



*Serving Since 1995*

**FIRST CAPITAL**  
Securities Limited  
Stock Broker & Stock Dealer of DSE & CSE

## ACCOUNT OPENING FORM

Name of Account Holder \_\_\_\_\_

Name of Joint Account Holder \_\_\_\_\_

BO Account No. 

1	2	0	4	4	3	0	0								
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--

Client Code \_\_\_\_\_ Mobile # \_\_\_\_\_

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

## REQUIRED DOCUMENTS

### List of Required Documents of Individual for single/ Joint Account

- |  |          |                      |
|--|----------|----------------------|
| 1. Three copies of passport size phtotograph (1st Applicant)                             | Yes / No | <input type="text"/> |
| 2. Three copies of passport size photograph (2nd Applicant)                              | Yes / No | <input type="text"/> |
| 3. Photocopy of National ID card/Passport  | Yes / No | <input type="text"/> |
| 4. Bank Statement /Photo copy of MICR Cheque Leaf.                                       | Yes / No | <input type="text"/> |
| 5. Two copy of photograph of nominee (duly attested by A/C holder)                       | Yes / No | <input type="text"/> |
| 6. Two copies of Photograph of authorized/POA, duly attested by A/C holder (If needed)   | Yes / No | <input type="text"/> |
| 7. National ID card/ Passport of nominee/ authorized/ POA. (duly attested by A/C holder) | Yes / No | <input type="text"/> |
| 8. Photocopy of TIN Certificate (if any)   | Yes / No | <input type="text"/> |

### List of Required Documents of Bangladeshi Institutions

- |   |          |                      |
|---|----------|----------------------|
| 1. Photocopy of Memorandum and Articles of Associations (duly attested)               | Yes / No | <input type="text"/> |
| 2. Photocopy of Certificate of incorporation (duiy attested)                          | Yes / No | <input type="text"/> |
| 3. Photocopy of Valid Trade License   | Yes / No | <input type="text"/> |
| 4. Photocopy of Board resolution to open the account and authorization for operation. | Yes / No | <input type="text"/> |
| 5. List of authorized signatories along with address.                                 | Yes / No | <input type="text"/> |
| 6. Three copies of passport size photographs of the CEO/ MD/ Chairman (duly attested) | Yes / No | <input type="text"/> |
| 7. Two copies of passport size photographs of authorized person (dully attested)      | Yes / No | <input type="text"/> |
| 8. Bank Statement/Photocopy of Cheque Leaf  | Yes / No | <input type="text"/> |
| 9. Photocopy of TIN Certificate (if any)  | Yes / No | <input type="text"/> |

### List of Required Documents of non-resident bangladeshi (single/ Joint Account)

- |  |          |                      |
|--|----------|----------------------|
| 1. Three copies of passport size phtotograph (1st Applicant)   | Yes / No | <input type="text"/> |
| 2. Photocopy of Passport (with valid visa) (1st Applicant).  | Yes / No | <input type="text"/> |
| 3. Copy of Service agreement with the employer/Work permit/Residence Permit/Social Secutiry Card/ Business documents.                | Yes / No | <input type="text"/> |
| 4. Foreign Currency (FC) Bank account certificate containing name of the applicant, name of father & mother and bank account number. | Yes / No | <input type="text"/> |
| 5. Two copy passport size photograph of the Nominee(s), (Attested by account holder)   | Yes / No | <input type="text"/> |
| 6. Two copies passport size photograph of authorized & POA (attested by account holder)  | Yes / No | <input type="text"/> |
| 7. Three copies passport size photograph of 2nd applicant (attested by account holder at the back)                                   | Yes / No | <input type="text"/> |
| 8. Photocopy of Passport (with valid visa of 2nd applicant).   | Yes / No | <input type="text"/> |
| 9. Photocopy of TIN Certificate (if any)   | Yes / No | <input type="text"/> |

### List of requirement documents (Proprietorship)

- |  |          |                      |
|--|----------|----------------------|
| 1. Copy of Valid Trade License   | Yes / No | <input type="text"/> |
| 2. NID Copy & photograph of Contact Person                                 | Yes / No | <input type="text"/> |
| 3. Bank Statement /Photo copy of MICR Cheque Leaf                          | Yes / No | <input type="text"/> |
| 4. Photocopy of TIN Certificate  | Yes / No | <input type="text"/> |
| 5. Three copies of passport size phtotograph                               | Yes / No | <input type="text"/> |
| 6. Two copy of passport size photograph of nominee attested by a/c holder. | Yes / No | <input type="text"/> |
| 7. NID of nominee  | Yes / No | <input type="text"/> |

### List of requirement documents (Partnership)

- |  |          |                      |
|--|----------|----------------------|
| 1. Copy of Valid Trade License   | Yes / No | <input type="text"/> |
| 2. Partnership Deed.   | Yes / No | <input type="text"/> |
| 3. NID Copy & photograph of Authorized Signatory attested by all the partners.   | Yes / No | <input type="text"/> |
| 4. Partners letter of authority to open account and authorization for operation. | Yes / No | <input type="text"/> |
| 5. Bank Statement /Photo copy of MICR Cheque Leaf                                | Yes / No | <input type="text"/> |
| 6. Photocopy of TIN Certificate (Ifany)  | Yes / No | <input type="text"/> |

### List of requirement documents (Association /Trust/Society/ Provident Fund)

- |  |          |                      |
|--|----------|----------------------|
| 1. Trust Deed (for trust account only) duly attested   | Yes / No | <input type="text"/> |
| 2. Photocopy of of Constitution/bylaws/Rules.  | Yes / No | <input type="text"/> |
| 3. Photocopy of Certificated of registration   | Yes / No | <input type="text"/> |
| 4. List of members of the governing bodies along with addresses.   | Yes / No | <input type="text"/> |
| 5. Reorganization letter from NBR (for Provident fund only)  | Yes / No | <input type="text"/> |
| 6. Bank Statement /Photo copy of MICR Cheque Leaf  | Yes / No | <input type="text"/> |
| 7. Photocopy of Board Resolution of governing body to open the account and authorization for operation (Company pad) | Yes / No | <input type="text"/> |
| 8. Photocopy of TIN Certificate (if any)   | Yes / No | <input type="text"/> |
| 9. List of authorized signatories along with addresses.  | Yes / No | <input type="text"/> |
| 10. NID Copy & Photograph of authorized person (duly attested)   | Yes / No | <input type="text"/> |



**CDBL Bye Laws**

**Form 02**

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 (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) CDBL Participant ID	<b>FIRST CAPITAL SECURITIES LIMITED</b>	Date Account Opened (DDMMYYYY)																							
BO ID																									
<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr><td>4</td><td>4</td><td>3</td><td>0</td><td>0</td></tr> </table>	4	4	3	0	0	<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr><td>1</td><td>2</td><td>0</td><td>4</td><td>4</td><td>3</td><td>0</td><td>0</td></tr> </table>	1	2	0	4	4	3	0	0	<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table>										
4	4	3	0	0																					
1	2	0	4	4	3	0	0																		

**/ 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 (30Characters) .....

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 (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. 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**

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

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

2nd Applicant or Authorized Signatory in case of Ltd 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.

	Name of applicants / Authorized signatories 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 ..... Depository Participant's Name

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

.....Account ID

(Signature of Introducer)



*Serving Since 1995*  
**FIRST CAPITAL**  
Securities Limited  
Stock Broker & Stock Dealer of DSE & CSE

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

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 **FIRST CAPITAL 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 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 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 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.

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 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.

Applicants	Name of applicants / Authorized signatories in case of Ltd Co.	Signature with date
First Applicant		
Second Applicant		
3rd Signatory (Ltd Co. only)		



**FORM-II**

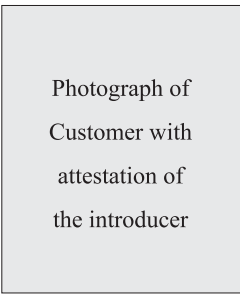
[see rule 5(2)(e)]

DSE TREC # 70, CSE TREC # 11,

BSEC Registration # 3.1/DSE-70/2005/92 & # 3.2/CSE-011/99/97

**CUSTOMER ACCOUNT OPENING FORM**

**(For Individual Customer/Applicant: Single/Joint Account)**



Customer Account Code No.....

[To be filled by the Applicant]

Date: .....

**BO Account No.:**

1	2	0	4	4	3	0	0
---	---	---	---	---	---	---	---

--	--	--	--	--	--	--	--

 Account Type:  Cash/Margin

**Citizenship status (Please tick mark):**  Resident Bangladeshi  Non-Resident Bangladeshi  Foreigner  
 Other (Please Specify):.....

**Name of the Applicant/Customer :** .....

Profession: .....

Father's Name:.....

Mother's Name : .....

Spouse's Name:.....

Present/Contact Address.....

Permanent Address.....

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

National ID/Passport/Birth Certificate/Driving License Number..... Phone No.:.....

Mobile No:..... E-mail Address:.....

**Joint Applicant (Second Account Holder)**

Name of the Second Applicant:.....

Profession: .....

Father's Name:.....

Mother's Name:.....

Spouse's Name : .....

Present/Contact Address.....

Permanent Address.....

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

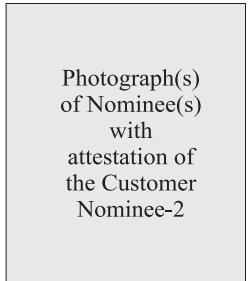
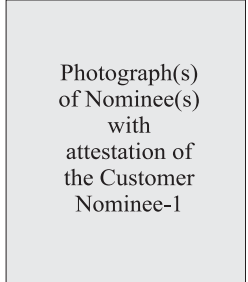
National ID/Passport/Birth Certificate/Driving License Number.....

Whether the applicant is Officer or Sponsor/Director of any Broker/Dealer/Exchange/Depository/Clearing & Settlement Company/Listed Company?  
 Yes  No.

If yes, please mention the name & address of the Broker/Dealer/Exchange/Depository/Clearing & Settlement Company/Listed Company with designation of the said officer or sponsor or director: .....

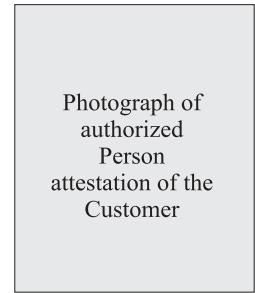
**Nominee Details:**

Particulars	Nominee-1	Nominee-2
Name		
Father's Name		
Mother's Name		
Permanent Address		
Mobile Number		
Email Address		
NID/Birth Certificate/ Passport Number		
Relation with applicant		
Percentage (%) of Nomination		



**Authorized Person Details (if any):**

Name			
Present/Contact Address			
NID/Birth Certificate/Passport Number			
Phone Number		Mobile Number	
Email Address			



Source of Fund details.....

**Bank Account Details:**

Account Number			
Bank Name			
Branch Name		Routing No.	

**Introducer Details:**

Name			
Account Number			
Mobile Number			

.....  
Signature of the  
Introducer with date

Account operating instruction:  Singly operated;  Jointly operated;  others (specify)

Have any other Customer Account (Single/joint) with any Stock Broker(s)? Yes  No  If yes, give please details:

Client Code No.	BO Account No.	Name of Broker

.....  
Signature of the Account  
Holder with date

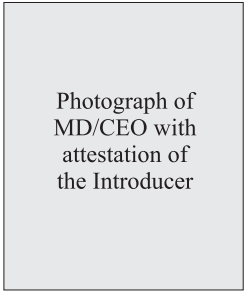
.....  
Signature of the  
Authorized Person (if any)  
with date

Processed by:	Checked by:	Approved by:
Name:	Name:	Name:
Designation:	Designation:	Designation:
Signature:	Signature:	Signature:
Date:	Date:	Date:





Serving Since 1995  
**FIRST CAPITAL**  
 Securities Limited  
 Stock Broker & Stock Dealer of DSE & CSE



**FORM-II**

[see rule 5(2)(e)]

DSE TREC # 70, CSE TREC # 11,  
 BSEC Registration # 3.1/DSE-70/2005/92 & # 3.2/CSE-011/99/97

**CUSTOMER ACCOUNT OPENING FORM**  
**(For the Company or Institutional Account)**

Date:.....

Customer Account Code No.....

[To be filled by the Applicant]

BO Account No.: 

1	2	0	4	4	3	0	0
---	---	---	---	---	---	---	---

--	--	--	--	--	--	--	--

 Account Type:  Cash/Margin

**Incorporation Status of the Company/Institution (Please tick mark):** Bangladeshi  Foreign  Other (Please Specify): .....

**Type of the Company/Institution:**  Private Ltd.  Public Ltd.  NGO  Others (Please Specify) .....

**Name of the Company/Institution**.....

Corporate Address:.....

Registered Address: .....

Incorporation Certificate No : ..... date : .....

Business Commencement Certificate No.(if any) ..... date : .....

Trade License No. : ..... date : .....

TIN No.....BIN No.(if any).....VAT Registration Certificate No.....

Phone No.: .....Mobile No:.....E-mail Address:.....

**Details of Managing Director/CEO:**

Name of the Managing Director/CEO.....

Father's Name:.....

Mother's Name:.....

Spouse's Name:.....

Present/Contact Address:.....

Permanent Address:.....

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

National ID/Passport/Birth Certificate/Driving License Number.....Phone No.: .....

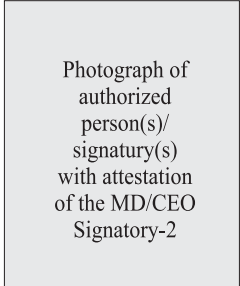
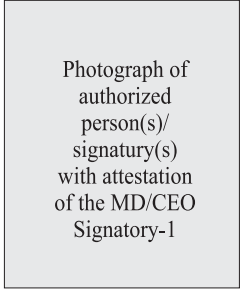
Mobile No:.....E-mail Address:.....

Whether the applicant is Officer or Sponsor/Director of any Broker/Dealer/Exchange/Depository/Clearing & Settlement Company/Listed Company?

Yes  No.  If yes, please mention the name & address of the Broker/Dealer/Exchange/Depository/ Clearing & Settlement Company/Listed Company with designation of the said officer or sponsor or director:

**Signatory of the Account (if any):**

Particulars	Signatory-1	Signatory-2 (if any)
Name of the authorized signatory		
Designation		
Present/Contact Address		
NID/Birth Certificate/Passport Number		
Phone Number		
Mobile No.		
Email Address		



Source of Fund details.....

**Bank Account Details:**

Account Number			
Bank Name			
Branch Name		Routing No.	

**Introducer Details:**

Name			
Account Number			
Mobile Number			

.....  
Signature of the  
Introducer with date

Account operating instruction:  Singly operated;  Jointly operated;  others (specify) .....

Have any other Customer Account with any Stock Broker(s)?  Yes  No If yes, give please details:.....

Client Code No.	BO Account No.	Name of Broker

.....  
Signature of MD/CEO  
with date

.....  
Signature of the  
Authorized  
Person/signatory-1  
(if any) with date

.....  
Signature of the  
Authorized  
Person/signatory-2  
(if any) with date

Processed by:	Checked by:	Approved by:
Name:	Name:	Name:
Designation:	Designation:	Designation:
Signature:	Signature:	Signature:
Date:	Date:	Date:

Note: In case of other type of applicant [if the applicant is a director/sponsor of a listed company or the applicant is a politically exposed person (PEP) or an Influential person (IP) or a Member of Senior Management of an International Organization] please use/fill-up individual/joint application form if the applicant is individual/joint person(s), but if the type of applicant(s) is a legal body corporate or institution, please use/fill up the company's or institutional application form.



**MARGIN TRADING AGREEMENT**

This AGREEMENT is made this.....Day of .....20.....of the Christian Era.

BETWEEN

**FIRST CAPITAL SECURITIES LIMITED** a private limited company incorporated in Bangladesh under the Companies Act, having its main office at (Room # 422, DSE Annex Building (3rd floor),9/E, Motijheel C/A, Dhaka-1000) hereinafter referred to as the "BROKER" which term shall unless excluded by or repugnant to the context be deemed to include its successors-in-office, legal representatives and assigns) of the One Part:

AND

1. Mr./Mrs.....	2. Mr./Mrs.....
S.O/W.O.....	S.O/W.O.....
Of.....	Of.....

(hereinafter referred to as the "CLIENT" which term shall unless excluded by or repugnant to the context be deemed to include his/her successor (s), legal representatives and assigns) of the other part

**WHEREAS:**

- a.The BROKER has been providing stock broking facilities, CDBL Services and offering credit facilities to its customers:
- b.The CLIENT has approached BROKER for credit facilities for the purchase of Securities listed with the DSE and CSE deposit/transfer Cash/ Securities in the CLIENT's name in account No..... and the "BENEFICIARY OWNER ACCOUNT" hereinafter referred to as "BO Account No..... with the "CENTRAL DEPOSITORY BANGLADESH LIMITED" hereinafter referred to as "CDBL",
- c.The BROKER has agreed to extend credit facilities to the CLIENT for the aforesaid purpose on the terms and conditions hereinafter stated and both the parties wish to enter into a Margin Trading Agreement (hereinafter referred to as "the agreement") for conducting Margin Trading in Bangladesh.

NOW THIS AGREEMENT WITNESSED AS FOLLOWS:  
 RULES AND PROCEDURES REGULATING MARGIN TRADING

**1.DEFINITIONS**

- "BROKER" means **FIRST CAPITAL SECURITIES LIMITED** and includes its successors and interest.
- "CLIENT" means applicant named in the application form and includes its successors and interest.
- "BROKERAGE ACCOUNT" shall mean the account opened by the CLIENT with BROKER to deposit /deliver/ sell/ buy securities.
- "APPROVED SECURITIES" shall mean the securities approved by the BROKER to purchase into the BROKERAGE ACCOUNT.
- "PORTFOLIO VALUE" means total market value of all the stock / Debentures/ Bonds held in CLIENT's designated account
- "MARGIN CALL" shall mean a request to the CLIENT to deposit money or shares to bring the Debit Balance equal to or below 50% of the portfolio value within 24 Hours.
- "DEBIT BALANCE" shall mean the total value of cash owned by the CLIENT together with any Interest, brokerage, CDBL charges and any other charges to the BROKER in the BROKERAGE ACCOUNT for securities transacted into the account.

**2.THE CLIENT SHALL OPEN THE FOLLOWING TWO TYPES OF ACCOUNT WITH BROKER.**

- a.BROKERAGE ACCOUNT  
 The CLIENT shall open a Securities Account with BROKER to transact shares through it in his/her/its name.
- b.BENEFICIARY OWNER (BO) ACCOUNT  
 I)The CLIENT shall open a separate BO Account through CDBL in his /her/its own name  
 II)The CLIENT shall abide by the rules and regulation of the DSE and CSE, BSEC and CDBL

**3.METHODOLOGY**

- i)The CLIENT would be required to submit an application to the Broker/ dealer for the Margin Trade Facility.
- ii)The CLIENT (in case of Company/Trust) shall be allowed to commence Margin Trading only when it has submitted to the BROKER copies of the relevant documents (i.e. certified copy of Trust Deed or Certificate of incorporation along with Memorandum and Articles of Association) and a resolution which authorizes that specific entity and its representatives on behalf of the client to conduct Margin Trading.
- iii)The facility granted under this account shall be a short term facility and shall be valid at the sole discretion of the Broker and repayable on demand of the Broker.
- iv)The CLIENT contribution of share or Cash or both will be deposited to the Brokerage Account /BO Account. The value of shares shall be calculated on a daily basis as per day's closing price of DSE.

- v) The Broker will have absolute discretion to accept or decline any security against which credit facility is granted and shall reserve the right to make changes to their list of "Approved Securities" at any given moment.
- vi) Only "Approved Securities" may be used as collateral for margin Trading. A list of the "Approved Securities", to be updated from time to time, will be available with BROKER.
- vii) When a previously approved securities is later disqualified for inclusion, it will be excluded from all subsequent margin calculation.
- viii) In the case of BROKER omitting a particular Securities/securities from the list of "approved securities" the CLIENT shall accordingly adjust the "portfolio value" or the "Debit balance" within five market days. Provided that in the event of suspension of any securities by the BSEC, DSE or CSE, BROKER will be excluded from the calculation of the portfolio value at any time.
- ix) The CLIENT may, using the credit facility, purchase approved securities through BROKER into the " Brokerage Account" to a maximum value of 50% of the portfolio value. The CLIENT shall at all times be responsible to maintain strictly the maximum limit of the "Debit Balance" at any given time.
- x) If debit balance goes above 55% of the portfolio value due to fluctuation in the market or any other event, BROKER will issue a "Margin Call" to the CLIENT. Margin call may be either in writing or via telephone call.
- xi) If the CLIENT doesn't respond to Margin call BROKER will then Sell out whatever shares as it appears fit to regularize the "Debit balance" to 50% of the "portfolio value." (+/-5% deviation is accepted in case of adjustment) and the broker/dealer may act upon as the attorney of the CLIENT in accordance with the terms thereof and in terms of the margin rules.
- xii) If the " Debit balance" reaches to 66% of the portfolio value due to a sudden fail in the market or for any other event, BROKER will sell out shares of any company whatsoever as it thinks fit to make the Debit Balance 50% of the portfolio value without any margin call or notice whatsoever. Any residual shares will remain in the account and will be available to CLIENT.
- xiii) If the CLIENT exceeds the value of the "Debit Balance" above the stipulated limit and/or violates any other terms and conditions/ rules/ requirements as laid down by the BROKER or any regulatory authority from time to time, the BROKER shall have absolute discretion at the CLIENT risk to sell/buy any or all shares or securities of any company whatsoever in the CLIENT "Brokerage Account" Without any consent of any form from the CLIENT in order to adjust the Debit Balance of the "Brokerage Account". In the event the Portfolio value of the "Brokerage Account" becomes inadequate to regularize the "Debit Balance", the CLIENT shall be under obligation to make cash payment to settle shortfall.
- xiv) The CLIENT shall pay brokerage commission for all transactions i.e. buy and sell in the "Brokerage Account". The CLIENT shall also pay brokerage commission for all transactions carried out in order to regularize the "Brokerage Account". Rate of brokerage will be fixed by the BROKER and can be changed from time to time.
- xv) Broker shall have the authority to give notice to the CLIENT to adjust the debit balance in Brokerage Account within 20(twenty) trading days for whatever reason with the right to divulge the reasons to the CLIENT. If the CLIENT doesn't respond to such notice BROKER shall then have absolute discretion at the CLIENT risk to sell/buy any or all shares of securities of any Company whatsoever in the CLIENT "Brokerage Account" without any consent from the CLIENT in order to adjust the Debit Balance of the Brokerage Account.
- xvi) Broker will charge CLIENT Account for any debit amount, calculated on a daily basis to be accounted for at the end of the calendar month. Broker shall advise the interest rate to the CLIENT from time to time. Broker reserves the right to increase/decrease the interest rate by giving 7(seven)trading day's notice to the CLIENT.
- xvii) The Brokerage account will be fully operated (All Buy/Sell decisions) by the CLIENT at all times other than in the instance of Brokerage regularizing the account as are explained in xi, xii, xiii, xiv, xv of clause 3 hereof.
- xviii) Trading will take place in the same way as the normal accounts i.e either by giving written order, by facsimile message or e-mail.
- xix) Profit Share on the Margin trading Facility is repayable on or before the end of every calendar month by way of depositing cash or adjustment in the Brokerage account.
- xx) Broker shall have the right to change, rectify, include any terms and conditions in addition to the above at any time with 7(seven) trading days notice to the CLIENT.

#### **4. Securities**

The shares or cash brought by the CLIENT together with shares purchased by using debit balance will be considered as collateral for the Margin Trading facility Broker may assign such collateral with any financial institution including bank.

However, the shares brought by the CLIENT to cover Margin Requirement should meet following criteria:

- a) The shares should be acceptable to the Broker.
- b) The shares should be tradable in the DSE.
- c) The shares should possess reasonable liquidity.

Broker may also take additional securities as collateral from the CLIENT depending on the tradable demand of the shares offered by the CLIENT.

#### **5. The CLIENT hereby irrevocably authorizes the Broker:**

- a. To deal with all the CLIENT's securities deposited in the BO account with "Central Depository System" (CDS) & Brokerage Account from time to time independently at its sole discretion as long as the CLIENT's liabilities in the repayment of all such facilities remain outstanding.
- b. To purchase and sell any such securities of the CLIENT deposited with "CDS" and to deal or negotiate with other institution, engaged in the purchase or sale of any securities on the CLIENT's behalf and to deal with any other matters relating to the " Brokerage/BO Account" with or without CLIENT's instructions and the CLIENT hereby agrees that he/it shall at all times ratify and endorse such acts of commission or omission.
- c. To debit the "Brokerage Account" for any sums or sum of money being purchased price of margin able securities, broker's commissions, payments for rights and benefits in respect of marginal securities, transaction fee, Profit Share CDBL charges or for any payment whatsoever.

- d. To issue pay-orders, Bank drafts or transfer of funds by any means to any person or persons and for many amount in respect of any transaction pertaining to the business averred herein.
- e. To deposit cash, cheque or any other instruments into the "Brokerage Account"
- f. To debit the CLIENT Brokerege account for profit share, brokerage, CDBL shares, and other service charges, if any

**6. Indemnity:**

The CLIENT shall indemnify the BROKER in full and keep indemnified, save and harmless against any losses, suits, claims and damages that the BROKER shall or may be caused, sustained, incurred or suffered by any reason in maintaining the CLIENT's accounts and using the Margin Trading Facilities in any manner whatsoever and/or acting on the instructions or requests, advices made or forwarded by way of telephone or Facsimile and electronic messages.

**7. Power of Attorney:**

The CLIENT hereby gives irrevocable power of attorney to BROKER to operate its/his/her BO account and Brokerage account to exercise any of the powers as stated in xi, xii, xiii, xiv, xv of clause 3 hereof.

**8. The BROKER agrees with the CLIENT as follows:**

- a) BROKER shall act directly as the agent of the CLIENT in respect of all dealing of margin approved securities and the CLIENT shall remain principally liable for all dealings, negotiations and transaction entered into by the BROKER on behalf of the CLIENT.
- b) Both the BROKER and CLIENT shall have the right at any time in their absolute discretion and without having reason therefore to close the Brokerage Account by giving one month prior notice of closure to the CLIENT and any debit of the CLIENT "Brokerage Account" (if any) will be adjusted.
- c) This agreement shall be binding on the parties, their successors, heirs, executors, administrators, assignee, or legal representatives.
- d) The terms and conditions shall not be altered amended or modified except in writing by the duly authorized representatives of each party hereto.
- e) Where the CLIENT is in default of payment of legal fees, stamp duty or other out of pocket expenses incurred by the BROKER, The BROKER shall have the right and discretion to recover such expenses from the CLIENT by debiting the Brokerage Account.

**9. Other Terms:**

- a) The FCSL shall have the right to change, rectify and/or include any terms and conditions in additions to the above at any time with due notice to the Client.
- b) The FCSL shall be fully authorized to modify or vary the terms and conditions contained herein for compliance with any prevailing or change of relevant laws relating to matters herein.
- c) This Agreement is or shall be in compliance with the Bangladesh Securities and Exchange Commission(BSEC) Laws and such rules, regulations, notice or circulars issued by the Bangladesh Securities and Exchange Commission from time to time.

**10. Trading Error:**

- a) A trading error shall occurred if any discrepancy is detected between the order given by the client in accordance and the order placed to the Stock Broker in the following aspects:
  - i) False description of the name of securities.
  - ii) Alternation of orders, i.e placing buys order whiles the Client place sale order and vice versa.
- b) The Stock Broker shall not be responsible for or assumes any obligation to compensate for any damage or loss suffered by the Client due to a trading error.

**11. Client Statement:**

At each month and the broker will provide the client with a printed statement of thair Brokerage Account detailing the number of shares held and the debit balance if any.

**12. Nominee:**

In the event of the death of one of the joint account holders, the survivor and on the death of sole account holder the nominee or successor shall be the beneficiary of the transactions.  
This agreement shall be governed and construed by the laws of the Peoples Republic of Bangladesh.

IN WITNESS WHEREOF the parties hereto have caused this indenture to be executed on the day, month and the year herein before. Signed, sealed and delivered by FIRST CAPITAL SECURITIES LIMITED

_____ <b>Signature of Account Holder</b>	_____ <b>Signature of Joint Account Holder</b>
---	---

Witness:	
1. Signature .....	2. Signature .....
Name .....	Name .....
Address .....	Address .....

FOR OFFICE USE ONLY	
Introduced by:	Approved by:
Signature: .....	Signature: .....
Name: .....	Name: .....
	TREC Holder Representative



**Power of Attorney (POA) Form**

**Form 20**

**CDBL Bye Laws**

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) **FIRST CAPITAL SECURITIES LIMITED** CDBL Participant ID

4 4 3 0 0

Account holder's BO ID 1 2 0 4 4 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)

**Power of Attorney Holder's Details**

Name in Full

.....

Short Name of Power of Attorney Holder ( 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)                

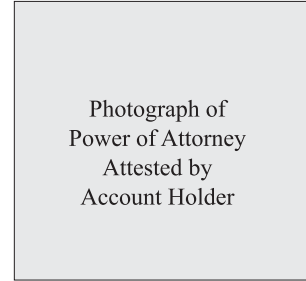
Power of Attorney Effective From                 To                

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**



(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.

Applicants	Name of applicants / Authorized signatories in case of ltd Co.	Signature with date
POA Holder		
First Applicant		
Second Applicant		
3rd Signatory (Ltd Co. only)		



**BO Account Nomination Form**

**CDBL Bye Laws**

**Form 23**

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)		CDBL Participant ID.....
<b>FIRST CAPITAL SECURITIES LIMITED</b>		<b>4 4 3 0 0</b>
Account holder's BO ID	<b>1 2 0 4 4 3 0 0</b> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
Name of Account Holder ( insert full name starting with Title i.e. Mr. / Mrs. / Ms / Dr, abbreviate only if over 30 characters)		
<input type="text"/>		

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.
<input type="text"/>	<input type="text"/>

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.....ate 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.  

--	--

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.....

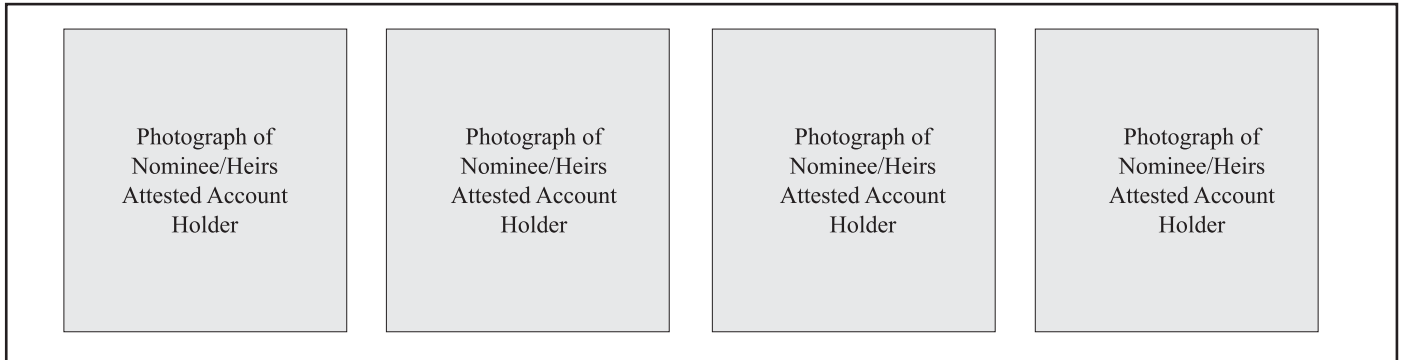
Mobile Phone.....Fax.....E-mail.....

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

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

--	--	--	--	--	--	--	--	--	--

**2. Photograph of Nominees / Heirs**



Nominee / Heir 1
Nominee / Heir 2
Guardian 1
Guardian 2

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



**KYC Profile Form**  
 (under FORM-II)  
 (Filled by the Stock Broker)

Name of the Account Holder(s) : .....

B.O. Account Number : .....

Customer Account Number : .....

Occupation (with Joint Account Holder's, if any) : .....

Name of MD/CEO (in case of Company or Institution or Firm) : .....

Nature of Business (in case of Company or Institution or Firm) : .....

Describe in detailed as to whether the account holder (the individual/institution/company) is a director/sponsor of a Listed company or he/it is a politically exposed person (PEP)/Influential Person/Member of Senior Management of an International Organization

Source of Fund : .....

Approximate amount of Daily/Monthly/Annual transactions : .....

Describe in detailed, how source of fund was verified : .....

Details of Information/Documents of the Account Holder(s) :

Sl.	Nature of Documents	Number	Photocopy Obtained		Applicable for
			Yes	No	
1	National ID				Individual (if any)
2	Passport				Individual (if any) or NRB or NR or Foreigner
3	Visa/Residential Permit and Work Permit				NRB or NR or Foreigner
4	Birth Certificate				Individual (if any)
5	Driving License				Individual (if any)
6	Bank Account with supporting document				Individual or NRB or NR or Foreigner
7	NID/Birth Certificate/Passport				Nominee
8	NID/Birth Certificate/Passport				Authorized Person
9	Registration Certificate				Firm/Company/Institution
10	Date of Incorporation				Firm/Company/Institution
11	Memorandum of Association				Company/Institution
12	Articles of Association				Company/Institution
13	Trade License				Firm/Company/Institution
14	TIN				Firm/Company/Institution
15	VAT Registration				Firm/Company/Institution
16	Particular of Directors				Company / Institution

Comments (if any): .....

.....  
 Signature of Account  
 Opening Officer with date &  
 Seal

.....  
 Signature of Authorized  
 Officer/ MD/CEO with date  
 & Seal

When was the information related to the Account last reviewed and updated? If any, details with comments: .....

.....  
 Signature of the Officer performing review  
 and update, with date & Seal



Signatory Card

Code No-                      Branch:

(1st Applicant)	(2nd Applicant)	Photograph of Power of Attorney Attested by Account Holder.	Photograph of Nominee of Attorney Attested by Account Holder.
Name :	Name :	Name :	Name :
Signature	Signature	Signature	Signature

Special instruction (if any) : .....

To  
 MD/CEO  
 First Capital Securities Ltd.  
 Motijheel C/A, Dhaka-1000.

BO ID	1	2	0	4	4	3	0	0												<b>Code:</b>
-------	---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--	--	--------------

**If client has Joint Account**

BO ID	1	2	0	4	4	3	0	0												<b>Code:</b>
-------	---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--	--	--------------

**Name of Account Holder:**

Dear Sir,  
 I would like to register my BO account(s) with following email address & mobile number for sending various information.

**Email Address:**

**Mobile Number:**

**Please write down your Email & Mobile clearly**

Thanking you.

\_\_\_\_\_  
 Signature of Account Holder



**Main Office:**

Room # 422, DSE Annex Building (3rd floor)  
9/E, Motijheel C/A, Dhaka-1000,  
Tel: 02-223352096, 02-47123120, Cell: 01730-486007

**Corporate Office:**

Somobay Bank Bhaban (9th Floor),  
9/D Motijheel C/A, Dhaka-1000  
Tel: 02-223352096, 02-47123120, Cell: 01764-610730