

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

"It is better to invest in the stock market with knowledge, as it can be risky"



ALPHA EQUITIES LTD.

Account Opening Form

Account No

:

Account Name

:

Contact No

:

E-mail

:



[SEC Rule 8 (1), (CCC)]

ALPHA EQUITIES LTD.Corporate TREC Holder of Dhaka Stock Exchange Limited
TREC No. DSE # 56

“শেয়ার বাজারে বিনিয়োগ ঝুঁকিপূর্ণ। জেনে ও বুঝে বিনিয়োগ করুন”
"It is better to invest in the stock market with knowledge, as it can be risky"

CUSTOMER ACCOUNT INFORMATION FORM

| | | | | | | | | | | | | | | | | | | | | |
|---|--------------|---|---|---|---|---|---|-------------|---|----------------------|--|--------------|--|--|--|--|--|--|--|--|
| Date: | Account No.: | BO ID No.: | 1 | 2 | 0 | 4 | 2 | 3 | 0 | 0 | | | | | | | | | | |
| Account Type: Cash <input type="checkbox"/> Margin: <input type="checkbox"/> Link A/C: <input type="checkbox"/> | | Account Category: Local <input type="checkbox"/> NRB <input type="checkbox"/> | | Status: Individual <input type="checkbox"/> Joint: <input type="checkbox"/> Corporate: <input type="checkbox"/> | | | | | | | | | | | | | | | | |
| Special Remarks, if any: | | | | | | | | | | | | | | | | | | | | |
| PARTICULARS OF PRINCIPAL APPLICANT | | | | | | | | | | | | | | | | | | | | |
| Full Name (in Block letters): | | | | | | | | | | | | | | | | Photograph of First Applicant | | | | |
| Father's/Husband's/CEO/MD (in case of an Organization) Name: | | | | | | | | | | | | | | | | | | | | |
| Mother's Name: | | | | | | | | | | | | | | | | | | | | |
| Spouse's Name (if applicable): | | | | | | | | | | | | | | | | | | | | |
| Present Address: | | | | | | | | | | | | | | | | | | | | |
| Permanent Address: | | | | | | | | | | | | | | | | | | | | |
| Date of Birth: | | | | Sex: Male <input type="checkbox"/> Female <input type="checkbox"/> | | | | Profession: | | | | Nationality: | | | | | | | | |
| Phone: | | | | Fax: | | | | E-mail: | | | | | | | | | | | | |
| National ID No.: | | | | | | | | | | TIN Number (if any): | | | | | | | | | | |

| | | | | | | | | | | | | | | | | | | | | | | | |
|--|--|--|--|--|--|--|--|--------------|--|-----------------------|--|--------------|--|--|--|--|--|--|--|--|--|--|--|
| PARTICULARS OF JOINT APPLICANT | | | | | | | | | | | | | | | | | | | | | | | |
| Full Name (in Block letters): | | | | | | | | | | | | | | | | Photograph of Joint Applicant | | | | | | | |
| Father's/Husband's/CEO/MD (in case of an Organization) Name: | | | | | | | | | | | | | | | | | | | | | | | |
| Mother's Name: | | | | | | | | | | | | | | | | | | | | | | | |
| Spouse's Name (if applicable): | | | | | | | | | | | | | | | | | | | | | | | |
| Present Address: | | | | | | | | | | | | | | | | | | | | | | | |
| Date of Birth: | | | | | | | | | | | | | | | | | | | | | | | |
| Sex: Male <input type="checkbox"/> Female <input type="checkbox"/> | | | | Profession: | | | | Nationality: | | | | | | | | | | | | | | | |
| Phone: | | | | Fax: | | | | E-mail: | | | | | | | | | | | | | | | |
| National ID No.: | | | | | | | | | | TIN Number (if any) : | | | | | | | | | | | | | |
| PARTICULARS OF AUTHORIZED PERSON (IF ANY) | | | | | | | | | | | | | | | | | | | | | | | |
| Full Name (in Block letters): | | | | | | | | | | | | | | | | Photograph of Authorized Person | | | | | | | |
| Father's/Husband's Name: | | | | | | | | | | | | | | | | | | | | | | | |
| Mother's Name: | | | | | | | | | | | | | | | | | | | | | | | |
| Present Address: | | | | | | | | | | | | | | | | | | | | | | | |
| Date of Birth : | | | | Sex: Male <input type="checkbox"/> Female <input type="checkbox"/> | | | | Profession: | | | | Nationality: | | | | | | | | | | | |
| Phone: | | | | Fax: | | | | E-mail: | | | | | | | | | | | | | | | |

Whether the Customer of 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

| | | | | | | | | | | | | | | | | | | | |
|--|--|--|--|--|--|---|--|--|--|--|--|--|--|--|--|-----------------------------------|--|--|--|
| PARTICULARS OF INTRODUCER | | | | | | | | | | | | | | | | | | | |
| Full Name (in Block letters): | | | | | | | | | | | | | | | | Signature of Introducer with Date | | | |
| Address: | | | | | | | | | | | | | | | | | | | |
| Special Instruction, if any: | | | | | | | | | | | | | | | | | | | |
| ✓ | | | | | | ✓ | | | | | | ✓ | | | | | | | |
| Signature of First Applicant with date | | | | | | Signature of Authorized Person (if any) | | | | | | Signature of Joint Applicant with date | | | | | | | |
| FOR OFFICIAL USE ONLY | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | |
| Checked by | | | | | | Recommended by | | | | | | Signature of Approving Authority | | | | | | | |

Corporate/Institution Particulars

Photograph of
MD/CEO

Photograph of
Authorised
Person

Photograph of
Authorised
Person

Photograph of
Authorised
Person

Client Account No.

Account Type: Cash ☐ Margin ☐

BO ID NO.

Special Remarks, If any:

Name of the Customer

Type of Company: Public ☐ Private ☐ Partnership ☐ Proprietorship ☐

Registered Address..

Date of Incorporation TIN No.

Trade License No. License Date

Company Registration Number Company Registration Date

Business Activities

☐ Services ☐ Financial ☐ Manufacturing ☐ Export/Import ☐ Consultant ☐ Trading
☐ Retailing ☐ Wholesaler ☐ Commission ☐ Agents ☐ Others (Please specify)

Tel Fax E-mail

Name of Managing Director/CEO

Contact Details: Tel Fax E-mail

Name and contact details of authorized person of the customer to deal with Alpha Equities Ltd.

| | Name | Designation | Telephone/Cell | Facsimile | E-mail |
|---|--|--|--|--|--|
| 1 | | | | | |
| 2 | | | | | |
| 3 | | | | | |
| 4 | | | | | |

Whether the Customer 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:

Name and Signature of Authorized Person (s) of the customer

| Name | Signature | Date |
|--|--|--|
| 1 | | |
| 2 | | |
| 3 | | |
| 4 | | |

Date & Signature of the person Introducing the Customer

Date & Signature & Seal of Customer

Authorized Signatory accepting the Account

Date & Signature of CEO/Director



ALPHA EQUITIES LTD.

Corporate TREC Holder of Dhaka Stock Exchange Limited
TREC No. DSE # 56

(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 **Alpha Equities Ltd.** 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 be governed by the terms and conditions of this agreement as provided hereinafter and as may be modified from time to time by AEL and that I/we/company name have/has the necessary authority and permission to enter this agreement.

TERMS AND CONDITIONS

Instructions: A written instruction shall be given to **Alpha Equities Ltd.** from time to time to purchase and/or sell Investments (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, **AEL** shall, so far as **AEL** 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) **AEL** 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 below).
- 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. Trades may fail where non-agreed lot sizes are delivered.

Joint Accounts: If this is a joint account, unless the Account Holders notify **Alpha Equities Ltd.** otherwise and provide such documentation, as **AEL** may require at its sole discretion, the brokerage accounts(s) shall be held by the Account Holders jointly with rights or survivorship (payable to either or the survivor) under these terms and conditions each joint Account Holder 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. **AEL** shall be fully protected and indemnified in acting but shall not be required to act upon the instructions of either of the Account Holder, who shall be liable, jointly and severally, for any amounts due to **AEL** pursuant to this agreement, whether incurred by either or both of the Account Holders.

Risk: The Account Holder understand(s) that the stock market is rapidly changing market and that there is an inherent risk in incurring loss in share dealings, which **Alpha Equities Ltd.** is not in any way whatsoever liable and/or responsible for the share dealings of the Account Holder.

Limit Orders: While **Alpha Equities Ltd.** will endeavor to purchase or sell the Investment within the limits of prices that may be notified by the Account Holder; **AEL** does not guarantee or assure that the transactions will be materialized with on such notified limits. **AEL** will always endeavor to obtain the best price.

Associates Companies: **Alpha Equities Ltd.** may purchase and/or sell Investment on behalf of the Account Holder by placing order with itself and other companies whether acting as underwriter(s), investment manager(s), merchant or commercial bank(s), registered or licensed deposit-taker(s), broker(s), dealer(s) or otherwise, or with any other broker(s) and dealer(s) as **AEL** in its sole discretion may decide.

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

Cancellation Provisions: Alpha Equities Ltd. is authorized, in its discretion, should the undersigned die or should AEL for any reason whatsoever deems it necessary for its protection, without notice, as for any reasons 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 Alpha Equities Ltd. as a broker/TREC Holder of the DSE, the Account Holder shall be indemnified if and only as provided by the Rules and Regulations of the DSE.

Confirmation and Settlements: Alpha Equities Ltd. shall use its best endeavors to provide the Account Holder with (a) written confirmation of each transaction it has effected in instruction; and (b) contract notes (in such form as AEL shall determine) setting forth (i) details of the trade date, value date, settlement date, quantity, price, commission rate and DSE "Howla" number equivalent provided also that the Account Holder does hereby agree and undertake to confirm in writing beforehand of all our 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 to be applicable. Every transaction concluded through and recognized by the DSE is subject to transaction levies or other fees imposed by the DSE. The Account Holder understands that the rate of commission may be changed from time to time at the discretion of AEL.

Set-off: Alpha Equities Ltd. shall be entitled to, in respect of all commission, costs, charged or expense, set off from any monies from time to time held by AEL for the Account Holder and if such monies are insufficient for the purpose, to sell any Investment held by AEL or any of its agents on behalf of the Account Holder.

Termination: This agreement will stand terminated:

- i) Upon the expiry of the period of this Agreement unless renewed upon mutual agreement between Alpha Equities Ltd. and the Account Holder
- ii) Before the expiry of this Agreement, if either Alpha Equities Ltd. or the Account Holder givesMonth's notice. Termination shall not absolve the parties from completing accounts and adjusting any outstanding dues or respective rights and obligations under this agreement.
- iii) If the Account Holder fails to make payment for any transaction upon due notice for a period of Days.

Assignment: The benefits/rights and burdens/obligations of this agreement are capable of assignment by both the Account Holder and Alpha Equities Ltd. without the consent of the other but the notice of assignment must be given to the other in writing. [Legally - rights are assignable and obligations are transferred]

Force Majeure: Alpha Equities Ltd. 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 and national disaster or any other event or force majeure or circumstances beyond its control.

Forged Shares: Alpha Equities Ltd. shall not be liable or responsible for any shares that are found to be forged. However, Alpha Equities Ltd. will make every attempt to replace the forged shares from the seller.

Law: The terms and conditions contained herein shall be governed by and be construed in accordance with the laws of Bangladesh.

Notices:

- a) All notices, instructions or other communications shall be given in English and in writing (facsimile, telex, telegram, cable, or letter) or orally and shall be sent to Alpha Equities Ltd. and the Account Holder at the address, e-mail, fax and/or telex number shown herein or at such other address as may be communicated by the parties here to in writing.
- b) Proof of delivery of dispatch shall be:
 - i) In the case of letter: dispatch of the letter duly stamped and addressed.
 - ii) In the case of facsimile, telex, telegram or cable on the day of dispatch with physical or actual confirmation.
- c) All verbal notices, instructions or other communications should be confirmed in writing via e-mail and/or office notice and/or letter 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 Due: For all purposes, including any legal proceedings, a certificate by any of **Alpha Equities Ltd.** officers confirming the monies and/or liabilities for the time being due and/or incurred to by the Account Holder shall conclusive evidence thereof against him/her.

Disputes and Resolution of Dispute: In case of any dispute arising between the **Alpha Equities Ltd.** and the Account Holder in connection with the interpretation or enforcement of the terms and conditions contained therein, attempts should be made to settle the matter amicably, in case of failure to settle the matter amicably, the same shall be referred to arbitration of two arbitrators, each to be nominated by the parties who shall also appoint an Umpire. The decision of the arbitrators, so nominated, shall be binding on both the parties. The arbitration shall be conducted in accordance with the Arbitration Act 2001.

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 of20.....

✓
Signature of the First Applicant

✓
Signature of the Joint Applicant

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** correspondence address.

Application No _____

Date (DDMMYYYY). _____

Please Tick whichever is applicable

| | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--|---|---|---|---|--------------|--|---|---|---|--|---|---|---|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| BO Category: Regular <input type="checkbox"/> Omnibus <input type="checkbox"/> Clearing <input type="checkbox"/> | | | | | | | | | | BO Type : Individual <input type="checkbox"/> Company <input type="checkbox"/> Joint Holder <input type="checkbox"/> | | | | | | | | | | | | | | | | | |
| Name of CDBL Participant (Up to 99 Characters): Alpha Equities Ltd. | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| CDBL Participant ID | | | | | BO ID | | | | | | | | | | Date of Account Opened (DDMMYYYY) | | | | | | | | | | | | |
| 4 | 2 | 3 | 0 | 0 | 1 | | 2 | 0 | 4 | 2 | 3 | 0 | 0 | | | | | | | | | | | | | | |

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

1. First Applicant

[illegible]

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

| | |
|---|---|
| Routing Number _____ | Bank Account Number _____ |
| Bank Name _____ | Branch Name _____ District Name _____ |
| Bank Identifier Code _____ | SWIFT Code _____ International Bank A/C No (IBAN) _____ |
| Electronic Dividend Credit: Yes <input type="checkbox"/> No <input type="checkbox"/> Tax Exemption if any. Yes <input type="checkbox"/> No <input type="checkbox"/> TIN/Tax ID: _____ | |

5. Others Information

Residency: Resident ☐ Non Resident ☐ Nationality ----- Date of Birth (DDMMYYYY)

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| | | | | | | | |
|--|--|--|--|--|--|--|--|

Statement Cycle Code Daily ☐ Weekly ☐ Fortnightly ☐ Monthly ☐ Other (Please Specify) -----

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

In Case of Company: Registration No ----- Date of Registration (DDMMYYYY)

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| | | | | | | | |
|--|--|--|--|--|--|--|--|

6. Joint Applicant

[illegible]

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 (Last 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 filed 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 filed 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

Please paste
recent passport
size Photograph of

1st Applicant or
Authorized
Signatory in case
of Limited Co. Only

1st Applicant or Authorized
Signatory in case of Ltd Co. Only

Please paste
recent passport
size Photograph of

2nd Applicant or
Authorized
Signatory in case
of Limited Co. Only

2nd Applicant or Authorized
Signatory in case of Ltd Co. Only

Please paste
recent passport
size Photograph of

Authorized
Signatory in case
of Limited Co. Only

Authorized Signatory in
case of Ltd Co. Only

12. Standing Instructions

I/ We authorize 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.

| Applicants | Name of Applicants / Authorized signatories in case of Ltd Co. | Signature with date |
|-----------------------------------|--|---------------------|
| First Applicant | | ✓ |
| Joint Applicant | | ✓ |
| Third 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 Alpha Equities Ltd.

I confirm the identity, occupation and address of the applicant(s) _____

Introducer's Name: _____

Account ID: 1 2 0 4 2 3 0 0 _____

(Signature of Introducer)

Central Depository Bangladesh Limited
Depository Account (BO Account) Opened with CDBL Participant
TERMS & CONDITIONS
[(Bye Law 7.3.3 (c))]

CDBL Participant, Dhaka/Chittagong/Sylhet, Bangladesh.

Dear Sir,

Please open a Depository account (BO Account) in my/our name(s) on the terms and conditions set out below. In consideration of **Alpha Equities Ltd.** (the "CDBL Participant") opening the account providing depository account facilities to me/us, I/we have signed the BO Account Opening Form as 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 Operation Instructions issued from time to time by CDBL.
2. CDBL shall allocate a unique identification number of me/us (Account Holder BO ID) for the CDBL Participant to maintain a separate Account for me/us, unless the I/we instruct 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 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 nominees 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 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 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 balance 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) 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 Holders account are sufficient to honour the Account Holders 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 endeavor 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 decree of any court or the Bangladesh Securities and Exchange Commission;
- c) Commits or participants in any fraud or other act of moral turpitude in his/its dealings with the CDBL Participant;
- d) Otherwise misconducts 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.

| Applicant | Name of Applicant/Authorized Signatories in case of Ltd. Co. | Signature with Date |
|------------------------------------|--|---------------------|
| First Applicant | | ✓ |
| Joint Applicant | | ✓ |
| Third Signatory (Ltd. Co. Only) | | ✓ |

BO Account Nomination Form

Please complete all details in CAPITAL letters. **Please fill all names correctly.** All communications shall be sent to the correspondence address of only the **First Named Account Holder** as specified in BO Account Opening Form -02.

Application No

Date (DDMMYYYY)

Name of CDBL Participant (Up to 99 Characters): **Alpha Equities Ltd.**

CDBL Participant ID

| | | | | |
|---|---|---|---|---|
| 4 | 2 | 3 | 0 | 0 |
|---|---|---|---|---|

Account Holder's BO ID

1

2

0

4

2

3

0

0

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.

I/ We nominate the following person(s) who is/are entitled to receive securities outstanding in my/our account in the event of the death of the sole holders / all the joint holders.

1. Nominee / Heirs Details

Nominee 1

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./Dr.

Relationship with A/C Holder: Percentage (%)

Address

City Post Code State / Division Country Telephone

Mobile Phone Fax E-mail

Passport No Issue Place Issue Date Expiry Date

Residency: Resident ☐ Non Resident ☐ Nationality Date of Birth (DDMMYYYY)

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| | | | | | | | |
|--|--|--|--|--|--|--|--|

Guardian's Details (if Nominee is a Minor)

Name in Full

Short Name (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.

Relationship with Nominee Date of Birth of Minor (DDMMYYYY) Maturity Date of Minor (DDMMYYYY)

Address

City Post Code State / Division Country Telephone

Mobile Phone Fax E-mail

Passport No Issue Place Issue Date Expiry Date

Residency: Resident ☐ Non Resident ☐ Nationality Date of Birth (DDMMYYYY)

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| | | | | | | | |
|--|--|--|--|--|--|--|--|

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./Dr. | |
| | | | |
| Relationship with A/C Holder | | Percentage (%) | |
| Address | | | |
| City | Post Code | State / Division | Country Telephone |
| Mobile Phone | Fax | E-mail | |
| Passport No | Issue Place | Issue Date | Expiry Date |
| Residency: Resident | Non Resident | Nationality | Date of Birth (DDMMYYYY) |
| Guardian's Details (if Nominee is a Minor) | | | |
| Name in Full | | | |
| Short Name (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. | |
| | | | |
| Relationship with Nominee | | Date of Birth of Minor (DDMMYYYY) Maturity Date of Minor (DDMMYYYY) | |
| Address | | | |
| City | Post Code | State / Division | Country Telephone |
| Mobile Phone | Fax | E-mail | |
| Passport No | Issue Place | Issue Date | Expiry Date |
| Residency: Resident | Non Resident | Nationality | Date of Birth (DDMMYYYY) |

2. Photograph of Nominees / Heirs

| | | | |
|---|---|---|---|
| <p>Please paste recent passport size Photograph</p> | <p>Please paste recent passport size Photograph</p> | <p>Please paste recent passport size Photograph</p> | <p>Please paste recent passport size Photograph</p> |
|---|---|---|---|

Nominee / Heir 2

Guardian 2

| | Name | Signature |
|------------------|------|-----------|
| Nominee / Heir 1 | | |
| Guardian 1 | | |
| Nominee / Heir 2 | | |
| Guardian 2 | | |
| First Applicant | | ✓ |
| Joint Applicant | | ✓ |

To
Alpha Equities Ltd.

Subject : Application for Telephonic/Fax/Electronic/Internet Trade.

Dear Sir,

I am bearing AEL Securities Account No having telephone number #
(no order shall be accepted without the authorized telephone number), applying for telephonic trade facility for my said portfolio account.

I/We also hereby agreed that the AEL shall not be liable for any losses, damages, expenses, costs, liabilities and claims of whatsoever nature:

- (i) caused by the unauthorized use of Client's or any of his/her Authorized Person's signatures provided that in any such case the **AEL** shall have properly investigated such signatures in accordance with approved banking practice and by reference to any certified specimen signatures delivered to the **AEL/Trading Staff**.
- (ii) arising from any communication error or ambiguity in any instructions received by the **AEL/Trading Staff**.
- (iii) As a result of the **AEL** acting on oral instructions from the Client or his/her Authorized person which subsequently confirmed without failure in writing within next business day.

To
Alpha Equities Ltd.

Subject: Request of Daily Portfolio Statement through E-mail.

Dear Sir,

I am bearing **AEL** Securities Account No
would kindly request you to send daily portfolio statement of my account at the following e-mail address.

E-mail Address :

Thank You.

Sincerely Yours,

Signature of the First Applicant

Date

Signature of the Joint Applicant

Date

**ALPHA EQUITIES LTD.**

Corporate TREC Holder of Dhaka Stock Exchange Limited

KYC PROFILE FORM

| | | | | | | | | | | | | | | | | | | | | | |
|-----|---|---|------------------------------------|---|---|---|---|---|---|---|--|--|--|--|-----------------|--|---|--|----------------|---|--|
| 1. | BO ID | : | 1 | 2 | 0 | 4 | 2 | 3 | 0 | 0 | | | | | | | | | Client Code | : | |
| 2. | Type of Account | : | | | | | | | | | | | | | | | | | Account Status | : | |
| 3. | Customer Name | : | | | | | | | | | | | | | | | | | | | |
| 4. | Nationality | : | | | | | | | | | | | | | Occupation | | : | | | | |
| 5. | National ID No (If any) | : | | | | | | | | | | | | | TIN No (If any) | | : | | | | |
| 6. | Passport No (If any) | : | | | | | | | | | | | | | Date of Expiry | | : | | | | |
| 7. | Driving License No. (If any) | : | | | | | | | | | | | | | Date of Expiry | | : | | | | |
| 8. | (In Case of Organization) | : | | | | | | | | | | | | | | | | | | | |
| 9. | Name of CEO/MD | : | | | | | | | | | | | | | | | | | | | |
| 10. | Date of Incorporation | : | | | | | | | | | | | | | TIN No. | | : | | | | |
| 11. | Organizational Status | : | | | | | | | | | | | | | Registration No | | : | | | | |
| 12. | Information regarding Beneficial Owner of the account (In cash of company, information regarding controlling shareholder (s) and the shareholder (s) Holder 20% or more shares) | | | | | | | | | | | | | | | | | | | | |
| 13. | Occupation Details/ Nature of Business | : | | | | | | | | | | | | | | | | | | | |
| 14. | Source of Fund | : | | | | | | | | | | | | | | | | | | | |
| 15. | Present / Contact Address | : | (AEL will verify by thanks letter) | | | | | | | | | | | | | | | | | | |
| 16. | Permanent Address | : | | | | | | | | | | | | | | | | | | | |

Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick.

NID Card ☐ Passport ☐ Driving License ☐ Electricity/Water Bill ☐ Other : ☐

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

Signature of the Applicant

FOR OFFICE USE ONLY

Originals verified and Self-Attested Document copies received

Signature of CCU Member

Required Documents

Document Requirement for Bangladeshi Nationals - Single/Joint Account

- ☐ 3 copies passport size photo of each applicant.
- ☐ 1 copy photo of nominee attested by applicant.
- ☐ 2 copies photo of authorized person (if applicable).
- ☐ Bank Statment of principal applicant.
- ☐ A photocopy of MICR Cheque of applicant for Routing No.
- ☐ Photocopy of National ID card with signature or Bank Certificate of applicant.
- ☐ Photocopy of National ID card with signature of nominee.
- ☐ TIN Certificate of principal applicant (If any).
- ☐ BO acknowledgment for link account (if applicable).

Document Requirement for Corporate/Institutions

- ☐ Certified copy of Form-XII from RJSE.
- ☐ Copy of Memorandum and Articles of Associations.
- ☐ Copy of valid Trade license, TIN Certificate.
- ☐ Board Resolution regarding opening the BO account.
- ☐ 3 copies of passport size photo of Signatories.
- ☐ Copy of Certificate of Incorporation and Commencement of business.
- ☐ Company Seal and Company Bank Certificate/Bank Statement of last 6 months.
- ☐ A photocopy of MICR Cheque for Routing No.
- ☐ NID of Signatories with Signature.
- ☐ BO acknowledgement for link account (if applicable).

Proprietorship/Partnership

- ☐ 3 copies of passport size photo of (Signatory) authorized person.
- ☐ Copy of valid Trade license, TIN Certificate/AT/Tax.
- ☐ Company Bank Certificate/Bank Statement of last 6 months.
- ☐ A photocopy of MICR Cheque for Routing No.
- ☐ Partnership Deed .
- ☐ Partners letter of authority to open BO Account and authorization for operation.
- ☐ 18-a permission form Bangladesh (for GSA & agent only) .
- ☐ BO acknowledgement for link account (if applicable).
- ☐ NID of Signatories with Signature.
- ☐ Photocopy of National ID card with signature of nominee.

NRB - Single/Joint

- ☐ 3 copies passport size photo of each applicant attested by the introducer.
- ☐ 1 copy photo of Nominee attested by applicant.
- ☐ 2 copies photo of POA.
- ☐ Copy of latest Bank Statement/Bank Certificate of FC/NITA Account.
- ☐ A photocopy of MICR Cheque for Routing No.
- ☐ Photocopy of valid Passport with Visa, Work Permit/Citizenship Card.
- ☐ BO acknowledgement for link account (if applicable).
- ☐ Photocopy of National ID card with signature of applicant.
- ☐ Photocopy of National ID card with signature of nominee.