

Account Opening Form

Client Name	:															
Client Code No.	:															
B.O.ID. No.	:	1	2	0	2	8	4	0	0							
Mobile No.	:															
Phone No.	:															



HAC SECURITIES LIMITED
MEMBER # 74, DHAKA STOCK EXCHANGE LIMITED

Head Office : 4 & 5, (1st Floor) Motijheel C/A, Dhaka-1000

Tel : 7113501, 7113326, 9550517, 9550669, Fax : 88-02-9551205

Branch Off. : Room No. 610 (5th Floor) DSE Building, 9/F, Motijheel C/A
Dhaka-1000, Tel : 9558129, 9564601-7, Ext-610



Form IA
[SEC Rule 8(1) (CCC)]

HAC SECURITIES LIMITED

MEMBER # 74, DHAKA STOCK EXCHANGE LIMITED

S E C Registration No. : নিবন্ধন ৩.১/ডিএসই-৭৪/২০০৭/১৬৫

Head Office : 4 & 5, (1st Floor) Motijheel C/A, Dhaka-1000, Tel : 7113501, 7113326, 9550517, 9550669

Branch Off. : Room No. 610, (5th Floor) DSE Building, 9/F, Motijheel C/A, Dhaka-1000

Tel : 9558129, 9564601-7, Ext-610

Photo

CUSTOMER ACCOUNT INFORMATION FORM

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

Customer Code :

BOID :

1	2	0	2	8	4	0	0								
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--

Account Type : Cash

☐

Margin

☐

Account Status

: Individual

☐

Joint

☐

Special Remarks, (if any).....

Name of the Customer/Account Holder :

Father's/Husband's Name :

Mother's Name :

Date of Birth

Sex : Male

☐

Female

☐

Nationality

Mailing Address :

Post Code :

Permanent Address :

Post Code :

Phone.....

Mobile No.

Fax :

E-mail :

Joint Account Holder's Name :

Father's/Husband's Name :

Mother's Name :

Date of Birth

Sex : Male

☐

Female

☐

Nationality

Mailing Address :

Post Code :

Permanent Address :

Post Code :

Phone.....

Mobile No.

Fax :

E-mail :

Name with address to the authorised person (if any) of the Account Holder to deal -with **HAC SECURITIES LIMITED**
(A passport size photograph of the Authorized Person is required to be attested by the Customer)

Name of Authorized Person

Mailing Address :

Post Code :

Permanent Address :

Post Code :

Phone

Mobile No.

Fax :

E-mail :

If the Account Holder/Joint Account Holder 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 (if any)

Signature of introducer (if any)

Date :

Signature of authorized person (if any)

Date :

Signature of Customer

Date :

Signature of Joint Account Holder

Date :

Authorized Signatory Accepting the Account

Date :

For **HAC SECURITIES LIMITED**

Date :

TERMS AND CONDITIONS

"BROKER" means **HAC SECURITIES LIMITED**

"BUYER" means the person or persons or company who intends to buy securities for him / her / their securities through the BROKER.

"SELLER" means the person or persons or company who intends to sell his/her/their securities through the BROKER-

"Securities Account" means the account opened by the SELLER/BUYER with the BROKER to sell/buy securities.

"Settlement day" means the days declared by the Stock Exchange, on which transactions carried out by the BROKER on behalf of the SELLER/BUYER at the Stock Exchange are settled/cleared with the Stock Exchange.

"CDBL" means Central Depository Bangladesh Limited incorporated on 20th August 2000 in Bangladesh under Central Depository Act.

SALE ORDER

The SELLER shall deliver to the BROKER valid and negotiable documents, i.e., transfer/s documents duly completed and signed by the SELLER together with relative securities certificates with valid title, prior to placing a sale order.

If for any reason whatsoever securities documents delivered by the SELLER turns out to be forged, invalid, worn out, torn or defaced, the defaulting SELLER shall be liable to his BROKER for any loss or damage sustained or incurred. The defaulting SELLER shall be liable to replace such securities along with all benefits attributable to such securities within two days of reporting in writing to the SELLER by the BROKER. If for any reason the defaulting SELLER fails to replace such securities along with all benefits attributable to such securities within two days of reporting in writing to the SELLER by the BROKER, the BROKER shall have the absolute discretion, to square-up the transaction commencing from the market day after the stipulated period (as above), at the SELLERS risk and the SELLER shall be liable to the BROKER for any loss or damage sustained or incurred.

PAYMENT TO SELLER

The BROKER shall make payment to the SELLER on the settlement day, subject to the overall cash balance of the seller's "Securities Account"

PURCHASE ORDER

The BUYER shall pay his BROKER total value of the PURCHASE order in the BUYERS "Securities Account" prior to placing a PURCHASE order.

PAYMENT BY BUYER

The BUYER shall pay his BROKER on or before the settlement day balance amount (if any), including charges of all securities purchased by him during the period of dealing for that settlement. If the BUYER defaults for whatever reason, he shall be liable to his BROKER for all loss or damage sustained or incurred. In addition, to adjust the outstanding amount, the buying BROKER shall have the absolute discretion, to resell commencing from the market day after the day of settlement, the securities at the buyer's risk and the BUYER shall be liable to the buying BROKER for any loss or damage sustained or incurred.

SETTLEMENT THROUGH CDBL

If the CDBL is involved in the settlement process, client should follow the under mention rules:

Client must maintain a Beneficiary Owner Account with any Depository Participant, and client must inform the broker his B.O. Account number with authentic documents.

Before place any sell order client must transfer his shares from his B.O. Account to Broker Clearing Account with related instruction.

Client will pay the charges of CDBL, if necessary to transfer the shares from client B.O. Account to Broker Clearing Account and Clearing Account to B.O. Account.

Broker reserve the absolute right to deduct the charges at source where applicable relaed to client CDBL operation.

Client will be liable any losses or damages occurred due to wrong or incorrect information related to CDBL is given by the client.

GOVERNING LAW

All the transactions shall be subject to the Rules and Regulations of the Securites and Exchange Commission / Dhaka Stock Exchange Ltd. and other prevailing laws and regulations of Bangladesh and in particular the authority hereinafter granted by the client to the BROKER.

AUTHORITY TO THE BROKER

Broker reserves the absolute right for sale/buy/make/ adjustment/transfer of any Securities at client's risk inorder to set off all losses, damages and debit amount/shares/securities of the "Client Account"

Client shall be bound to pay.....% (in word) charges as brokerage to broker for buy and sell and broker can change time to time.

Client shall be bound to furnish such other particulars, documents and/or information that may reasonably required from time to time.

Broker shall have the right to change / modify any terms and conditions when may deem necessary without any notice to the client.

We hereby accept your above terms and conditions and we declare that the information given is true and correct.

Signature for Customers : 1. ✓

2. ✓

Witnesses : 1. Signature : 2. Signature :

Name : Name :

Address : Address :

FOR OFFICE USE ONLY :

Introduced by : Approved by :

Signature : Signature :

Name : Name :

(Member's/Authority)

The Managing Director
HAC SECURITIES LIMITED
DSE Member No : 74
Head Office : 4 & 5, (1st Floor) Motijheel C/A, Dhaka-1000,
Tel : 7113501, 7113326, 9550517, 9550669

Photo

Photograph of
Authorized Person

Dear Sir

LETTER OF AUTHORISATION

I/We S/o
of.....
hereby authorize Mr/Mrs
S/o
of

whose specimen signature is given below (hereinafter referred to as the "Account Operator") to exclusively deal, buy, sell transfer shares, debenture stocks, bonds and other securities on behalf of me with regard to to "Securities Account" opened and maintained in my name with M/s **HAC SECURITIES LIMITED** submitted (hereinafter referred to as the "Broker")

I/We hereby authorize and instruct the "Broker" to deal, buy, sell transfer shares, stocks, debentures, debenture stocks, bonds and other securities on verbal and/or written instructions of the "Account operator"

I/We also authorize the "Account Operator" to place buy/sell orders, receive confirmation notes, receive and deliver cheques/cash and/or shares other securities on my behalf with regard to my "Securities Account"

I/We hereby declare that's/We am/are fully aware of all consequences of transaction the may be carried out on my behalf by the "Account Operator" and shall take responsibility for all such transaction as that of my own. I shall fulfill and abide by all rules and regulation described in the "Securities Account Opening Form" duly completed and signed by me, with regard to all transaction carried out by the "Accounts Operator" without any demur of protest.

I/We hereby undertake and ensure to make good and compensate for any loss or damage incurred or sustained by the "Broker" for any reason what so ever as a result of any transaction carried out by the "Account Operator"

Thank you

✓
(Signature of Account Operator)

Yours sincerely

✓
1.

✓
1.

✓
2.

✓
2.

(Attested by Account Holder)

Date

Witnesses : 1. Signature : 2. Signature :

Name : Name :

Address : Address :



BO ACCOUNT OPENING FORM
(Bye Law 7.3.3 (b))

Head Office : 4 & 5, (1st Floor) Motijheel C/A, Dhaka-1000
Tel : 7113501, 7113326, 9550517, 9550669

HAC SECURITIES LIMITED
MEMBER # 74, DHAKA STOCK EXCHANGE LIMITED
FULL SERVICE DP - CDBL

Branch Off. : Room No. 610
(5th Floor) DSE Building
9/F, Motijheel C/A, Dhaka-1000
Tel : 9558129, 9564601-7, Ext-610

CDBL Bye Laws

Form 02

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

Application No.

Please Tick whichever is applicable

BO Category : Regular ☐ Omnibus ☐ Clearing ☐ BO Type : Individual ☐ Company ☐ Joint Holder ☐ Date (DDMMYYYY)

Name of CDBL Participant (up to 99 Characters)

HAC SECURITIES LIMITED

CDBL Participant ID

2 8 4 0 0

BO ID

1 2 0 2 8 4 0 0

Date Account Opened (DDMMYYYY)

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

1. First Applicant

Name in 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

Routing Number Bank Account Number

Bank Name Branch Name District Name

Bank Identifier Code (BIC) SWIFT Code International Bank A/C No. (IBAN)

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

5. Other Information

Residency : Resident ☐ Non Resident ☐ Nationality Bangladeshi ☐ 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 (Second Account Holder)

Name in 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. Joint Applicant (Third Account holder)

Name in Full (Up to 99 Characters)

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

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

8. Account-Link RequestWould 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)

9. 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.

10. 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 with the form.

11. To be filled in by the Stock Broker / Stock Exchange in case the application is for opening a Clearing AccountExchange Name DSE ☐ Trading ID CSE ☐ Trading ID**12. Photograph**

Please paste
recent passport
size photograph of
1st Applicant or Authorized
Signatory in case of
Limited Co. Only

First Applicant or Authorized Signatory
in case of Limited Co.

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 Limited Co.

Please paste
recent passport
size photograph of
Applicant or Authorized
Signatory in case of
Limited Co. only

3rd Applicant of Authorized Signatory in case
of Limited Co. only**13. Standing Instructions**

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

14. 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 accouts. 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	Signature
First Applicant		
Second Applicant		
3rd Signatory (Ltd. Co. only)		

15. Special Instruction on operation of Joint Account
☐ Either of Survivor ☐ Any one can operate ☐ Any two will operate Jointly

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

Introduction by an existing account holder of

Depository Participant's Name

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

Introducer's Name

..... Account ID

(Signature of introducer)



HAC SECURITIES LIMITED

MEMBER # 74, DHAKA STOCK EXCHANGE LIMITED

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CDBL Bye Laws

Form-23

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(DD/MM/YYYY)

Name of CDBL Participant (up to 99 Characters): **HAC SECURITIES LIMITED**

CDBL Participant ID

2 8 4 0 0

Account holder's BO ID

1 2 0 2 8 4 0 0

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

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 holder/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.

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)

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.

[illegible]

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)

[illegible]

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)

2. Photograph of Nominees/Heirs

Please paste recent passport size Photograph	Please paste recent passport size Photograph	Please paste recent passport size Photograph	Please paste recent passport size Photograph
--	--	--	--

Nominee/Heir 1

Nominee/Heir 2

Guardian 1

Guardian 2

	Name	Signature
Nominee/Heir 1		
Guardian 1		
Nominee/Heir 2		
Guardian 2		
Frst Account Holder		
Second Account Holder		



HAC SECURITIES LIMITED

MEMBER # 74, DHAKA STOCK EXCHANGE LIMITED

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Tel : 9558129, 9564601-7, Ext-610

CDBL Bye Laws
Form-20

Power of Attorney (POA) 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(DD/MM/YYYY)

Name of CDBL Participant (up to 99 Characters): **HAC SECURITIES LIMITED**

CDBL Participant ID

2 8 4 0 0

Account holder's BO ID.

1 2 0 2 8 4 0 0

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

Power of Attorney Holder's Details

Name in Full:

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

1. Power of Attorney Holder's Contact Details

Address

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

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

2. Power of Attorney Holder's Passport Details

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

3. Others Information of Power of Attorney Holder

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

Power of Attorney Effective form To
D D M M Y Y Y Y D D M M Y Y Y Y

Remarks (insert reference to POA document i.e. Specific POA or-General POA etc.):

4. Photograph of Power of Attorney Holder

<div>Please paste recent passport size Photograph</div>

(POA Holder)

5. 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	Name of Applicants/Authorized signatories incase of Ltd. Co.	Signature with date
POA Holder		
First Applicant		
Second Applicant		
3rd Signatory (Ltd Co. only)		

Central Depository Bangladesh Limited (CDBL)
Depository Account (BO Account) Opened with CDBL Participant
Terms & Conditions - Bye Laws 7.3.3 (c)
CDBL Participant, Dhaka/ Chittagong / Sylhet, Bangladesh



HAC SECURITIES LIMITED
MEMBER # 74, DHAKA STOCK EXCHANGE LIMITED

FULL SERVICE DP - CDBL

HAC SECURITIES LIMITED

Head Office : 4 & 5, (1st Floor) Motijheel C/A, Dhaka-1000
Tel : 7113501, 7113326, 9550517, 9550669

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 **HAC SECURITIES LIMITED** (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 Regulation, 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 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 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 by 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) 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 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 of 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 relates 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 or decree of any court or the Securities and Exchange Commission.
- (c) Commits or participates in any fraud or other act of moral turpitude in his / its dealings with the CDBL participants;
- (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.

Applicants	Full Name	Signature with date
First Applicant		
Second Applicant		
Third signatory (Ltd. Co. only)		

Documents required for Opening Trading / BO Account With



HAC SECURITIES LIMITED

For Individual/Joint

1. Two copies of passport size photograph of the account holder (s) Nominee's.
2. Passport size photograph of authorized person / power of attorney.
3. Name, Client code & signature of the introducer.
4. Photocopy of Passport / Voter ID / Driving License / National ID Card / TIN certificate / Employers certificate of the account holder-or
5. Bank statement and certificate mentioning Name, Father's and Mother's Name of the account holder from the concerned bank.

For Non Resident Bangladesh (Individual/Joint)

1. Two copies of passport size photograph of the account holder(s)
2. Passport size photograph of authorized person / power of attorney.
3. Name, Client code & signature of the introducer.
4. Photocopy of Passport of account holder(s) (vaild)
5. Service agreement with the employer/Work permit/ Residence Permit/Trade License/ vaild work visa.
6. Foreign Currencies Bank Account Certificate and Statement.
7. Salary statement/Tax pay slip.

For Foreign (Individual/Joint)

1. Two copies of passport size photograph of the account holder(s)
2. Passport size photograph of authorized person / power of attorney.
3. Name, Client code & signature of the introducer.
4. Photocopy of Passport of account holder(s) (vaild)
5. Foreign Currencies Bank Account Certificate and Statement.

HAC Securities Limited

Annexure-6

Know Your Customer (KYC) Form

(Applicable for opening of account of Individual and Institution)

1. Name of Account:			
2. Type of Account:	<input type="checkbox"/> Cash <input type="checkbox"/> Margin	Category:	<input type="checkbox"/> Individual <input type="checkbox"/> Joint <input type="checkbox"/> Corporate <input type="checkbox"/> NRB
3. Client Code:	<input type="text"/>	B.O. ID:	<input type="text"/>
4. Name of Account opening officer:			
5. Nature of Business & source of Fund:			

6. Describe how the source of fund has been confirmed. For establishing business relationship, please mention the nature of business in details and describe whether the volume of transaction commensurate with the nature of business:
--

7. Information regarding actual Beneficial owner of the Account (In case of company, detailed information of the controlling Shareholder(s) and the Shareholder(s) individual holding 20% or above of the total share):

8. Passport No.:	Whether photocopy obtained?	<input type="checkbox"/> Yes <input type="checkbox"/> NO	(whether applicable)
9. Voter ID Card No.:	Whether photocopy obtained?	<input type="checkbox"/> Yes <input type="checkbox"/> NO	(whether applicable)
10. National ID Card No.:	Whether photocopy obtained?	<input type="checkbox"/> Yes <input type="checkbox"/> NO	(whether applicable)
11. TIN:	Whether photocopy obtained?	<input type="checkbox"/> Yes <input type="checkbox"/> NO	(whether applicable)
12. VAT Reg. No.:	Whether photocopy obtained?	<input type="checkbox"/> Yes <input type="checkbox"/> NO	(whether applicable)
13. Driving License No.:	Whether photocopy obtained?	<input type="checkbox"/> Yes <input type="checkbox"/> NO	(whether applicable)

14. Reason for opening of Account of Non-residents and Foreigners to be ensured:.....
Type of Visa (Resident/Work).....

15. What does the Customer do/ In what kind of business institution is engaged?

Sl. No.	Nature of Business	Risk level	Score
01.	Jewellery / Gold Business	High	5
02.	Money Changer / Curies Service Agent	High	5
03.	Real Estate Agent	High	5
04.	Construction Project Promoter	High	5
05.	Offshore Corporation	High	5
06.	Art / Antique dealer	High	5
07.	Proprietor of Restaurant /Bar/Night Club/residential Hotel	High	5
08.	Import / Export Agent	High	5

09.	Cash Intensive Business (Tk. 25.00 lac per month)	High	5
10.	Share / Stock Dealer	High	5
11.	Manpower Export Business	High	5
12.	Business Activities at different places	High	5
13.	Film Production/Distribution Agency	High	5
14.	Arms Business	High	5
15.	Mobile Phone Operator	High	5
16.	Cash Intensive business (above Tk. 1.00 crore per annum).	High	4
17.	Travel agent	High	4
18.	Transport operator	Medium	3
19.	Auto dealer (Re-Conditioned Car)	Medium	3
20.	Leasing/Finance Company	Medium	3
21.	Freight/Shipping/Cargo Agent	Medium	3
22.	Insurance/Brokerage Agency	Medium	3
23.	Religious Organization/Institution	Medium	3
24.	Recreational Organization/Park	Medium	3
25.	Motor Parts Business	Medium	3
26.	Tobacco & Cigarette Business	Medium	3
27.	Auto Primary (new car)	Low	2
28.	Proprietor of sop (Retail)	Low	2
29.	Business Agent	Low	2
30.	Small Business Entrepreneur (Yesrly turnover bellow Tk. 50.00 lac)	Low	2
31.	Self Employed professional	Low	2
32.	Corporate Customer	Low	2
33.	Building Construction Materials Business	Low	2
34.	Computer/Mobile Phone Dealer	Low	2
35.	Software Business	Low	1
36.	Manufacturer (Other than Weapons/Arms)	Low	1
37.	Retired From Service	Low	0
38.	Service	Low	0
39.	Student	Low	0
40.	Housewife	Low	0
41.	Farmer	Low	0
42.	Others.....(Bank will fix risk Score as per nature of Business)	Low	0

(Upper limit of category under serial No. 16 to 21 in the tables below will be considered as same. Example: Tk.50.00 Lac will be under 0-50 Lac category)

16. Customer's net worth:

Amount (Taka)	Risk level	Risk rating
1-50 Lac	Low	0
50 Lac - 2 Crore	Medium	1
>2 Crore	High	3

17. How the Account was opened:

Mode	Risk Level	Risk rating
By relationship Manager/Brach officials	Low	0
By Direct Sales Agent	Medium	1
Through Internet	High	3
Unsolicited/Voluntarily	High	3

18. Customer's Expected Monthly Transaction (Amount)

Transaction in Direct Trading Account (Amount In Tk.)	Transaction in Margin Account (Amount In Tk.)	Risk Level	Risk rating
0-10 Lac	0-20 Lac	Low	0
10-25 Lac	20-50 Lac	Medium	1
> 2.5 crore	> 5. crore	High	3

19. *Overall Risk Assessment:

Risk Rating	Risk Level
≥ 10	High
< 10	Low

Comments:

(* The customer may be graded in the level of High Risk under subjective judgment even if risk rating falls below 14)

20. Whether the Address of the Account Holder has been verified?

Yes NO

21. If 'YES' how the same has been verified?.....

22. Politically Exposed Persons (PEPS) as per Bangladesh AML Circular # 14 :

a) Whether the approval has been obtained from Senior Management?

Yes NO

b) Source of Fund.....

c) Whether the Customer has been interviewed face to face?

Prepared by:

Reviewed by:

Account Opening officer

Name & Signature with seal & date

Manager

Name & Signature with seal & date

23. When information of the Account was last reviewed and updated? Date.....

Reviewing & updating Officer

Name & Signature with seal & date

Manager

Name & Signature with seal & date

বি.ও. একাউন্ট খুলতে প্রয়োজনীয় কাগজপত্র-

১. সিঙ্গেল একাউন্ট / জয়েন্ট একাউন্টের ক্ষেত্রে নিম্নে উল্লেখিত প্রমানপত্র সমূহের যেকোন একটি অত্যাৱশ্যকীয় -

জাতীয় পরিচয় পত্র ফটোকপি / পাসপোর্ট ফটোকপি / ইউনিয়ন পরিষদ চেয়ারম্যান প্রদত্ত সার্টিফিকেটের ফটোকপি / ওয়ার্ড কমিশনার প্রদত্ত সার্টিফিকেটের ফটোকপি

- একাউন্ট হোল্ডারের ব্যাংক একাউন্ট সনাক্ত করণের জন্য ব্যাংক ডিপোজিট স্লিপ দিতে হবে।
- ইউনিয়ন পরিষদ চেয়ারম্যান / ওয়ার্ড কমিশনার - কর্তৃক প্রদত্ত সার্টিফিকেটে একাউন্ট হোল্ডারের নাম, পিতার নাম, মাতার নাম এবং ঠিকানা অবশ্যই উল্লেখ থাকতে হবে।
- বিবাহিত মহিলাদের ক্ষেত্রে বি.ও. বইতে স্বামীর নাম লেখা হলে প্রমান হিসেবে প্রদত্ত সনদে'ও স্বামীর নাম অবশ্যই উল্লেখ থাকতে হবে।

২. বি.ও. বইতে নমিনী (বি.ও. বই, পৃষ্ঠা নং ৭-৮) - এর ঘর সঠিক ভাবে পূরণ করা বাধ্যতামূলক।

৩. প্রয়োজনীয় ছবির সংখ্যা -

প্রথম একাউন্ট হোল্ডার - ২ কপি পাসপোর্ট সাইজ

দ্বিতীয় একাউন্ট হোল্ডার (প্রযোজ্য ক্ষেত্রে) - ২ কপি পাসপোর্ট সাইজ

নমিনী - ১ কপি পাসপোর্ট সাইজ

Power of attorney (যদি প্রযোজ্য হয়) - ১ কপি পাসপোর্ট সাইজ

জাতীয় পরিচয় পত্র ফটোকপি / পাসপোর্ট ফটোকপি / ইউনিয়ন পরিষদ চেয়ারম্যান প্রদত্ত সার্টিফিকেটের ফটোকপি / ওয়ার্ড কমিশনার প্রদত্ত সার্টিফিকেটের ফটোকপি

Authorized Person (যদি প্রযোজ্য হয়) - ১ কপি পাসপোর্ট সাইজ

৪. স্বাক্ষরঃ-

- বি.ও. বইতে **Introducer** -এর ক্ষেত্রে অবশ্যই অত্র প্রতিষ্ঠানে একাউন্ট আছে এমন যে কোন একজন ব্যক্তির বি.ও. - আই.ডি. সহকারে স্বাক্ষর থাকতে হবে।
- প্রথম একাউন্ট হোল্ডারের ছবির পিছনে **Introducer** - এর স্বাক্ষর অত্যাৱশ্যকীয়।
- জয়েন্ট একাউন্ট হোল্ডারের ক্ষেত্রে ছবির পিছনে অবশ্যই ব্যক্তির নাম ও প্রথম একাউন্ট হোল্ডারের স্বাক্ষর থাকতে হবে।
- নমিনী / **Power of attorney / Authorized Person** এর ছবির পিছনে অবশ্যই ব্যক্তির নাম ও প্রথম একাউন্ট হোল্ডারের স্বাক্ষর থাকতে হবে।
- বি.ও. বই পূরণের ক্ষেত্রে কোন ধরনের কাটা-ছেড়া, ভুল-ভ্রান্তি থাকলে একাউন্ট হোল্ডার কর্তৃক সঠিক করার পর সেখানে স্বাক্ষর (ইনিসিয়াল) করতে হবে।
- বি.ও. বইতে প্রদত্ত সকল স্বাক্ষর সমূহ একই হতে হবে।

৫. বি.ও. বইতে (পৃষ্ঠা-৫) **Routing Number** ঠিকমত পূরণ করতে হবে।

HAC SECURITIES LIMITED



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