





# COLUMBIA SHARES & SECURITIES LTD.

YOUR GROWTH IS OUR PRIORITY

## Required Documents

List of Required Documents for Individual / Joint Account:

Yes / No

1	<b>3 Passport Size</b> Photographs (Each Applicant's name in <b>Block letter</b> , <b>Signature</b> ).		
2	<b>2 Passport Size</b> Photographs of Nominee ( <b>Must be attested by the applicant</b> ) and <b>1 Photocopy of National ID</b> . In case the nominee is a minor, a photocopy of NID / NID No. of guardian must be given by the applicant.		
3	<b>Photocopy of National ID</b> / If National ID Card is not available, NID Number must be provided.		
4	If National ID Card is not available, Photocopy of Passport / Driving License / Nationality Certificate with attested Photo is required.		
5	<b>Photocopy of Cheque Leaf</b> / Bank Statement (at least for the principal applicant).		
6	<b>3 Passport size photos of Authorized person / Operator / Power of Attorney</b> , if any (attested by the applicant) as well as a copy of any NID of the Authorized person / Operator / Power of Attorney.		
7	<b>1 valid mobile</b> and <b>email address</b> must be provided by the applicant. If Possible a <b>Copy of TIN Certificate</b> .		

List of Required Documents for Corporate / Proprietorship Account (Primary Documents):

1	<b>2 Photographs of Managing Director(s)</b> / All of the partners / Members of the Governing Bodies with their names in <b>Block letters, Signature</b> .		
2	<b>Photocopy of Cheque Leaf</b> and Bank Certificate / Bank Statement for the last 3 months of the organization.		
3	<b>List of Directors</b> along with address and Photocopy of Managing Director's / All of the partners' / Members of the Governing Bodies' NID / valid Passport / Driving License / Nationality Certificate with <b>attested photographs</b> .		
4	If National ID Card is not available, in that case NID Numbers of Managing Directors / All the partners / Members of the Governing Bodies, has to be provided.		
5	<b>1 valid mobile</b> and <b>email address</b> must be provided by the applicant(s).		
6	<b>3 Passport size photos of Authorized person / Operator / Power of Attorney</b> , if any (Attested by the applicant) as well as a copy of any NID of the Authorized person / Operator / Power of Attorney.		
7	<b>Photocopy of RJSC Certified Memorandum and Articles of Association</b> .		
8	<b>Photocopy of Certificate of Incorporation and Commencement of Business or Partnership Deed</b> .		
9	<b>Up-to-date Photocopy of Form XII</b> .		
10	<b>Photocopy of Valid Trade License</b> .		
11	<b>Photocopy of Company's TIN Certificate</b> .		
12	<b>Photocopy of Board Resolution</b> .		
13	<b>Trust Deed (for Trust Accounts only)</b>		
14	<b>Proprietorship / Partnership Deed</b> . In case of Partnership, <b>Partners letter of authority to open account and authorization for operation</b> .		

Additional Required Documents for NRB, Foreign Nationals & Foreign Institutions:

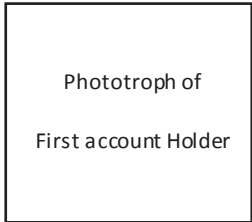
1	<b>Photocopy of Valid Passport for Principal &amp; Joint Account Holder, Nominee and Authorized Person</b> .		
2	<b>Bank Certificate for FC or NITA Account including Bank Statement</b> .		
3	<b>Tax Clearance Certificate (In Case of foreign Nationals)</b> .		
4	<b>Photocopy of Service Agreement or Work Permit</b> .		
5	<b>Photocopy of Resident Permit</b> .		
6	<b>Bank Certificate for FC or NITA Account including Bank Statement</b> .		



# COLUMBIA SHARES & SECURITIES LTD.

YOUR GROWTH IS OUR PRIORITY

WEB: WWW.CSSLBD.NET



**Head Office:** Chaya neer, (Ground Floor) House# 45, Block-A, Road# 27, Banani, Dhaka-1213, Bangladesh. Tel: +880 255 033629

**Registered Office:** Atlas Rangs Plaza (6th Floor), 7 Sk Mujib Road, Agrabad C/A Chattogram-4100, Bangladesh. Tel: +880 31 711019-21

## CUSTOMER ACCOUNT INFORMATION

Date: ..... [FILL UP THE IN FORM CAPITAL LETTERS] Account Type: Regular  Linked

Client Code:  BO ID:

Client Type: Cash  Margin  Bo Type: Individual  Joint  Company

**First Account Holder**

Name of the Customer: .....

Father's/ Husband's Name: .....

Mother's Name : .....

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

Present Address: .....

.....

Permanent Address: .....

..... Mobile : ..... E-mail : .....

NID/Passport : ..... Occupation: ..... E-Tin: .....

**Joint Account Holder**

Name of the Customer: .....

Father's/ Husband's Name: .....

Mother's Name: .....

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

Present Address: .....

.....

Permanent Address: .....

..... Mobile : ..... Email ID: .....

NID/Passport : ..... Occupation: ..... E-Tin : .....

MODE OF OPERATION: ANYONE CAN OPERATE  JOINTLY  EITHER OR SURVIVOR

### Corporate Account Holder

Name of the Customer/Company: .....

Date of Incorporation: ..... E-Tin : ..... Trade License No.: .....

Type of Company: ..... Registered Address: .....

Business Address: .....

..... Mobile : ..... Email: .....

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

Gender: Male  Female  Date of Birth: ..... NID: ..... Nationality: .....

Address: .....

..... Mobile : ..... Email: .....

### Authorized Account Holder

Name of the Customer: .....

Father's/ Husband's Name: .....

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

Address: .....

..... Mobile : ..... E-mail : .....

NID/Passport : ..... Occupation ..... E-Tin : .....

Officer of Director/Sponsor Shareholder of any Stock Exchange Listed Company?  Yes  No Signature .....

If yes, Name of the Stock Exchange/ Listed Company: .....

Bank Name: ..... Branch Name: ..... Routing No.: .....

Account Name: ..... Account 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		

**(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 **Columbia Shares & Securities 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 here in after and as may be modified from time to time by Columbia Shares & Securities Limited and that I / we / company name have / has the necessary authority and permission to enter this agreement.

**TERMS AND CONDITIONS**

**Instruction:** A written instruction shall be given to Columbia Shares & Securities 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, Columbia Shares & Securities Limited shall, so far as Columbia Shares & Securities 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) Columbia Shares & Securities Limited shall have an absolute discretion to accept or reject purchase/sell instructions and (III) accounts holder's Instructions shall include the following details:

- The name of the investment.
- Quantity.
- Price with notification of limit or discretion.
- Properly filled buy / sell order.
  - All or partial fill with minimum trade value of 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 Columbia Shares & Securities Limited otherwise and provide such documentation as Columbia Shares & Securities 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 actions on his or her behalf and to represent him or her in all respects in connection with this agreement. Columbia Shares & Securities Limited shall be fully protected and indemnified in acting but shall not be required to act upon the instruction of either or the account holder, who shall be liable, jointly or severally, for any amounts due to Columbia Shares & Securities Limited pursuant to this agreement, whether incurred by either both of the account holders.

**Risk:** The account holder understands that the stock market is a rapidly changing market and that there is an inherent risk in incurring loss in share dealings, which Columbia Shares & Securities Limited, is not in any way whatsoever liable and/or responsible for the share dealings of the account holder.

**Limit Orders:** While Columbia Shares & Securities Limited will endeavor to purchase or sell the investment within the limits of the prices that may be notified by the account holder, Columbia Shares & Securities Limited does not guarantee or assure that the transactions will be materialized on such notified limits; Columbia Shares & Securities Limited will always endeavor to obtain the best price.

**Agents:** Columbia Shares & Securities 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. Columbia Shares & Securities 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:** Columbia Shares & Securities Limited may purchase and/ or sell investment on behalf of the account holder by placing order with itself and other company whether acting as under writer(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 Columbia Shares & Securities Limited in its sole discretion may decide.

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

**Payment and Disclosure:** Columbia Shares & Securities Limited shall not be obliged to make any payment on behalf of the account holder(s) Columbia Shares & Securities Limited may disclose information regarding the account holder(s) 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 Columbia Shares & Securities Limited will not be liable in any way to account holder(s) for doing so.

**Cancellation provisions:** Columbia Shares & Securities Limited is authorized, in its absolute discretion, should the undersigned die or should Columbia Shares & Securities 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(s), 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 Columbia Shares & Securities Limited as a broker / TREC of the DSE the account holder(s) shall be indemnified if and only as provided by the Rules and Regulation of the DSE.

**Confirmation and Settlements:** Columbia Shares & Securities Limited shall use its best endeavors to provide the account holder(s) with (a) written confirmation of each transaction it has effected on instructions and (b) contract notes (in such form as Columbia Shares & Securities Ltd. shall determine) setting forth (i) details of the trade date, value date, settlement date, quantity, price, commission rate and equivalent provided also that the account holder does hereby agree and undertake to confirm in writing beforehand of all its / their instructions.

**Fees and expenses:** The account holder(s) will pay ..... 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 and CDBL. The account holder(s) understands, acknowledges and accepts that the rate of commission may be changed from time to time at the discretion of Columbia Shares & Securities Limited.

**Set-off:** Columbia Shares & Securities 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 Columbia Shares & Securities Limited for the account holder and if such monies are insufficient for the purpose, to sell any investment held by Columbia Shares & Securities 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 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 Columbia Shares & Securities Limited and the Account Holder.
- ii) Before the expiry of the period of this Agreement, if either Columbia Shares & Securities Limited or the Account Holder gives ..... month's 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 agreement are capable of assignment by both the account holder and Columbia Shares & Securities Limited without the consent of the other but the notice of assignment must be given to the other in writing.

**Force Majeure:** Columbia Shares & Securities 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:** Columbia Shares & Securities Limited shall not be liable or responsible for any shares that are found to be forged. However, Columbia Shares & Securities Limited will make every attempt to replace the forged shares from the seller. (Physical Shares).

**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, email, cable or letter) or orally and shall be sent to Columbia Shares & Securities 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, email 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 said 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 Columbia Shares & Securities Limited officers confirming the monies and / or liabilities for the time being due and / or incurred to by the account holder(s) shall be conclusive evidence there against him / her.

**Disputes and Resolution of Dispute:** In-case of any dispute arising between the Columbia Shares & Securities 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 1st A/C Holder	Signature of the 2nd A/C Holder
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Witnessed By:	Witnessed By:
Signature .....	Signature .....
Name: .....	Name: .....
Address: .....	Address: .....
.....	.....





**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**

ExchangeName DSE  Trading ID..... CSE  Trading ID.....

**11. Photograph**

Please paste recent passport size Photograph of 1 <sup>st</sup> Applicant or Authorized Signatory in case of Limited Co. Only	Please paste recent passport size Photograph of 2 <sup>nd</sup> 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
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1st Applicant or Authorized Signatory in case of Ltd Co.

2nd Applicant or Authorized Signatory in case of Ltd Co.

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.

Applicants	Name of applicants / Authorized signatories in case of Ltd Co.	Signature with date
First Applicant		
Second Applicant		
3 <sup>rd</sup> 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 ..... **Columbia Shares And Securities Limited** .....

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

..... Introducer's Name

..... Account ID         .....

(Signature of Introducer)





DSE TREC NO 287

Power of Attorney (POA) Form

Please complete all details in CAPITAL letters. Please fill all names correctly. All communications shall be sent to the correspondence address of only the First Named Account Holder as specified in BO Account Opening Form -02.

Application No.....

Date (DDMMYYYY).....

Name of CDBL Participant (Up to 99 Characters)

COLUMBIA SHARES AND SECURITIES LIMITED

CDBL Participant ID

6 2 3 0 0

Account holder's BO ID

1 2 0 6 2 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)

[Grid for name entry]

Power of Attorney Holder's Details

Full Name

[Line for full name entry]

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.

[Grid for short name and title entry]

1. Power of Attorney Holder's Contact Details:

Address

[Line for address entry]

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 [ ]

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

**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 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		
3 <sup>rd</sup> Signatory (Ltd Co. only)		

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

CDBL Participant, Dhaka / Chittagong / Sylhet, Bangladesh

Dear Sir,

Please open a Depository account (BO Account) in my/our names(s) on the terms and conditions set out bellow In consideration of ..... **COLUMBIA SHARES AND 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 bellow.

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.

Where i/we have executed a BO Account Namination 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, esecutors 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 bindibg 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 dealinga 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		
3 <sup>rd</sup> Signatory (Ltd Co. only)		

**KYC Profile Form**

(Applicable for BO Account)

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

<b>BO ID:</b>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 12.5%; text-align: center;">1</td> <td style="width: 12.5%; text-align: center;">2</td> <td style="width: 12.5%; text-align: center;">0</td> <td style="width: 12.5%; text-align: center;">6</td> <td style="width: 12.5%; text-align: center;">2</td> <td style="width: 12.5%; text-align: center;">3</td> <td style="width: 12.5%; text-align: center;">0</td> <td style="width: 12.5%; text-align: center;">0</td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> </tr> </table>	1	2	0	6	2	3	0	0													<b>Internal Ref No:</b>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> </tr> </table>								
1	2	0	6	2	3	0	0																								

1. Customer / Account Name :	
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2. Type of Account :	
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3. Name of Account Opening Officer / Relationship Manager :	
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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)? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 7. National ID Card No : ..... | Whether photocopy obtained? (where applicable)? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 8. T.I.N. No : .....           | Whether photocopy obtained? (where applicable)? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 9. VAT. Reg. No : .....        | Whether photocopy obtained? (where applicable)? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 10. Driving License No : ..... | Whether photocopy obtained? (where applicable)? | <input type="checkbox"/> Yes <input type="checkbox"/> No |

11. What does the customer do?

Mention the occupation of the client in details:	
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Comments (To be filled by official):

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	A/C Opening Officer/Relationship Manager :  Signature (with seal) Name : Date :	Verified By :  Signature (with seal) Name : Date :	Approved By :  Signature (with seal) Name : Date :
Signature			



**ELECTRONIC FUND TRANSFER(EFT) ENROLLMENT FORM**

Client Code:

Date :

Client Name: ..... Mobile: .....

I / We do hereby authorize Columbia Shares & Securities Limited 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.

A/C Holder's Name :	
Bank Name :	
Bank A/C:	
Branch Name :	
Routing Number :	

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 Holder

.....  
Signature Verified by

.....  
Posted by

.....  
Posting Verified by

**TERMS AND CONDITIONS:**

1. Columbia Shares & Securities Limited 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. Columbia Shares & Securities Limited is not responsible for any payment processing errors or fees incurred if you do not provide accurate account information.
3. Columbia Shares & Securities Limited 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 Columbia Shares & Securities Limited office. This may require new EFT enrollment application process.
5. Terms and conditions may be changed without prior notice due to the amendment of relevant regulatory policy by the pertinent Government regulatory bodies such as Securities and Exchange Commission.
6. EFT services will be discontinued if:
  - The registered account is not active or closed.
  - The account holder is not the signatory of the registered account.
7. All questions and concerns regarding the EFT service should be directed to the CEO & Managing Director of Columbia Shares & Securities Limited.
8. Columbia Shares & Securities Limited is not responsible for technical errors or difficulties, beyond Columbia Shares & Securities Limited'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 of First Applicant	Photo of Second Applicant	Photo of Authorized / POA	Photo of Nominee
<p><b>Account Number</b>    <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/></p> <p><b>BO ID No.</b>    <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/></p>			

Status	Name of Account Holder (In Block Letter)	Signature
First Applicant		
Second Applicant		
Authorize/POA		
Nominee		

Account Booking Channel
<p>Source Name: .....</p> <p>Source Code :    <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/></p> <p>Channel        : .....</p> <p style="text-align: right; margin-top: 20px;">..... Authority's Signature</p>



**INTEGRITY**





**GROWTH**



**INSIGHT**


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Banani, Dhaka - 1213

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Agrabad C/A, Chattogram - 4100

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(+880) 23333-11020  
(+880) 23333-11021

 [www.csslbd.net](http://www.csslbd.net)

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