



SBAC Bank Investment Limited

TREC Holder No # 267

Dhaka Stock Exchange Ltd. 

BSC Tower (6th Floor), 2-3 Rajuk Avenue, Dhaka-1000

BSEC Reg. No. : 3.1/DSE-267/2021/569 (Broker)

3.1/DSE-267/2021/570 (Dealer)

Product Type :

Account No :

BO ID No. :

1	2	0	6	3	6	0	0								
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--

Name :

Contact :

SBAC Bank Investment Limited

(A Subsidiary of SBAC Bank Ltd.)

শেয়ার বাজারে বিনিয়োগ ঝুঁকিপূর্ণ। জেনে ও বুঝে বিনিয়োগ করুন।



SBAC Bank Investment Limited
TREC Holder No-267, Dhaka Stock Exchange Ltd.
BSC Tower (6th Floor), 2-3 Rajuk Avenue, Dhaka-1000
BSEC Reg. No.- 3.1/DSE-267/2021/569

Signed Photograph of
First Account Holder

CUSTOMER ACCOUNT INFORMATION FORM

Date : [FILL UP THE FORM IN CAPITAL LETTERS] Account Type : ☐ Cash ☐ Margin
Client Code : Link Code

First Account Holder

Name of the Customer :
Father's/Husband's Name :
Mother's Name :
Date of Birth : Sex: ☐ Male ☐ Female Nationality :
Present Address :
Mobile : Tel # :
Permanent Address :
Tel : E-mail ID :
Occupation : E-Tin # :

Joint Account Holder

Name of Joint Account Holder :
Father's/Husband's Name :
Mother's Name :
Date of Birth : Sex: ☐ Male ☐ Female Nationality :
Present Address :
Mobile : Tel # :
Permanent Address :
Tel : E-mail ID :
Occupation : E-Tin # :

Signed Photograph of
Joint Account Holder

Authorized Person Information

Name of Authorized Person :
Father's/Husband's :
Date of Birth : Sex: ☐ Male ☐ Female Nationality :
Present Address :
Mobile : Tel # :
Permanent Address :
Tel : E-mail ID :
Occupation : E-Tin # :

Photograph of
Authorized Person

Officer or Director of any Stock Exchange Listed Company ☐ Yes ☐ No Signature :
If yes, Name of the Stock Exchange/Listed Company :
Bank Name :
Branch Name :
Account No : Routing No :

Declaration : It is hereby declared that all the above mentioned information in customer account information form are true & valid.

	Name	Signature with Date
First Account Holder		
Second Account Holder		
Officer/Manager/Branch In-charge		



SBAC Bank Investment Limited
TREC Holder No-267, Dhaka Stock Exchange Ltd.
BSC Tower (6th Floor), 2-3 Rajuk Avenue, Dhaka-1000
BSEC Reg. No.- 3.1/DSE-267/2021/569

(TERMS AND CONDITIONS FOR OPENING A BROKERAGE ACCOUNT)

DECLARATION / AGREEMENT

I/ We the undersigned whose information is given in the Brokerage Application Form hereby request to be registered as a client of **SBAC Bank Investment Limited**, to open a brokerage account in my/our/company name. I/We further agree and confirm that the account hereby requested to be opened by me/us shall be held and be governed by the terms and conditions of this agreement as provided hereinafter and as may be modified from time to time by SBAC Bank Investment Limited and that I /we/company name have / has / the necessary authority and permission to inter this agreement.

TERMS AND CONDITIONS

Instruction: A written instruction shall be given to SBAC Bank Investment Limited from time to time to purchase and/or sell investments (which shall mean and include stocks, debentures, mutual funds and private placement or any other similar financial instrument as may be made available from time to time) on behalf of the account holder. On receipt of such instructions along with a cash deposit or delivery of shares, SBAC Bank Investment Limited shall, so far as SBAC Bank Investment Limited considers it reasonably practicable, purchase and/or sell investments in accordance with those instructions, provided always that (I) any such dealings do not contravene any applicable laws or regulations; (II) SBAC Bank Investment Limited shall have an absolute discretion to accept or reject purchase/sell instructions and (III) accounts holder's instruction shall include the following details:

- ☐ The name of the investment.
- ☐ Quantity
- ☐ Price with notification of limit or discretion.
- ☐ The duration of the order.
- ☐ The nature of the lot (i.e. scrip size) for sale or the desired format for purchase order (See Note below).
- ☐ The order should specify completion formats of:
 - ☐ All or partial fill with minimum trade value or number of shares.
 - ☐ Mode of execution i.e. DVP (Delivery versus payment)/NON DVP (non delivery versus payment).

(Note: The number of shares constituting a "market lot" may change. Sellers must include the exact format of their holding. This has a direct impact on market pricing given the predominantly retail nature of the market. Trades may fail where non -agreed lot sizes are delivered).

Joint Accounts: If this is a joint account, unless the account holders notify SBAC Bank Investment Limited otherwise and provide such documentation as SBAC Bank Investment Limited may require at its sole discretion, the brokerage account(s) shall be held by the account holders jointly with rights or survivorship (payable to either or the survivor). Under these terms and conditions each joint account holder irrevocably appoints the other as attorney in fact to take all action on his or her behalf and to represent him or her in all respects in connection with this agreement. SBAC Bank Investment Limited shall be fully protected and indemnified in acting but shall not be required to act upon the instruction of either of the account holder, who shall be liable, jointly or severally, for any amounts due to SBIL Securities Limited pursuant to this agreement, whether incurred by either both of the account holders.

Risk: The account holder understand(s) that the stock market is a rapidly changing market and that there is an inherent risk in incurring loss in share dealings, which SBAC Bank Investment Limited, is not in any way whatsoever liable and/or responsible for the share dealings of the account holder.

Limit Orders: While SBAC Bank Investment Limited will endeavor to purchase or sell the investment within the limits of the prices that may be notified by the account holder, SBAC Bank Investment Limited does not guarantee or assure that the transactions will be mate realized on such notified limits, SBAC Bank Investment Limited will always endeavor to obtain the best price.

Agents: SBAC Bank Investment Limited is authorized to employ other brokers as agents to perform all or part of its duties under these terms and conditions and to provide information regarding the account to such agents. SBAC Bank Investment Limited may seek and act on an opinion from any lawyer, accountant or professional adviser or other expert and shall not incur any liability by acting upon such opinion.

Associate Companies: SBAC Bank Investment Limited may purchase and / or sell investment on behalf of the account holder by placing order with itself and other company whether acting as underwriter(s), investment manager(s), merchant or commercial bank(s), registered or licensed deposit-taker(s), broker (s), dealer(s) or otherwise, or with any other broker(s) and dealer(s) as SBAC Bank Investment Limited in its sole discretion may decide.

All Rules and Regulations of the Stock Exchange(s) : All transactions duly concluded through and recognized by the Dhaka Stock Exchange Stock Exchange Limited (hereafter DSE) is governed by the respective rules of DSE relating to trading and settlement in particular and will be binding on both the parties concerned.

Payment and Disclosure: SBAC Bank Investment Limited shall not be obliged to make any payment on behalf of the account holders. SBAC Bank Investment Limited may disclose information regarding the account holder or his/her dealings in relation to this agreement to any department of the government or public, body upon request, whether or not such request is in fact legally enforceable, and SBAC Bank Investment Limited will not be liable in any way to account holder for doing so.

Cancellation provisions: SBAC Bank Investment Limited is authorized, in its absolute discretion, should the undersigned die or should SBAC Bank Investment Limited for any reason whatsoever deems it necessary for its protection, without notice, or for any reason to cancel any outstanding orders in order to close out the accounts of the account holder, in whole or in part, or to close out any commitment made on behalf of the account holder.

Indemnity : In the event of a default, omission or act committed by SBAC Bank Investment Limited as a broker/member of the DSE the account holder shall be indemnified if and only as provided by the Rules and Regulation of the DSE.

Confirmation and Settlements : SBAC Bank Investment Limited shall use its best endeavors to provide the account holder with (a) written confirmation of each transaction it has effected on instructions and (b) contract notes (in such form as SBAC Bank Investment Limited shall determine) surfing forth (i) details of the trade date, value date, settlement date, quantity, price, commission rate and DSE Howla' number equivalent provided also that the account holder does hereby agree and undertake to confirm in writing before hand of all its/their instructions.

Fees and expenses: The account holder will pay a brokerage commission of, and any other related expenses as charged that may from time to time be applicable, every transaction concluded through and recognized by the DSE is subject to transaction levies or other fees imposed by the DSE. The account holder understands, acknowledges and accepts that the rate of commission may be changed from time to time at the discretion of SBAC Bank Investment Limited.

Set-off: SBAC Bank Investment Limited shall be entitled to, in respect of all commission, costs, charged or expense, set off from any monies from time to time held by SBAC Bank Investment Limited for the account holder and if such monies are insufficient for the purpose, to sell any investment held by SBAC Bank Investment Limited or any of its agents on behalf of the account holder without notification, recourse or instruction from the account holder.

Period: This agreement shall be remain in force for a period of.....months/years from the date of signing.

Terminations: This agreement will stand terminated:

- i) Upon the expiry of the period of this Agreement unless renewed upon mutual agreement between SBAC Bank Investment Limited and the Account Holder.
- ii) Before the expiry of the period of this Agreement, if either SBAC Bank Investment Limited or the Account Holder Gives.....months' notice, Termination shall not absolve the parties from completing accounts and adjusting any Outstanding dues or respective rights and obligations under this agreement.
- iii) If the account holder fails to make payment for any transaction upon due notice for a period of.....days.

Assignment: The benefits/rights and burdens/obligations of this agreemnt are capable of assignment of both the account holder and SBAC Bank Investment Limited without the consent of the other but the notice of assignment must be given to the other in writing.

Force Majeur: SBAC Bank Investment Limited shall not be liable for any loss, damages, expenses, costs or otherwise resulting directly or indirectly from any Government restriction, exchange ruling, suspension of trading , war, strike/national disaster or any other event or force majeure or circumstances beyond its control.

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

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

Notices:

- (a) All notices, instructions or other communications shall be given in English and in writing (facsimile, telex, telegram, cable or letter) or orally and shall be sent to SBAC Bank Investment Limited and the account Holder at the address, fax and/or telex number shown herein or at such other address as may be communicated by the parties here to in writing.

(b) Proof of delivery or dispatch shall be :

(i) in the case of a letter : dispatch of the letter duly stamped and addressed

(ii) in the case of facsimile, telex, telegram, or cable on the day of dispatch with physical or actual confirmation.

(c) All verbal notices, instructions, or, other communications should be confirmed in writing within 24 hours.

Definitions: Words defined herein, save where a contrary meaning appears or such meaning is inconsistent with the context, shall have this same defined meaning wherever used.

Sums Due: For all purposes, including any legal proceedings, a certificate by any of SBAC Bank Investment Limited officers confirming the monies and /or liabilities for the time being due and / or incurred to by the account holder shall be conclusive evidence thereof against him/her.

Disputes and Resolution of Dispute: In-case of any dispute arising between the SBAC Bank Investment Limited and the account holder in connection with the interpretation or enforcement of the terms and conditions contained herein, attempts should be made to settle the matter amicably, in case of failure to settle the matter amicably, the same shall be referred to arbitration of two arbitrators, each to be nominated by the parties who shall also appoint an Umpire. The decision of the arbitrators, so nominated, shall be binding on both the parties. The arbitration shall be conducted in accordance with the Arbitration Act, 2001.

I/We have read the terms and conditions contained herein above, and having agreed with such terms and conditions I /We put my/our/company seal and signature on this the day of.....20.....

✓

Signature of the First Account Holder

✓

Signature of the Joint Account Holder

Witnessed By

✓

Signature.....

Name.....

Address.....

.....

Witnessed By

✓

Signature.....

Name.....

Address.....

.....



SBAC Bank Investment Limited
TREC Holder No-267, Dhaka Stock Exchange Ltd.
BSC Tower (6th Floor), 2-3 Rajuk Avenue, Dhaka-1000
BSEC Reg. No.- 3.1/DSE-267/2021/569

APPLICATION FOR CREDIT FACILITY

Date :

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Chief Executive Officer/Managing Director/CFO

SBAC Bank Investment Limited
TREC Holder No-267, Dhaka Stock Exchange Ltd.
BSC Tower (6th Floor), 2-3 Rajuk Avenue, Dhaka-1000
BSEC Reg. No.- 3.1/DSE-267/2021/569

Dear Sir

I/We, _____

Client Code _____ would like to avail the credit facility from your company for purchasing shares/ securities through your broker house. I furnish herewith the necessary information / documents for your kind perusal.

Your faithfully

Name :

Code :

BO :

Recommended By :

Approved By :

TERMS AND CONDITIONS:

DEFINATIONS

"SECURITIES ACCOUNT" Shall mean the account opened by the CLIENT with the BROKER to deposit/Sell/buy securities with the **"BROKER"**

"APPROVED SECURITIES" Shall mean the securities purchased into the SECURITIES Account.

"PORTFOLIO VALUE" means total market value of all the stocks in the SECURITIES Account.

"MARGIN CALL" Shall mean request the "CLIENT" to deposit money or share to bring the Debit Balance below ... % of the PORTFOLIO Value within shall 24 hours.

PORTFOLIO **"DEBIT BALANCE"** Value within Shall 24 Hours. mean the total value of cash owned by the CLIENT together with any interest to the BROKER in the securities ACCOUNT for securities purchased into the account.

TERMS AND CONDITIONS

1. This will strictly be a short-term facility and valid up -to.....
2. 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.
3. Using the credit facility the Client may purchase quoted securities through the Broker into the "Securities Account" to a maximum value of.... % of the "Portfolio value" or Tk whichever is lower. The Client shall at all times be responsible to maintain strictly the maximum limit of the "Debit Balance" at any given time. If Debit balance goes above.....% of portfolio value due to fluctuation in the market or any other event, SBIL will issue a "Margin Call" to the client. Margin Call could be writing or via telephone call.
4. In the case of "Broker" omitting a particular security/securities from the list of "approved securities" the Client shall accordingly adjust the "Portfolio value" or the "Debit balance" within two market days.
5. If client doesn't response to Margin Call, in that case SBIL will sell out whatever shares as the Broker see fit to regularize the "Debit balance" to.....% of the "portfolio value."(+/-5% deviation is accepted in case of adjustment).
6. If the "Debit balance" reaches to.....% of portfolio value due to a sudden fall in the market or any other event then in such a case without any notice in that trading day or next day, SBIL will sell out shares of any company what-so-ever as it sees fit to make the Debit Balance nil. Any residual shares will remain in the account and will be available to client.
7. 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's risk to sell/buy any or all shares or securities of any Company whatsoever in the Client's "Securities Account" without any consent of any form from the Client in order to adjust the Debit Balance of the "Securities Account". In the event the Portfolio value of the "Securities Account" becomes inadequate to regularize the "Debit Balance", the Client shall be under obligation to make cash payment to settle any shortfall.
8. The Client shall pay brokerage commission for all transactions i.e., buy and sell, in the "Securities Account". The Client shall also pay brokerage commission for all transactions carried out in order to regularize the "Securities Account". Rate of brokerage will be fixed by the "Broker" and can change from time to time.
9. In the "Securities account" if client enjoy margin facilities, in that case, highest limit to buy a single stock is Tk.....or.....% of the portfolio value whichever is lower.
10. "Broker" shall have the authority to give notice to the client to adjust the debit balance in "Securities Account" within 20 trading days for whatever reason which "Broker" reserve the right to divulge to Client. If Client doesn't respond to such notice "Broker" shall have absolute discretion at the Client's risk to sell/buy any or all shares or Securities in any company whatsoever in the Client's "Securities Account". Without any consent of any form from the client in order to adjust the Debit Balance of the "Securities Account".

TERMS AND CONDITIONS:

11. "Broker" will charge% P.A. Interest on the clients account for any debit amount, calculated on a daily basis. SBIL reserve the right to increase/decrease the interest rate by giving 7 trading days' notice to Client.

12. The "Securities Account" will be fully operated (All Buy/Sell decisions) by the client at all times other than in the instance of "Broker" regularizing the account which has been explained in the clause 5, 6, 7 & 10.

13. The "Broker" shall have the right to change, rectify, include any terms and conditions in addition to the above at any time with due notice to the client.

NOMINEE

• In the event of the death of one of the joint account holder, the survivor; and on the death of sole account holder the nominee Or successor shall be the beneficiary of the transactions.

GOVERNING LAW

• All transactions shall be subject to the Rules and Regulations of the Securities and Exchange Commission of Bangladesh, Dhaka Stock Exchange Ltd. and other prevailing laws and regulations of Bangladesh and in particular the authority herein- after granted by the client to the BROKER.

If Client (s) is/are an Individual/Individuals

Signature of CLIENT(s)

1. ✓
.....

.....

2.

.....

If Client is a Company :

Authorized Signatory :

1.

.....

2.

.....

Company Seal

Witenesses	Name	Address	Signature

FOR OFFICE USE ONLY :

	Name	Signature with Date
Introduced by		
Approved by		



BO Account Opening Form

Please complete all details in **CAPITAL** letters. **Please fill all names correctly.** All communications shall be sent only to the First

Date :

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

BO Category : ☐ Regular ☐ Omnibu ☐ Clearing ☐ BO Type ☐ Individual ☐ Company ☐ Joint Holder

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

1. First Applicant

--	--	--	--	--

Mother's Name

2. Contact Details

3 . Passport Details

Passport No _____ Issue Place _____ Issue Date : _____ Expiry Date _____

4 . Bank Details

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

5 . Others Information

Registration No.: _____

6. Joint Applicant (Second Account Holder)

--	--	--	--	--

7. Account Link Request

Would you like to create a link to your existing Depositor

☐ Yes ☐ No

If yes, then please provide the Depository BO Account Code (8 Digits)

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

8. Nominees/Heirs

If account holder(s) wish to continue 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 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

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 _____

11. Photograph

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

1st Applicant or
Authorized Signatory in

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

2nd Applicant or
Authorized Signatory in

Please paste
recent passport
size Photograph of
Authorized
Signatory in case
of Limited Co. Only

Authorized Signatory in
case of Ltd. Co.

12. Standing Instructions

I/We authorize you to receive facsimile (fax) transfer instruction 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 account. 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 applicant/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 SBAC Bank Investment Ltd.

I confirm the identity, occupation and address of the appl _____

Introducer Name

(Signature of Introducer)

Account ID

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



SBAC Bank Investment Limited
TREC Holder No-267, Dhaka Stock Exchange Ltd.
BSC Tower (6th Floor), 2-3 Rajuk Avenue, Dhaka-1000
BSEC Reg. No.- 3.1/DSE-267/2021/569

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 :

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Name of CDBL Participant : SBAC Bank Investment Ltd.	
CDBL Participant ID:	<table border="1" style="width: 100%; height: 20px;"></table>
Account Holder's BO ID:	<table border="1" style="width: 100%; height: 20px;"></table>
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
<table border="1" style="width: 100%; height: 20px;"></table>	<table border="1" style="width: 100%; height: 20px;"></table>

I/We nominate the following per son (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 training

1. Nominee/Heirs Details

Nominee 1									
Full Name : _____									
Short Name (Insert full name starting with Title i.e. Mr./Mrs./Ms/Dr, abbreviate only if over 30 characters)	Title i.e. Mr./Mrs./Ms								
<table border="1" style="width: 100%; height: 20px;"></table>	<table border="1" style="width: 100%; height: 20px;"></table>								
Relationship with A/C Holder : _____	Percentage (%) : _____								
Address : _____									
City : _____	Post Code : _____ State/Division : _____ Country : _____ Telephone : _____								
Mobile Phone : _____	Fax : _____ Email : _____								
Passport No : _____	Issue Place : _____ Issue Date : _____ Expiry Date : _____								
Residency: ☐ Resident ☐ Non Resident	Nationality _____ Date of Birth: <table border="1" style="display: inline-table;"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		
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)									
<table border="1" style="width: 100%; height: 20px;"></table>	<table border="1" style="width: 100%; height: 20px;"></table>								
Relationship with Nominee : _____	Date of Birth of Minor: <table border="1" style="display: inline-table;"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table> Maturity Birth of Minor : _____	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		
Address : _____									
City : _____	Post Code : _____ State/Division : _____ Country : _____ Telephone : _____								
Mobile Phone : _____	Fax : _____ Email : _____								
Passport No. : _____	Issue Place : _____ Issue Date : _____ Expiry Date : _____								
Residency: ☐ Resident ☐ Non Resident	Nationality _____ Date of Birth: <table border="1" style="display: inline-table;"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		

Full Name : _____

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

[illegible]

--	--	--	--	--

Relationship with Nominee: _____ Percentage (%) : _____

Address : _____

City : _____ Post Code : _____ State/Division : _____ Country : _____ Telephone : _____

Mobile Phone: _____ Fax: _____ Email: _____

Passport No : _____ Issue Place: _____ Issue Date: _____ Expiry Date : _____

Residency: ☐ Resident ☐ Non Resident **Nationality** _____ **Date of Birth:**

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

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 Nominee: _____ Date of Birth of Minor:

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

 Maturity Birth of Minor:

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Address : _____

City : _____ Post Code : _____ State/Division : _____ Country : _____ Telephone : _____

Mobile Phone: _____ Fax : _____ Email : _____

Passport No.: _____ Issue Place: _____ Issue Date: _____ Expiry Date : _____

Residency: ☐ Resident ☐ Non Resident **Nationality:** _____ **Date of Birth:**

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

place paste recent passport size photograph	place paste recent passport size photograph	place paste recent passport size photograph	place paste recent passport size photograph
--	--	--	--

11



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:

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

CDBL Participant Id :

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

Account Holder's BO																
---------------------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

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

Full Name : _____

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.

[illegible]

Address :

City: _____ Post Code : _____ State/Divisio: _____ Country : _____ Telephone: _____

Mobile Phone : _____ Fax: _____ Email: _____

Passport No : _____ Issue Place : _____ Issue Date : _____ Expiry Date : _____

Residency: ☐ Resident ☐ Non Resident **Nationality:** _____ **Date of Birth:**

Power of Attorney Effective F	To
-------------------------------	----

Remarks (Insert reference to POA document i.e. Specific POA or General
--

4. Photograph of Power of Attorney Holder

Please paste
recent passport
size Photograph

(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 account. 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)		



SBAC Bank Investment Limited
TREC Holder No-267, Dhaka Stock Exchange Ltd.
BSC Tower (6th Floor), 2-3 Rajuk Avenue, Dhaka-1000
BSEC Reg. No.- 3.1/DSE-267/2021/569

Central Depository Bangladesh Limited (CDBL) Depository Account (BO Account) opened with CDBL Participant Terms & Conditions - By 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 SBAC Bank Investment Limited (the "CDBL Participant") Opening the account providing depository account facilities to me/us/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 Opening 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 keep the securities in an Omibus Account of the CDBL Participant. The CDBL Participant shall however ensure that may / our securities shall not be mixed with the CDBL Participant 's.

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 statement and particulars set out in the account opening form, supporting or accompanying Documents.
- (b) The authenticity and genuines 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 particular's 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 changes 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 authorized remains a minor at the time of / our death, the legal guardian is authorized to Receive/ draw the securities held in my/our account.

(c) The nominee so authorized, shall be entitled to all my / our account to the exclusion of all other persons i .e, my/our heirs Executors, and administrators and all other persons calming 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 provide 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 existing balances in my / your to one more of my/your other accounts (s) held with any other CDBL Participants

(b) By rematerialization of a part of the existing balances in my/your 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 benefit.

(b) not affect any debit or credit to and from 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 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 Accounts 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 securies 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 statement 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

(f) Promptly aend 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 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) Committing or participating in any fraud or other act of moral turpitude in his / its dealings with CDBL Participant.

(d) Otherwise misconducting 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.	Client Signature with date
First Applicant		
Second Applicant		
3rd Signatory (Ltd Co. only)		



SBAC Bank Investment Limited
TREC Holder No-267, Dhaka Stock Exchange Ltd.
BSC Tower (6th Floor), 2-3 Rajuk Avenue, Dhaka-1000
BSEC Reg. No.- 3.1/DSE-267/2021/569

KYC Profile Form
(Applicable for BO Account)

(To be completed by the Account Opening/Relationship Manager)

BO ID :	Internal Reference No./Code No. :
1. Customer / Account Name :	
2. Type of Account :	
3. Name of Account Opening Officer/Relationship Manager :	
4. What is the source of fund? How the source of fund has been verified (Where applicable)	

5. Information regarding Beneficial Owner of the account (In case of company, information regarding controlling shareholder(s) and the shareholder(s) holding 20% or more shares)

--

- | | | | |
|-------------------------------|---|------------------------------|-----------------------------|
| 6. Passport No:..... | Whether photocopy obtained? (Where Applicable)? | ☐ Yes | ☐ No |
| 7. Voter ID Card No:..... | Whether photocopy obtained? (Where Applicable)? | ☐ Yes | ☐ No |
| 8. National ID No:..... | Whether photocopy obtained? (Where Applicable)? | ☐ Yes | ☐ No |
| 9. T.I.N. No:..... | Whether photocopy obtained? (Where Applicable)? | ☐ Yes | ☐ No |
| 10. VAT Reg. No:..... | Whether photocopy obtained? (Where Applicable)? | ☐ Yes | ☐ No |
| 11. Driving Licences No:..... | Whether photocopy obtained? (Where Applicable)? | ☐ Yes | ☐ No |

12. What does Customer do?

Mention the occupation of the client in details:
--

Comments (If any):

--

(Comments may be made in this part regarding risk of the customer in consideration of subjective judgement)

	A/C Opening Officer/Relationship Manager:	Verified By :	Approved By :
Signature	Signature (With Seal) Name :	Signature (With Seal) Name :	Signature (With Seal) Name :

Client Name :

Mobile :

ELECTRONIC FUND TRANSFER (EFT) Enrollment Form

Client Code:

Date:

Client Name: Mobile:

I/We do hereby authorize SBIL to register the following Bank Account for the purpose of electronic fund transfer (EFT). By signing below I/we agree to enroll in the electronic funds transfer service.

Bank Name :	
Bank A/C :	
Branch Name :	
Routing Number :	
Email :	

I/We certify that I/We am/are the owner or authorized signatory for this account.

I have also read and agree to the Terms and Conditions that follow.

Signature of First Account Hold

Signature Verified By

Posted By

Posting Verified By

TERMS AND CONDITIONS

1. SBIL will transfer funds electronically from the customer's trading account to customer Bank account registers on this EFT Enrollment Form.
2. It is customer's sole responsibility to ensure that his bank account information is correct and accurate. SBIL is not responsible for any payment processing errors or fees incurred if you do not provide accurate account information.
3. SBIL reserves the right to reject EFT Enrollment Application Form.
4. Any changes made to this EFT Enrollment Form must be updated in person at the SBIL office. This may require new EFT enrollment application process.
6. EFT services will be discontinued if:
 5. Terms and conditions may be changed without prior notice due to the amendment of relevant regulatory policy by the pertinent Government regulatory body such as Securities and Exchange Commission.
 - The registered account is not active or closed.
 - The registered account is not active or closed.
7. All questions and concerns regarding the EFT service should be directed to the CEO & Director of SBIL.
8. SBIL is not responsible for technical error or difficulties, beyond SBIL's control, that may arise during the process of Electronic Fund Transfer.
9. The account holder has to annex copy of cheque leaf of the account or bank statement or bank certificate of the account with EFT FORM.

SIGNATURE CARD



Photo

Photo

Photo

Photo

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

Second Applicant

Power of Attorney

[illegible]

Status	Name of Account Holder (In Block Letter)	Signature
Individual		
Joint		
Authorize/POA		
Nominee		

SL. NO.	Product Type	
1.	SBIL IPO	☐
2.	SBIL Beginner	☐
3.	Others :	☐

Account Boking Channel	
Account Boking Channel	

Source Name:.....

--	--	--	--	--

Channel :

Authority's Signature



SBAC Bank Investment Limited
TREC Holder No-267, Dhaka Stock Exchange Ltd.
BSC Tower (6th Floor), 2-3 Rajuk Avenue, Dhaka-1000
BSEC Reg. No.- 3.1/DSE-267/2021/569

Required Documents

List of Required Documents for Individual Account:

Yes/No

1.	3 Passport Size Photograph (Applicant's name in block letter, sign).		
2.	2 Passport Size Nominees Photograph (Attested by the applicant). In case the nominee is minor, a document of guardian must be given by the applicant.		
3.	Photocopy of National ID (Both Account Holder & Nomine).		
4.	If National ID Card is not available then, Photocopy of Passport/ Driving License/ Nationality Certificate with attested Phot.		
5.	Bank Certificate (Mandatory In Case Where National ID Card is not available) / Bank Statement /Chaque Slip.		
6.	Photocopy of Employee ID Card ? (applicable only for service holder)		
7.	Trade license / approval of operational head (if profession is business).		
8.	2photo of authorized person, if any (Attested by the applicant) and also a copy of any national photo ID of the authorized person.		

List of Required Documents for joint Account:

1.	3 Passport Size Photograph (Applicant's name in block letter, sign).		
2.	2 Passport Size Nominees Photograph (Attested by the applicant). In case the nominee is minor, a document of guardian must be given by the applicant.		
3.	Photocopy of National ID of both applicants.		
4.	If National ID Card is not available then, Photocopy of Passport/Driving License/ Nationality Certificate with attested photo of both applicants.		
5.	Bank Certificate (Mandatory in case where National ID Card is not available) / Bank Statement (at Least for the principal applicant).		
6.	Photocopy of employee ID Card / (applicable only for service holder), (at least for the principal applicant).		
7.	Trade license (if profession is business).		
8.	2 photo of authorized person, if any (Attested by both applicants) and also a copy of any national photo ID of the authorized person.		

List of Required Documents for Corporate Accountn (Primary Documents):

1.	3 Photographs of Managing Director(s)/ All of the partners / Members of the Governing Bodies with their names in block letters, sign.		
2.	Bank Certificate / Bank Statement of the organization.		
3.	Photocopy of Managing Director's All of the partners' / Members of the Governing Bodies' national ID card / Valid Passport / Driving License / Nationality Certificate with attested photographs.		

List of Required Documents (Proprietorship):

1.	Copy of Valid Trade License.		
2.	2 Photograph of Authorized Signatory (if any) attested by the principal applicant.		
3.	If Nominee is mentioned, then nominee's signature and 2 photograph attested by the applicant.		



SBAC Bank Investment Limited
TREC Holder No-267, Dhaka Stock Exchange Ltd.
BSC Tower (6th Floor), 2-3 Rajuk Avenue, Dhaka-1000
BSEC Reg. No.- 3.1/DSE-267/2021/569

Required Documents (Cont.)

List of Required Documents (Partnership):

1.	Copy of Valid Trade License.		
2.	Partnership Deed.		
3.	1 Photograph of Authorized Signatory (if any) attested by all the partners.		
4.	Partners letter of authority to open account and authorization of operation.		

List of Required Documents (Liability Company):

1.	Copy of Valid Trade License.		
2.	Copy of RJSC Certified Memorandum and Article of Association (MEMART) and please check the below documents in the Memorandum and Article of Association:		
	a. Copy of certificate of incorporation and commencement of business (for Public Ltd.Co.)		
	b. Latest copy of form XI		
	c. List of Directors along with addresses (Or) A license from Bangladesh Bank (in case of financial institution).		
2.	List of authorized signatories along with address.		
4.	Copy of Board resolution to open the account and authorization for operation.		

List of Required Documents (Association / Trust / Society / Provident Fund):

1.	Trust deed (for trust account only).		
2.	Copy of constitution / bylaws / rules.		
3.	Certificate of registration.		
4.	List of members of the governing bodies along with addresses.		
5.	Copy of resolution of governing body to open the account and authorization for operation.		
6.	List of authorized signatories along with addresses.		
7.	Reorganization Letter from NBR (for provident fund only).		



Corporate Office

SBAC Bank Investment Limited.
TREC Holder No-267, Dhaka Stock Exchange Ltd.
BSC Tower (6th Floor) 2-3 Rajuk Avenue, Dhaka-1000
BSEC Reg. No. : 3.1/DSE-267/2021/569 (Broker)
3.1/DSE-267/2021/570 (Dealer)

