

**EXPRESS PORTFOLIO SERVICES LIMITED**

**(MEMBER OF THE NIGERIAN STOCK EXCHANGE) RC 292820**

**INDIVIDUAL ACCOUNT OPENING FORM**

<b>SECTION A: PERSONAL DETAILS</b>
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<p style="text-align: center;">AFFIX PASSPORT</p>
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TITLE: -----

SURNAME: -----

FIRST NAME: -----

OTHER NAMES: -----

MOTHER'S MAIDEN NAME: -----

STATE OF ORIGIN/NATIONALITY: -----

LGA: -----

RESIDENTIAL ADDRESS: -----

CONTACT OR POSTAL ADDRESS: -----

DATE OF BIRTH: -----

MARITAL STATUS: SINGLE -----MARRIED-----DIVORCED-----SEPERATED-----

RELIGION: CHRISTIANITY ----- ISLAM ----- OTHERS -----

PROFESSION/OCCUPATION: -----

COUNTRY OF RESIDENCE: -----

TELEPHONE: -----

E-MAIL ADDRESS: -----

KYC DOCUMENTS: INTERNATIONAL PASSPORT ----- DRIVER'S LICENSE -----

VOTERS CARD ----- NATIONAL IDENTITY ----- UTILITY BILL -----

**NEXT OF KIN:**

NAME: -----

ADDRESS: -----

HONE NUMBER: -----

E-MAIL ADDRESS: -----

<b>SECTION B: INVESTMENT DETAILS</b>
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INITIAL INVESTMENT (₦): .....

MODE OF PAYMENT: .....

MODE OF ACCOUNT:      DISCRETIONARY: -----      NON-DISCRETIONARY: -----

MODE OF COMMUNICATION: E-MAIL:-----      POST: -----      HOLD: -----      COURIER: -----

INVESTMENT OBJECTIVE:      DIVIDEND: -----      CAPITAL APPRECIATION: -----

SCRIPT/BONUS: -----      OTHER REASON(S):-----

<b>SECTION C: EMPLOYMENT DETAILS</b>
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SOURCE(S) OF INCOME: .....

SELF EMPLOYED----- EMPLOYED      ----- RETIRED ----- OTHERS (SPECIFY) -----

OCCUPATION: .....

EMPLOYER'S NAME: .....

EMPLOYER'S ADDRESS: .....

PERIOD WITH CURRENT EMPLOYER: .....

GROSS MONTHLY INCOME:    IM &amp; BELOW -----    IM-2M -----    2M-5M -----    5M-ABOVE -----

DO YOU HAVE OTHER BUSINESS: .....

<b>SECTION D: BANK DETAILS</b>
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**A**

NAME OF BANK: .....

ACCOUNT NAME: .....

ACCOUNT NUMBER: .....

DATE OF OPENING: .....

TYPE OF ACCOUNT: .....

BANK SORT CODE: .....

BVN: .....

**B**

NAME OF BANK: .....

ACCOUNT NAME: .....

ACCOUNT NUMBER: .....

DATE OF OPENING: .....

TYPE OF ACCOUNT: .....

BANK SORT CODE: .....

BVN: .....

**POLITICAL OFFICE HOLDERS AND RELATIONS**

Have you ever occupied any political position(s)? Yes ☐ No ☐

If yes, please state the most recent political position occupied:.....

From: ..... To:.....

Have any of your close relative/associates occupied a political position? Yes ☐ No ☐

If yes, please state the name(s) of such persons and your relationship with them:

Names: .....

Position Held: ..... Relationship: .....

From: ..... To:.....

Names: .....

Position Held: ..... Relationship: .....

From: ..... To:.....

**FOR JOINT ACCOUNT HOLDER**

Title: Mr. ☐ Mrs. ☐ Ms. ☐ Dr. ☐ Other: .....

Surname: .....

Other(s): .....

Date of Birth: ..... Nationality: .....

Marital Status: Single ☐ Married ☐ Separated ☐ Divorced ☐

**SOURCE OF INCOME:**

Occupation: .....

Employer's Name: .....

Employer's Address: .....

Residential Address: .....

**BANK DETAILS:** To be stated on "B" part of Section "D" on page 3

AFFIX  
PASSPORT

## BEST EXECUTION POLICY

Express Portfolio Services Ltd maintains a best execution policy which ensures that clients' orders are executed in such a way that the clients get the best in terms of price and timing.

Where client(s) give specific instruction in terms of price and timing of execution of their order(s), the company will always ensure that the instructions of the client(s) are carried out to the best of our ability and in the best interest of the client(s).

## CONDITION OF SERVICES

a. Any debit balance on Client's account must be settled immediately and **Express Portfolio Services Limited** reserves the right to cancel any transaction (s) not settled on time by the Client.

b. Express Portfolio Services Limited reserves the right to take reasonable steps to recover any outstanding debit on Client's account including the right to sell any security(ies) of the client in possession of **Express Portfolio Services Limited**.

c. **INDEMNITY**

**I/WE hereby indemnify EXPRESS PORTFOLIO SERVICES LTD from any loss that may arise from any mandate given through my official phone no. or email address specified above. I / We hereby confirm that any instruction given through the specified phone number and email address shall be deemed to be valid as a signed written document.**

**SIGNATURE OF CLIENT: ----- DATE: -----**

## INTERNAL COMPLAINTS MANGEMENT POLICY

Express Portfolio Services Limited maintains a comprehensive complaint register where clients complaint are adequately addressed and amicably resolved. Any client(s) of **Express Portfolio Services Limited** who has any complaint(s) will be required to channel such complaints to the management of **Express Portfolio Services Limited** for immediate resolution. Such Complaints should only be reported to the Regulatory Authorities if the management fails to resolve it.

## MONEY LAUNDERING ACT

To help the Federal Government of Nigeria fight the funding of terrorism and money laundering activities, the Money Laundering (Prohibition) Act 2013 requires all financial and non-financial institutions to obtain, verify and record information that identifies each person who opens an account. In this regard, when you open an account with us at **EXPRESS PORTFOLIO SERVICES LIMITED**, we will ask for your name, address, means of identification, occupation and other information that will enable us to identify you and verify your identity on an ongoing basis.

Furthermore, in compliance with the money laundering (Prohibition) Act 2013, any single transaction, lodgement or transfer of funds in excess of N5,000,000.00 or its equivalent in the case of an individual or N10,000,000.00 or its equivalent in the case of a corporate body shall be

reported in writing within 7 days to the Nigerian Financial Intelligence Unit (NFIU) and the Securities and Exchange Commission (SEC).

**SIGNATURE:** ----- **DATE:** -----

### **EXPRESS PORTFOLIO SERVICES LTD**

#### **Declaration (Please read carefully before signing)**

- I agree that in compliance with the anti-money laundry legislation, transaction above N5million and N10million for individual and corporate organization respectively will be reported to Securities and Exchange Commission (SEC), Nigerian Financial Intelligence units (NFIU) and the Central Bank of Nigeria (CBN) within seven (7) days.
- I confirm that the information given on this form is true.
- That accounts are to be adequately funded and debited balance, if any, must be cleared within 3days of its occurrence.
- That the company reserves the right to sell from the portfolio of the defaulter to clear the debit balance.
- I..... hereby declare that I understand the conditions stated above and agree to abide with the conditions.
- I hereby certify that all the information given is correct. I also certify that I have read, understood and agree with the attached terms and conditions governing the accounts/products I have requested, as well as assessment of your services via the channels we have selected.

Customer's signature\*

Customer's signature\*

Customer's signature\*

.....

.....

.....

### **FOR OFFICIAL USE ONLY**

Client's Code No: ----- Client's Account No: -----

Account Opened by: ----- Approved by: -----