



Rostrum Investment and Securities Ltd
MEMBER OF THE NIGERIAN STOCK EXCHANGE RC185376

257 HERBERT MACAULAY WAY ALAGOMEJI YABA LAGOS

SHAREHOLDERS DATABASE- INDIVIDUAL

AFFIX PASSPORT
PHOTOGRAPH
HERE

SURNAME: _____

OTHER NAMES: _____

MOTHER'S MAIDEN NAME: _____

SEX: _____ OCCUPATION: _____

DATE OF BIRTH: _____

INT'L PASSPORT, NATIONAL I.D CARD or DRIVERS LICENSE

NO: _____

DATE ISSUE: _____ EXPIRY DATE: _____

RESIDENTIAL ADDRESS:

POSTAL ADDRESS: _____

EMAIL (if any): _____

MOBILE: _____ HOME PHONE: _____

NEXT OF KIN: _____

RELATIONSHIP OF NEXT OF KIN: _____

ADDRESS OF NEXT OF KIN:

STATE OF ORIGIN: _____

EMPLOYERS NAME & ADDRESS:

PURPOSE/REASON FOR OPENING ACCOUNT:

SOURCE OF INCOME:

SIGNATURE: _____

THUMB PRINT: _____

NAME & DESIGNATION OF ACCOUNT OFFICER:

(Must be Rostrum Staff)

PLEASE AFFIX TWO RECENT PASSPORT SIZE PHOTOGRAPH

For Office Use only

CLIENT'S CLEARING HOUSE NUMBER: _____

CSCS NUMBER: _____

INTRODUCED BY: _____

WAIVER(s) REQUEST & JURISDICTION

ACCOUNT OFFICER'S NAME: _____

ACCOUNT OFFICER'S SIGNATURE & DATE: _____

ACCOUNT WAIVER APPROVED BY: _____

COMPLIANCE OFFICER: _____

SIGNATURE: _____

NOTE

The following documents are needed to update your record with us.

- Your means of identification e.g. Driver's License, International Passport or National Identity Card.
- Utility Bills e.g. PHCN Bill or Water Bill which must bear your current residential address.
- Current Passport Photograph.

DECLARATION

I/We declare that the information given in the investment individual Application Form is true and correct. We agree that any information found to be false may cause Rostrum Investment & Securities Ltd to decline the application or close the account if it has been opened. Should any details change in future, I/We shall inform Rostrum Investment & Securities Ltd promptly. I/We note that Rostrum Investment & Securities Ltd shall not bear any responsibility whatsoever funds handed to members of staff for any cash payment made to any account person for the purpose of Account Opening.

FUNDING ACCOUNT IN DEBIT

Purchase of Stock into client unfunded account is allowed only in cases where there is a formal approval from the appropriate authorities and it must not exceed four days, transactions day plus three days (i.e. T + 3).

Where the execution of the valid mandate throws the account into debit and overdraft position is treated. Any sum standing to the debit of the client account as a result of this overdraft position and not liquidated after four days (4 days) shall automatically liable to interest charges at a prevailing market rate.

Rostrum Investment and Securities Limited is authorized to debit client account with usual charges, commission and interest for such facilities.

ORDER OF PAYMENT

Transaction settlement on The Nigerian Stock Exchange is done on a trading day plus three days (i.e. T + 3) in compliance with this regulation, payment for consummated sales mandates is on a trading day plus four days consideration, Rostrum Investment and Securities Limited pays in crossed cheques written in the beneficiary whose name appears on the shares certificate or account holder. The acceptable means of identification here is current Driver's License, National Identification card or a current International passport.

EXECUTION OF MANDATES

Where a purchase mandate is independent on the sales proceeds of stocks, the purchase mandate will not be executed until the sales transaction has been executed. The sale mandate will also be executed even if the stocks to purchase are not available.

VERIFICATION OF CERTIFICATE

To facilitate prompt verification of certificates, clients should endeavor to attach copies of share application form, dividend warrants and banker's confirmation of the client's signature as the case demands. Rostrum Investment and Securities Limited will not be responsible for verification delays due to incomplete documentation, irregular signature issue or any other reasons outside its sphere of control.

CONFIRMATION

I/We confirm assent to be bound by the terms and condition stated above:

Client Name: _____

Signature & Date: _____