

“শেয়ার বাজারে বিনিয়োগ ঝুঁকিপূর্ণ
জেনে ও বুঝে বিনিয়োগ করুন”



KAZI FIROZ RASHID SECURITIES LTD.

TREC No. 29, Dhaka Stock Exchange Ltd.

CLIENT ACCOUNT OPENING INFORMATION FILE

Name of the Account Holder :	<input type="text"/>
Internal Client ID No. :	<input type="text"/>
BO. ID. No. :	<input type="text"/> 12024500 <input type="text"/>
Mailing Address :	<input type="text"/> <input type="text"/> <input type="text"/>
Phone No. :	<input type="text"/>
Mobile No. :	<input type="text"/>
E-mail :	<input type="text"/>

Head Office :

Room - 408, 503, DSE Building, 9/F
Motijheel C/A, Dhaka-1000, Bangladesh

Phone : +88-02-9558915
Pabx : +88-02-9564601-7, Ext - 408, 503
E-mail : showebrashid@yahoo.com
kfrs.29@gmail.com



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

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 Room - 408, 503, DSE Building, 9/F, Motijheel C/A, Dhaka-1000, Bangladesh
 Phone : +88-02-9558915, Pabx : +88-02-9564601-7, Ext - 408, 503
SEC Stock Broker Reg. : (3.1/DSE-29/2008/191)
SEC Stock Dealer Reg. : (3.1/DSE-29/2010/386)

Account Holder's
 Photograph
 with Signature

Customer Account Information Form

Internal Client ID No. Special Instruction, If any.....

Beneficiary Owner Account No. **1 2 0 2 4 5 0 0**

Account Type : Individual ☐ Joint ☐ Corporate ☐ Account Status : Cash ☐ Margin ☐

Name of the Account Holder :

Father's/Husband's/CEO's (in case of Firm or Company) Name :

Present Address :

Permanent Address :

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

Occupation : Phone No. : E-mail :

Name of the Joint Account Holder :

Father's/Husband's/Name

Present Address :

Permanent Address :

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

Occupation : Phone No. : E-mail :

In case If Company : Registration No. : Date of Registration

Name with Address of the Authorized person of the customer (if Applicable) :

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

If yes, Name of the Stock Exchange/Listed Company :

Bank Name : Branch : A/C No. :

Name and Address of the Person, introducing the Customer :

..... Account No. of the introducer (if any).....

Special Instruction, if any :

In case of Joint Account, the Account with be operated Jointly ☐ Anyone can operate ☐ First A/C. Holder ☐

Signature of the 1st Account Holder

Signature of the Authorized person of the
 Customer if any

For & on behalf of KFRSL accepting
 the Account

Signature of the 2sd Account Holder

Signature of the person introducing
 Customer if any



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(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 a client of KFRSL and 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 governed by the terms and conditions of this agreement as provided hereinafter and as may be modified from time to time by KFRSL.

TERMS AND CONDITIONS

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

- ❖ The name of the Investment.
- ❖ Quantity.
- ❖ Price with notification of limit 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 holding. This has a direct impact on market pricing given the predominantly retail nature of the market. Traders may fail where non-agreed lot sizes are delivered.)

Joint Accounts : If this is a joint account, unless the account holders notify KFRSL otherwise and provide such documentation, as KFRSL may require, the brokerage account(s) shall be held by the account holders jointly with rights of survivorship (payable to either or the survivor). Each joint tenant irrevocably appoints the 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. KFRSL shall be fully protected in acting but shall not be required to act upon the instructions of either of the account holder. Each of the account holder shall be liable, jointly and severally, for any amounts due to KFRSL pursuant to this Agreement, whether incurred by either or both of the account holder.

Risk: The account holder understands(s) that the stock market is a rapidly changing market and that there is an inherent risk in incurring loss in share dealings.

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

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

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

Cancellation Provisions: KFRSL is authorized, in its discretion, should the undersigned die or should KFRSL for any person whatever deem it necessary for its protection, without notice, to cancel any 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 a default, omission or act committed by KFRSL as a broker/member of the DSE the account holder shall be indemnified if and only as provided by the Rules and Regulations of the DSE.

Confirmations and Statements: KFRSL shall use its best endeavors to provide the account holder with (a) written confirmation of each transaction it has effected on instructions, and (b) contract notes (in such form as KFRSL shall determine) setting forth (i) details of the trade date, value date, settlement date, quantity, price, commission rate and DSE "Howla" number or equivalent provided also that the account holder does hereby agree and undertake to confirm in writing beforehand of all my instructions.

Fees and Expenses: The account holder will pay a brokerage commission of _____, and any other related expenses and charges that may from time to time be applicable. Every transaction concluded through and recognized by the DSE is subject to transaction levies other fees imposed by the DSE. The account holder understands that the rate of commission may be changed from time to time.

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

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

Force Majeor: KFRSL shall not be liable for any loss, 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: KFRSL shall not be liable or responsible for any shares that are found to be forged. However, KFRSL 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 notices, instructions or other communication shall be given English and in writing or orally (facsimile, telex, telegram, cable or latter) and shall be sent to KFRSL and the account holder 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 the case of a letter : dispatch of the letter duly stamped and addressed.
 - (ii) in the case of facsimile, telex, telegram or cable on the day of dispatch.
- (c) All oral notices, instructions or other communications should be confirmed in writing within 24 hours.

Definitions: Words defined herein save where a contrary meaning appears or such meaning is inconsistent with the context shall have this same defined meaning wherever used.

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

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

2	0	Y	Y
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Please paste
recent passport
size Photograph of
1st Applicant or
Authorized
Signatory in case
of Limited Co. Only

Please paste
recent passport
size Photograph of
2st Applicant or
Authorized
Signatory in case
of Limited Co. Only

1st Applicant, Signature, Name & Date

2st Applicant, Signature, Name & Date

FOR OFFICIAL USE ONLY :

Introduced by : Approved by :

Signature : Signature :

Name : Name :



BO Account Opening Form

[Bye Law 7.3.3 (b)]

Please complete all details in CAPITAL letters. Please fill all names correctly. All communication shall be sent only to the First Named Account Holder's correspondence address.

Application No

Date (DD/MM/YYYY)...../...../20.....

Please Tick whichever is applicable

BO Category : Regular ☐ Omnibus ☐ Clearing ☐BO Type : Individual ☐ Company ☐ Joint Holder ☐

Name of CDBL Participant (Up to 99 Characters)

KAZI FIROZ RASHID SECURITIES LTD.

CDBL Participant ID

BO ID

Date Account Opened (DDMMYYYY)

2 4 5 0 0

1 2 0 2 4 5 0 0

2 0

I/ We request you to open a Depository Account in my/ our name as per the following details :

1. First Applicant

Name of Full of Account Holder (Up to 99 Characters)

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

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

(In case of a Company/Firm/Statutory Body) Name of Contact Person

In Case of Individual

Male ☐Female ☐

Occupation (30 Characters)

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

Mother's Name.....

2. Contact Details :

Address

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

Mobile Phone..... Fax..... E-mail.....

3. Passport Details :

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

4. Bank Details

Bank Name Branch Name..... Account No.....

Electronic Dividend Credit Yes ☐ No ☐ Tax Exemption. if any Yes ☐ No ☐ TIN / Tax ID :.....

5. Others Information

Residency: Resident ☐ Non Resident ☐ Nationality..... Date of Birth (DDMM/YYYY)Statement Cycle Code Daily ☐ Weekly ☐ Fortnightly ☐ Monthly ☐ Other (Please Specify).....

Internal Ref. No (To be filled in by CDBL Participant).....

In Case of Company :

Date of Registration (DD/MM/YYYY)

Registration No.....

6. Joint Applicant (Second Account Holder)

Name of Full (Up to 99 Characters).....

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

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

7. Account Link Request

Would you like to create a link to your existing Depository Account ? Yes ☐ No ☐

If yes, then please provide the Depository BO Account Code (8 Digits)

8. Nominees/ Heirs

If account holder(s) wish to nominate person(s) who will be entitled to receive securities outstanding in the account in the event of the death of the sole account holder / all the joint account holders, a separate nomination Form - 23 must be filled up and signed by all account holders and the nominees giving names of nominees, relationship with first account holder, percentage distribution and contact details. If any nominee is a minor, guardian's name, address, relationship with nominee has also to be provided.

9. Power of Attorney (POA)

If account holder(s) wish to give a Power of Attorney (POA) to someone to operate the account, a separate Form - 20 must be filled up and signed by all account holders giving the name contact details etc. of the POA holder and a POA document lodged with the form.

10. To be filled in by the Stock Broker / Stock Exchange in case the application is for opening a Clearing Account

Exchange Name DSE ☒ Trading ID..... CSE ☐ Trading ID.....

11. Photograph

<p>Please paste recent passport size Photograph of 1st Applicant or Authorized Signatory in case of Limited Co. Only</p>	<p>Please paste recent passport size Photograph of 2nd Applicant or Authorized Signatory in case of Limited Co. Only</p>	<p>Please paste recent passport size Photograph of Authorized Signatory in case of Limited Co. Only</p>
1 st Applicant or Authorized Signatory in case of Ltd Co.	2 nd Applicant or Authorized Signatory in case of Ltd Co.	Authorized Signatory in case of Ltd Co. Only

12. Standing Instructions

I/We authorized you to receive facsimile (fax) transfer instructions for delivery. Yes ☐ No ☐

13. 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 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.

Applicant(s)	Name of applicant(s) / Authorized signatorie(s) in case of Ltd. Co.	Signature with date
First Applicant		
Second Applicant		
3rd Signatory (Ltd. Co. only)		

14. Special Instructions on operation of Joint Account

☐ Either or Survivor ☐ Any one can operate ☐ Any two will operate jointly

☐ Account will be operated by _____ with any one of the others.

15. Introduction

Introduction by an existing account holder of KAZI FIROZ RASHID SECURITIES LTD.																	
Depository Participant's Name																	
I confirm the identity, occupation and address of the applicant(s).....																	
Introducer's Name																	
.....Account ID	<table><tr><td>1</td><td>2</td><td>0</td><td>2</td><td>4</td><td>5</td><td>0</td><td>0</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>	1	2	0	2	4	5	0	0								
1	2	0	2	4	5	0	0										
(Signature of Introducer)																	

Central Depository Bangladesh Limited (CDBL)
Depository Account (BO Account) opened with CDBL Participant
Terms & Conditions - Bye Laws 7.3.3(c)

To

The Managing Director

KAZI FIROZ RASHID SECURITIES LTD.

TREC No. 29, Dhaka Stock Exchange Ltd.

Room - 408, 503, DSE Building, 9/F

Motijheel C/A, Dhaka-1000, Bangladesh

Phone : +88-02-9558915, Pabx : +88-02-9564601-7, Ext - 408, 503

Dear Sir,

Please open a Depository account (BO Account) in my/our names(s) on the terms and conditions set out below. In consideration of (the "CDBL Participant") opening the account providing depository account facilities to me/us, I/we have signed the BO Account Opening Form as a token of acceptance of the terms and conditions set out below.

1. I/we 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 the 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 agree to pay such fees, charges 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 holding securities in and transacting through the said depository account with the CDBL Participant.
4. I/we 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 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 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 authorised remains a minor at the time of my/our death, the legal guardian is authorised to receive/draw the securities held in my/our account.
 - c) The nominee so authorised, 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 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 my 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 execution of the instructions of the Account Holder.
 - d) to 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 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 statements.
 - 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.