State/Division ..... Country ..... Telephone .....

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

Residency: Resident  Non Resident  Nationality ..... Date of Birth

D D M M Y Y Y Y

**Guardian's Details (if Nominee is a Minor)**

Name is Full : .....

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

Relationship with Nominee ..... Date of Birth of Minor ..... Maturity Date of Minor .....

(DDMMYYYY) (DDMMYYYY)

Address: .....

City ..... Post Code ..... State/Division ..... Country ..... Telephone .....

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

Residency: Resident  Non Resident  Nationality ..... Date of Birth

D D M M Y Y Y Y

**Guardian's Details (if Nominee is a Minor)**

Please paste recent passport size Photograph			
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	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				



## APEX INVESTMENTS LIMITED

### 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/company names(s) on the terms and conditions set out below. In consideration of **APEX INVESTMENTS LIMITED** (the "CDBL Participant") opening the account providing depository account facilities to me/us, I/We/company have signed the Bo Account Opening Form as acceptance of the terms and conditions set out below.

1. I/We/Company 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 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/Company agree to pay such fees, charges Company's 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 Company's holding securities in and transacting through the said depository account with the CDBL Participant.
4. I/We/Company 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 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/Company 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/Company 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 authorized remains a minor at the time of my/our death, the legal guardian is authorized to receive/draw the securities held in my/our account.
  - (c) The nominee so authorized, 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/company 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 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 thereof and shall promptly bring to the notice of the CDBL Participant any mistakes, inaccuracies or discrepancies in such statement.
- (f) Promptly attend to all grievances / complaints of the Account Holder and shall resolve all such grievances / complaints as it relate to matters exclusively within 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 whereof 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 misconduct 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	Name of applicants / Authorized signatories in case of Ltd Co.	Signature
First Applicant		
Second Applicant		
3rd Signatory (Ltd Co. only)		



**Photograph of Power of Attorney Holder**

Please paste recent passport size Photograph

(POA Holder)

**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 have 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	Signature
POA Holder		
Account Holder 1st Applicant		
Account Holder 2nd Applicant		

# Apex Investments Limited

## KYC Profile Form

### (Applicable for BO Account)

(To be completed by the Account Opening Officer/Relationship Manager)

1. Customer / Account Name:

2. Type of Account:

4. Name of Account Opening Officer / Relationship Manager:

5. What is the source of Fund? How the source of fund has been verified (where applicable)?

6. Information regarding Beneficial Owner of the account (In case of company, information regarding controlling shareholder(s) and the shareholder(s) holding 20% or more shares)

7. Passport No.....Whether photocopy obtained? (Where applicable)? Yes  No

8. National ID No.....Whether photocopy obtained? (Where applicable)? Yes  No

9. T.I. N No.....Whether photocopy obtained? (Where applicable)? Yes  No

10. VAT Reg. No/Trade License No .....Whether photocopy obtained? (Where applicable)? Yes  No

11. Employees ID Card/Diving License No.....Whether photocopy obtained? (Where applicable)? Yes  No

12. What does the customer do?

Mention the occupation of the client in detail:

13. Risk Grading:

Category:	Risk Level:	Grade:
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\*Risk grading list provided to each branch.

Comments (if any):

(\*comments may be made in this part regarding risk of the customer in consideration of subjective judgment)

14. Are the Applicant (s) Politically Exposal Persons (PEPs): ..... Yes  No

15. If yes, has approval obtain from senior management? ):..... Yes  No

<b>Prepared By:</b>	<b>Verified by:</b>	<b>Approved By:</b>
Signature (with seal)	Signature (with Seal)	Signature (with Seal)

**OUR VALUE ADDED SERVICES**

Apex Investments Limited is committed for the following Value Added Services to the customer. Please specify which service you need (put a tick mark on the box):

**01. ApexMobi ( Free Software for Android mobile)**

Yes       No

**02. Internet Trading (Service Charge Free)**

Yes       No

**03. i-Reports (Service Charge Free)**

Yes       No

**04. E-mail Service (Service Charge Free)**

Yes       No

**05. SMS service (Condition Applied\*)**

Yes       No

\* We will deduct a nominal of Tk.10 quarterly from your account as SMS charge.

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**Client Signature**

**Client Name:**

**Client Code:**



## **APEX INVESTMENTS LIMITED**

### **Documents Required for Account Opening**

#### **Single / Joint Account**

1. 2 Copies Passport Size Photograph of each applicant attested by the introducer
2. One Copy Photograph of each nominee attested by the applicant
3. Two copies photograph of the operator attested by the applicant
4. National ID/ Passport (1st 8 pages )/ Driving license
5. Bank statement / Bank certificate/Cheque leaf.
6. E-Tin Certificate (If Available)

#### **Limited Company**

1. Memorandum/ Article of Association
2. Certificate copy of from-X11 from RJSC
3. Board Resolution regarding opening the account
4. Bank Statement/ Bank Certificate
5. Photograph of the applicants
6. Commence of business (public limited Company).
7. Copy of TIN/ Trade license
8. Company Seal

#### **Proprietorship**

1. Photograph of the applicants
2. Copy of TIN/ Trade license/ VAT/TAX
3. Bank Statement/ Bank Certificate

#### **NRB**

1. 2 Copies Passport Size Photograph of each applicant attested by the introducer
2. One Copy Photograph of each nominee attested by the applicant
3. Two copies photograph of the operator attested by the applicant
4. Bank Statement of FC/ NITA A/C
5. Photocopy of Valid Visa/ Work Permit/ Citizenship Card



## Apex Investments Limited

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