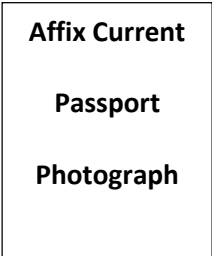


BROKERAGE ACCOUNT

INDIVIDUAL APPLICATION FORM



APPLICANT DETAILS

Title:.....Surname:.....

First Name:.....Middle Name:.....

Mother's Maiden Name:..... Gender.....

Place-of-Birth:.....Date-of-Birth:.....Marital-Status:.....

Residential Address (Not P.O. Box):.....

.....

Preferred Mailing Address:.....

Mobile Phone No.:.....CHN:.....

e-mail Address:.....

Occupation:.....

Drivers License/Passport No.:.....

Employer's Name:.....

Employers' Address:.....

LGA/State of Origin:.....

Citizenship (Non-Nigerian):.....

Next-of-Kin:.....

Relationship of Next of Kin:.....

Address of next of Kin:.....

Next of Kin Telephone No.:.....

FOR MINORS ONLY

First Name:.....Middle Name:.....

Last Name:.....Date of Birth:.....Gender:.....

Mobile Number:.....Email address:

Address:.....

FOR JOINT ACCOUNT HOLDERS

Name of Joint Account Partner:

State the relationship with Joint Account Partner:.....

Have you occupied any Political Position? YES NO

BANK ACCOUNT DETAILS

Name of Bank:.....

Bank Branch:.....

Bank Account Number:.....

TAX No./NIN (National I.D No.):.....

Bank Verification No. (BVN):.....

Date Bank Account Opened:.....

Account Holder's Sources of Funds:.....

DO YOU OPT FOR DIRECT SETTLEMENT INTO YOUR BANK ACCOUNT? YES NO

Declaration:

I/We declare that all the information given for the purpose of opening and operating a brokerage account with APT Securities and Funds Limited are true and accurate. I/We fully understand that it is a crime punishable by Fine or imprisonment or both to knowingly make a false statement or attach false documentation.

Name:.....

Signature:..... Date:.....

**NIGERIA DATA PROTECTION REGULATION
DATA SUBJECT CONSENT FORM**

I hereby grant APT Securities and Funds Limited and all its third-party processors authority to process my personal data, for the purpose of;

- Opening a brokerage account
- Execution of sales and purchase instructions
- Receiving trade alert
- Accessing the company on-line customer portal
- Receiving investment updates and newsletters
- Receiving email, promotions and marketing materials
- Rectification of my personal data
- Financial Services Education
- Asset and portfolio management
- Processing e-dividend
- Research and statistical purpose

I am aware this is necessary for APT Securities and Funds Limited legitimate interest to process personal information for the purpose of processing my request.

I consent to APT Securities and Funds Limited using my personal data for the purposes described in this notice and understand that I can withdraw my consent at any time using the Data Subject Consent Withdrawal Form.

Name of Individual providing Consent:

Address of Individual providing Consent:

Signature: _____ Date: _____

FOR OFFICIAL PURPOSE ONLY

Endorsed by

Data Protection Officer: _____

Name: _____

Signature: _____ **Date:** _____

Comment and Recommendation from **Account officer** on visitation to Client's Address: _____

Status on PEP: **ACTIVE** **NON-ACTIVE**

Risk Rating Matrix: **LOW** **MED** **HIGH**

Relationship Officer's Name		Signature
Compliance Officer's Name		Signature

Individual Account Opening Form

CHECK LIST OF REQUIREMENTS:

Recent passport photograph of signatory	<input type="checkbox"/>
Photocopy of international passport/ driver's license/national I.D card/Voters Card	<input type="checkbox"/>
Photocopy of proof of employment/ source of income	<input type="checkbox"/>
Completed Account Opening Form	<input type="checkbox"/>
Current Utility bill (PHCN/Waste disposal/ Tenancy agreement/Bank Statement)	<input type="checkbox"/>
Birth Certificate (For minors only)	<input type="checkbox"/>
Data Subject Consent Form	<input type="checkbox"/>