



**RESORT
SECURITIES &
TRUST LIMITED**

CHN:

File No:

ACCOUNT OPENING/KNOW YOUR
CLIENT (KYC) FORM

CORPORATE/ ESTATE ACCOUNT

COMPANY/ ESTATE NAME:.....

RC NO:..... DATE OF REGISTRATION:.....

BUSINESS ADDRESS:.....

DIRECTOR 1/ADMOR 1

NAME:.....

RESIDENTIAL ADDRESS:.....

LGA.....CITY.....STATE.....COUNTRY.....

MOBILE NO:..... EMAIL:.....

DATE OF BIRTH:..... STATE OF ORIGIN:..... LGA:.....

NATIONALITY:..... NEXT OF KIN:.....RELATIONSHIP:.....

NEXT OF KIN ADDRESS:.....

NEXT OF KIN TEL NO:..... EMAIL:.....

SIGNATURE MANDATE:

AFFIX A RECENT

PASSPORT

PHOTOGRAPHS OF
SIGNATORIES

DIRECTOR 2/ADMOR 2

NAME:.....

RESIDENTIAL ADDRESS:.....

LGA.....CITY.....STATE.....COUNTRY.....

MOBILE NO:..... EMAIL:.....

DATE OF BIRTH:..... STATE OF ORIGIN:..... LGA:.....

NATIONALITY:..... NEXT OF KIN:.....RELATIONSHIP:.....

NEXT OF KIN ADDRESS:.....

NEXT OF KIN TEL NO:..... EMAIL:.....

SIGNATURE MANDATE:

AFFIX A RECENT

PASSPORT

PHOTOGRAPHS OF
SIGNATORIES

BANK DETAILS (COMMERCIAL BANKS ONLY)

BANK NAME:..... BRANCH:.....

BANK ACCOUNT NAME:.....

ACCOUNT NUMBER:..... DATE ACCOUNT OPENED:.....

TYPE OF ACCOUNT: CURRENT SAVINGS BVN:...../BVN.....

TERMS AND CONDITIONS

- a. RESORT offices are open between the hours of 8 a.m. and 5 p.m. on each day that is designated a Business day in Nigeria (“Business Day”)
- b. Client advices and mandates should be sent physically to RESORT office in Lagos or other office, as RESORT may from time to time maintain elsewhere in Nigeria or via e-mail and SMS. The dedicated e-mail address for mandates is contact@resortsecurities.com and the number for SMS mandate is +2347018073328.
- c. The daily transaction deadline for the receipt of stock mandates and/or amendments from clients is 10 a.m. (Nigerian Time) of the Business Day of which such Mandate is to be executed.
- d. Where a mandate consists of a purchase instruction, it can only be processed if sufficient cleared funds are available to execute such an instruction and prevailing market conditions.
- e. Valid mandates have an execution period of five (5) Business Days unless otherwise specified by the client after which they will be deemed to have expired.
- f. Clients can either choose to be settled directly by CSCS or paid by Resort Securities & Trust Limited after a transaction is consummated. Clients who choose to be settled directly should indicate by filling a direct settlement mandate form and submit to us for processing.
- g. The client is liable to pay all applicable statutory charges on transactions executed on the floors of various Stock Exchanges as may be advised from time to time by the regulatory authorities. Please confirm the ruling charges from the Customer Service Officers or through the Customer Service listed elsewhere on this form.
- h. All other negotiated transactions consummated outside the floors of the Stock Exchanges shall attract charges as will be specifically agreed between the parties in writing.

We, the undersigned, have read and are in agreement with the Terms & Conditions and the Risk Disclosures above:

Director/ Admor.....

Signature.....

Date.....

Director/ Admor.....

Signature.....

Date.....

N.B All deletions and/or alterations must be initiated by the Client. The Mandate must be initialled by all signatories hereto.

ANTI-MONEY LAUNDERING ACT

To help the Federal Government of Nigeria fight the funding of terrorism and money laundering activities, the 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 RESORT, 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 ₦5,000,000.00 or its equivalent in the case of individual or ₦10,000,000.00 or its equivalent in the case of corporate body shall be reported in writing within seven (7) days to the Nigerian Financial Intelligence Unit (NFIU) and the functions of the Securities & Exchange Commission (as applicable)

Director/ Admor.....

Signature.....

Date.....

Director/ Admor

Signature.....

Date.....

E-INDEMNITY

Whereas:

We.....

Email:

Telephone.....

of the above email and telephone number hereby declare that; We are fully aware that Buy and / or Sell Mandate for the trade of shares/stocks/bonds through our **CENTRAL SECURITIES CLEARING SYSTEM LTD (CSCS)** Account domiciled with the company shall be by Buy and/or Sell Mandate Form executed in accordance with the service offering subscribe to and such instructions must emanate from email address and phone numbers filled in this account opening form or by a hard copy of a duly executed mandate form by authorized signatories.

We understand that the company is not required to verify the identity of the person giving instructions in our name provided the instructions are in line our records with the Company.

We understand that it is our responsibility to keep our communication details (Username, Password) and phone device as private and confidential to prevent unauthorized access and we will immediately notify the company should we detect a breach of these medium.

The company has requested and We have agreed to provide the indemnity under the conditions herein contained:

NOW THEREFORE, We instruct that the company should accept and execute instructions and/or give effects to requests to buy or sell stocks on my behalf, any other instruction relating to my account on any of the services usually rendered by the company to her clients, where such instructions and/or requests are given by the aforementioned means.

IN CONSIDERATION of the company agreeing to accept and act upon any such instructions, communications and documents by the telephone, SMS, e-mail, letters issued by me for the sales of shares/stocks/bonds and other forms of unsecured means of communications and unaccompanied by a duly executed Buy and/or Sell Mandate Form, We hereby irrevocably undertake to indemnify the company and hold it harmless from and against all costs (including without limitation to legal fees and expenses, claims,

losses, liabilities, damages and proceedings) whatsoever that the company may incur or that may arise as a result of the Company accepting or acting upon such instructions, communication or documents and including risks due to errors in transaction, misunderstanding or error on the part of the company regarding my identity.

We hereby irrevocably release the Company from all liabilities in the event that any telephone, text messages, e-mail or letter is not received, or is mutilated, altered, illegible or interrupted, duplicated, incomplete, unauthorized, or delayed for any reason.

The company shall have absolute discretion, for any reason whatsoever, to act or not to act upon documentation received by facsimile, e-mail or letters or instructions received by telephone unaccompanied by my executed Buy and/or Sell Mandate Form and/or to request verification of documents and instructions received by such means.

This Indemnity shall be governed by and construed in accordance with the laws of the Federal Republic of Nigeria.

Dated this.....day of.....20.....

Signature (1).....

Signature (1).....

Signed, Sealed and Delivered By the within named:

.....

In the presence of:

Name.....

Signature.....

Date.....

Official Use Only

Account Officer

I confirm that all documents submitted by the client for the purpose of opening both **CSCS** and **RESORT** In-House accounts have been duly sighted and confirmed by me.

Name.....Signature.....

Date:.....

Internal Control.....

Requirements:

A. Corporate Account

1. All CAC Documents i.e. (Certificate of Incorporation, CAC 02, CAC 07 etc)
2. ID Cards of the Signatories to the Account
3. Board of Directors signature mandate.
4. Utility Bill
5. Two recent passport photographs each of the signatories.

B. Estate Account

1. A Will or Letter of Administration from the Probate Registry
2. Death Certificate
3. Newspaper Publication
4. ID Cards of the Signatories to the Account
5. Utility Bill
6. Two recent passport photographs each of the signatories.