



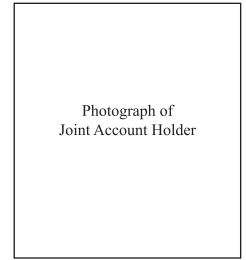
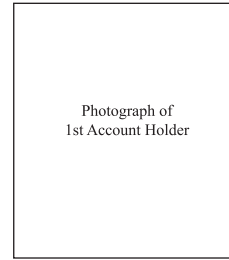
SHELTECH
BROKERAGE LIMITED

Your Trust Our Strength



Dhaka Stock Exchange Ltd. TREC No. 120, BSEC Reg. No. 3.1/DSE-120/2014/529
BSEC/Reg/CDBL-DP-126

| | | |
|--------------|----------------------|---|
| Name | <input type="text"/> | |
| Client Code | <input type="text"/> | |
| BO ID No. | 1 2 0 2 5 5 0 0 | <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> |
| Address | <input type="text"/> | |
| Name (Joint) | <input type="text"/> | |
| Phone | <input type="text"/> | Mobile <input type="text"/> |
| Fax | <input type="text"/> | E-mail <input type="text"/> |


 Date :
CUSTOMER ACCOUNT INFORMATION FORM

| | |
|--|---|
| Client Account No. <input type="text"/> | BO ID NO. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> |
| Account Type : Cash <input type="checkbox"/> Margin <input type="checkbox"/> | NRB: Yes <input type="checkbox"/> No <input type="checkbox"/> Status: Individual <input type="checkbox"/> Joint <input type="checkbox"/> |

Name of the Customer/Account Holder:

.....

Father's/Husband's Name:

.....

Date of Birth Sex : Male Female

Marriage Anniversary

Occupation Nationality

National ID Card No.

Present Address

.....

Phone

Fax E-mail

Permanent Address

.....

Phone

Fax E-mail

Joint Account Holder's Name:

.....

Father's/Husband's Name:

.....

Date of Birth Sex : Male Female

Marriage Anniversary

Occupation Nationality

National ID Card No.

Present Address

.....

Phone

Fax E-mail

Permanent Address

.....

Phone

Fax E-mail

Name and contact details of the **Authorized Person (if any)** of the Customer to deal with **Sheltech Brokerage Limited**
 (A passport size photograph of the Authorized Person is require to be attested by the Customer)

Name of Authorized Person :

Father's/Husband's Name

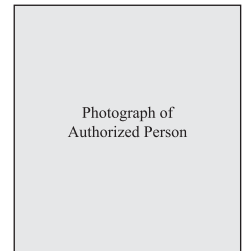
Date of Birth Sex: Male Female Nationality

Present address.....

Phone Fax E-mail

Permanent Address

Phone Fax E-mail



Whether the Customer or Joint Holder is an Officer or Director of any Stock Exchange/Listed Company? Yes No

If yes, Name & Address of the Stock Exchange/ Listed Company

.....

Name & Address of the Person Introducing the Customer

.....

√

Date & Signature of Introducer

Date & Signature of Authorized Person (if any)

√

Date & Signature of Customer

√

Date & Signature of Joint Account Holder

Authorized Signatory accepting the Account

Date & Signature of CEO/Director

TERMS AND CONDITIONS FOR OPENING A BROKERAGE ACCOUNT

This Agreement is made on this day of 20

By and Between

The Company : Sheltech Brokerage Limited, and

The Client :

WHEREAS

- a) The Client wishes to receive various services from the Company, which includes but not limited to the stock broking facilities, CDBL services, margin loan, credit facilities, professional management and administration of transaction of securities by opening Beneficiary Owner (BO) Accounts with it
- b) The Company has agreed to render the aforesaid services to the Client on terms and conditions detailed hereunder

NOW THEREFORE, it is agreed between parties to this Agreement that_

1. Terms of Investment:

- 1.1 Prior to or upon execution of this Agreement, the Client shall open a Customer Account and a BO Account with the Company with a deposit of or securities for investment purposes.
- 1.2 Investment decisions are to be made by the Client alone. The Company will not make any suggestion regarding investment. The Client may issue instruction from time to time to the Company, through_
 - (a) Company prescribed order slip signed by the Client
 - (b) Written instruction signed by the Client
 - (c) Faxed instruction signed by the Client
 - (d) Instruction made in any lawful manner which is acknowledged and recognized by the Company as Client's instruction
- 1.3 Instructions made as aforesaid will be treated as conclusive evidence of the Client issuing instruction to the Company and upon execution, will be binding in nature
- 1.4 If due to emergency, the Client issues instructions through telephone/SMS and the Company acknowledges the same, then within 24 hours of issuing such instruction, the Client shall provide a written confirmation to the Company of his instruction issued as aforesaid
- 1.5 Despite the Client's failure to provide written confirmation of the oral/sms instruction made to the Company, transaction made by the Company based upon such instruction will still be binding upon the Client and the Company will not be held liable anyway
- 1.6 All instruction and orders made by the Client over telephone or any other electronic or electrical devices shall be logged by the Company in its system and such records shall be considered as conclusive evidence that the instructions have been given by the Client and the transaction so ordered or instructed shall be binding on the Client
- 1.7 Instructions issued by electronic transmission to the Company shall be made at the risk of the Client and the Company shall under no circumstance be held responsible for any loss due to non- transmission arising out of any electronic, electrical or mechanical fault
- 1.8 The Company shall open a Customer Account in the name of the Client with the Company and the Stock Exchange(s) for executing the transaction of securities and fund
- 1.9 Upon receiving, the Company shall undertake necessary steps to execute orders of the Client. If the means of communication is not satisfactory, the Company shall not be obliged to comply with such order but shall revert back to the Client for clarification
- 1.10 If the value of a buy order of the Client exceeds the purchasing power of the Customer Account, which will be determined by the available credit balance plus approved margin loan waiting for disbursement in the account, the Company shall have the discretion either to reject the order or modify the order quantity and/or eliminating a specific order

- 1.11 Been warned by the Company in detail, the Client hereby confirms of being fully aware of the risks of losses arising out of fluctuations of prices of Securities. The Client has agreed to invest through the Investor's Discretionary Account knowing fully about associated risks
- 1.12 Under no circumstances whatsoever, the Company shall be responsible or liable for any result arising out of the instruction made by the Client
- 1.13 The Client hereby acknowledges that the Company neither guarantees any rate of return or profit from any investment made by the Client nor shall be responsible for any losses caused to the Client due to price fluctuations in the capital market
- 1.14 The Client may from time to time appoint or withdraw any person as 'Attorney' or 'Authorized Person' by submitting the 'Power of Attorney Form' and 'Power of Attorney Removal Form'
- 1.15 Attorney/Authorized Person:
- Individual/Joint account holders will be allowed to appoint 1 (one) Authorized Person to act on behalf
 - An institutional Client shall be allowed to appoint a maximum number of 3 (three) Authorized Persons at a time
- 1.16 Until withdrawn by the Client, Attorney/Authorized Person(s) as aforesaid will be entitled to do all acts on behalf of the Client which the Client is capable of doing under this Agreement
- 1.17 Where more than one persons are authorized/appointed Attorney, unless specified by the Client, the Company may act on the instructions of any one of them
- 1.18 Until receiving removal notice from the Client, the Company may act on the instructions of Client's Authorized Person(s)/Attorneys
- 1.19 The Client shall be fully responsible for the acts and omissions of concerned Attorney/Authorized Person. The Company shall not be held liable for any act and omission made by the Attorney/Authorized Person, which includes but will not be limited to_ unauthorized placing of securities purchase/sale orders or withdrawal of fund/securities
- 1.20 If the Client is a limited Company, Institution, Association, Trust or a Firm, the Client shall provide necessary corporate documents, board approvals and shareholders' approval (if applicable) supporting the appointment of the Attorney/Authorized Person for operating the account
- 1.21 The Client shall be solely responsible for notifying the Bangladesh Securities and Exchange Commission (BSEC) and other concerned authorities in the case of acquiring substantial shares of a Company and/or Trading shares of companies in which the Client holds Directorship or in other cases where it is obligatory to notify regulatory authorities

2. Trading Error:

- 2.1 A trading error shall deemed to have occurred if any discrepancy is detected between the order given by the Client in accordance with the Article 1 hereinabove and the order placed to the Stock Exchange in the following aspects:
- Misdescription of the name of securities
 - Alternation of orders (i.e., placing buy order while the Client placed sale order and vice versa)
 - Excess order to the Stock Exchange. However, placing lesser quantity of order shall not be deemed to be a trading error
- 2.2 The Company shall not be responsible for or shall not assume any obligation to compensate for any damages or loss suffered by the Client due to a trading error committed by trader(s)
- 2.3 The Company shall be deemed to have committed a trading error, if any discrepancy is detected between the written order placed to the Company and the trade confirmations issued by the Company in the following aspects:
- The Securities traded differ from the order placed
 - Executing erroneous trades which differs from the order placed by the Company, i.e., Executing buy order while sale order was placed and vice versa
- 2.4 Subject to the provisions herein, if the Company commits any error in placing orders to the Stock exchange(s), the Company shall reverse the traders the trades within shortest possible time and compensate the account for any realized losses arising out of such wrong transaction. However, the Company shall under no circumstances be liable to compensate any amount more than the actual loss amount, and will not be liable for any loss opportunity, loss of profit or future loss

3. Covenants:

- 3.1 The Company will exercise diligent efforts, without any obligation in buying and selling securities and rendering services related to the maintenance and administration of the Portfolio of the Client in accordance with the instructions of the Client
- 3.2 The Company will maintain separate client-wise accounts for the fund and the Securities of its Clients
- 3.3 The Company shall act as custodian to all the Securities of the Portfolio and shall exercise all care and due diligence in the dealing, administration and management of the account(s) and the securities of the Client

4. Transmission:

- 4.1 In the event of death of the Client, the Nominee(s) specified by the Client in the Application form shall be the only person(s) recognized by the Company as being entitled to the deceased's Portfolio
- 4.2 If at the time of Client's death, the Nominee(s) is a minor or legally incapable, the Legal Guardian of the Nominee shall be entitled to the deceased's Portfolio
- 4.3 If Nominee(s) are not specified, pertaining to the deceased's Portfolio, the Company shall not be under any obligation to recognize or acknowledge any person or persons of having any right, title or interest unless such person is holding a valid succession certificate, probate or letter of administration covering the investment from a Court of competent jurisdiction and subject to such further documents or evidence that the Company may require

5. Notice:

- 5.1 Any notice to be served by the Company must be in writing and shall first be served via fax/email/SMS, and then confirmed by registered mail or courier service at respective numbers and addresses as provided by the Client while completing Customer Account Information Form or BO Account Opening Form
- 5.2 Any Party to this Agreement, may from time to time change its numbers, mailing address (both e and snail) or representatives authorized to receive the notices detailed herein by giving the other not less than 10 (ten) days prior written notice

6. Termination of Agreement:

- 6.1 The Client shall always maintain a minimum cash balance of Tk. 1,000.00 (taka one thousand) in their account. The Company shall not be bound to keep open the Customer Account and the BO Account having zero balance for more than 3 (three) consecutive months.

7. Miscellaneous:

- 7.1 The Company shall be fully authorized to modify or vary the terms and conditions contained herein as and when the Company deems necessary
- 7.2 This Agreement is or shall be in compliance with the Bangladesh Securities and Exchange Commission (BSEC) laws and such rules, regulations, notices or circulars issued by the Bangladesh Securities and Exchange Commission from time to time
- 7.3 The Client hereby confirms that he/she will have no objection to provide required document regarding any enquiry form Stock Exchanges/BSEC or any Govt. institution

In witness whereof the parties hereby execute this Agreement on the date and year mentioned hereinabove.

For and on behalf of the
Sheltech Brokerage Limited

Signature By
Name :
Designation:

Signature of Principal Applicant
Name :
Address :

Signature of Joint Applicant
Name :
Address :

In the witness of:

Signature By
Name :
Address :

In the witness of:

Signature By
Name :
Address :

BO ACCOUNT OPENING FORM
 Bye Law 7.3.3 (b)

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

Application No

Please Tick whichever is applicable

 Date:

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

 BO Category : Regular Omnibus Clearing * BO Type : Individual Company Joint Holder

 Name of CDBL Participant (Up to 99 Characters) **Sheltech Brokerage Limited**

| | | | |
|---------------------|-----------------|--|---------------------|
| CDBL Participant ID | BO ID | | Date Account Opened |
| 2 5 5 0 0 | 1 2 0 2 5 5 0 0 | | D D M M Y Y Y Y |

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

Name in Full of Account Holder (Up to 99 Characters)*

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

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

(In case of a Company/Firm/Statutory Body) Name of Contact Person

 * In Case of Individual Male Female * Occupation (30 Characters)

* Father's/Husband's Name :

* Mother's Name :

2. Contact Details :

* Address

* City : * Post Code : * State/Division : * Country :

Mobile : Fax : E-mail :

3. Passport Details :

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

4. Bank Details :

* Bank Name : * Branch Name : * Account No. : * Routing 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

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

 Statement Cycle Code Daily Weekly Fortnightly Monthly Other (Please Specify).....

Internal Ref. No (To be filled in by CDBL Participant)

 In Case of Company : Date of Registration

 Registration No : National ID Card No.....

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

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 |
|--|---------------------------|

Father's/Husband's Name :

Mother's Name :

* Marked Field Must be fill up.

শেয়ার বাজারে বিনিয়োগ ঝুঁকিপূর্ণ। জেনে ও বুঝে বিনিয়োগ করুন।

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 lodge 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

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

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

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

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 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 | | |
| 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 **Sheltech Brokerage Limited**

I confirm the identity occupation and address of the applicants (s)

Introducer's Name

..... Account ID

(Signature of Introducer)

শেয়ার বাজারে বিনিয়োগ ঝুঁকিপূর্ণ। জেনে ও বুঝে বিনিয়োগ করুন।

Central Depository Bangladesh Limited (CDBL) Depository Account (BO Account) opened with CDBL Participant

Terms & Conditions

CDBL Participant,

Dear Sir,

Please open a Depository account (BO Account) in my/our name(s) on the terms and conditions set out below. In consideration of Sheltech Brokerage 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 Laws and Operating Instructions issued from time to time by CDBL.
2. CDBL shall allocate a unique identification number of me/us (Account Holder BO ID) for the CDBL Participant to maintain a separate Account for me/us, unless the i/we instruct 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 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 nominees 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 my/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 administrator and all other persons claiming through or under me/us and delivery of securities to the nominee pursuant 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 balance are standing to my/our credit in the account. In case any balances of securities exist in the account the 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 Holders account are sufficient to honour the Account Holders 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 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 the 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 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 |
|----------------------------------|---|---------------------|
| Principal Applicant | | √ |
| Joint Applicant | | |
| 3rd Signatory (Ltd. Co. only) | | |

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 (up to 99 Characters) <div style="text-align: center; font-weight: bold;">Sheltech Brokerage Limited</div> | CDBL Participant ID <table border="1" style="display: inline-table; border-collapse: collapse; text-align: center;"> <tr><td style="width: 20px;">2</td><td style="width: 20px;">5</td><td style="width: 20px;">5</td><td style="width: 20px;">0</td><td style="width: 20px;">0</td></tr> </table> | 2 | 5 | 5 | 0 | 0 | | | | | | | | | |
| 2 | 5 | 5 | 0 | 0 | | | | | | | | | | | |
| Account holder's BO ID <table border="1" style="display: inline-table; border-collapse: collapse; text-align: center;"><tr><td style="width: 20px;">1</td><td style="width: 20px;">2</td><td style="width: 20px;">0</td><td style="width: 20px;">2</td><td style="width: 20px;">5</td><td style="width: 20px;">5</td><td style="width: 20px;">0</td><td style="width: 20px;">0</td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td></tr></table> | | 1 | 2 | 0 | 2 | 5 | 5 | 0 | 0 | | | | | | |
| 1 | 2 | 0 | 2 | 5 | 5 | 0 | 0 | | | | | | | | |
| Name of Account Holder (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: 1.2em; border-collapse: collapse;"></table> | | | | | | | | | | | | | | | |

I/We nominate the following person (S) who is/are entitled to receive securities outstanding in my/our account in the event of the death of the sole holder/all the joint holders.

1. Nominee/Heirs Details

Nominee 1 :

Name in full :

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

Relationship with A/C Holder..... Percentage (%).....

Address :

City : Post Code : State/Division :

Country : Telephone : Mobile Phone :

Fax : E-mail : Passport No :

Issue Place : Issue Date : Expiry Date :

National ID Card No.

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 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

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

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

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

Guardian’s Details (if Nominee is a Minor)

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

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

2. Photograph of Nominee/Heirs

| | | | |
|--|--|--|--|
| Please paste recent. passport size Photograph | Please paste recent. passport size Photograph | Please paste recent. passport size Photograph | Please paste recent. passport size Photograph |
| Nominee/Heirs-1 | Nominee/Heirs-2 | Guardian-1 | Guardian-2 |

| | Name | Signature |
|-----------------------|------|-----------|
| Nominee/Heirs-1 | | √ |
| Guardian-1 | | |
| Nominee/Heirs-2 | | |
| Guardian-2 | | |
| First Account Holder | | √ |
| Second Account Holder | | |

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 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 (Up to 99 Characters)

Sheltech Brokerage Limited

CDBL Participant ID

| | | | | |
|---|---|---|---|---|
| 2 | 5 | 5 | 0 | 0 |
|---|---|---|---|---|

Account holder's BO ID

| | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|--|--|--|--|--|--|--|--|
| 1 | 2 | 0 | 2 | 5 | 5 | 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

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

National ID Card No.

Power of Attorney Effective Form

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

 To

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| 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

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 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 such accounts. I/We also declare that the particulars given by me/us are true to the best of my/our knowledge as on the date of making such application. I/We further agree that any false/misleading information given by me/us or suppression of any material fact will render my/our account liable for termination and further action.

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

KNOW YOUR CUSTOMER (KYC) FORM

Date :

Particulars of Customer

Name of the Account Holder :

Father's Name :

Mother's Name :

Spouse Name :

Nationality :, National ID No :

TIN No :, Residence Status :

Resident :, Non-Resident :

Date of Birth :, Place of Birth :

Sex : Male : Female :

Occupation (with Designation) :

Occupational Address :

Permanent Address :

Present Address: (Residence) :

If Business, please mention the nature of Business :

Passport No :, Validity :, Place of Issue :

Driving License No :, Validity :, Place of Issue :

Source of Fund: Mention the source of fund

- Salary & Bonus
 Business Income
 Rental Income
 Remittance
 Loan
 Family Member's Income
 Sale of Property (attach supporting documents)

Whether the deposit matches with client's profile? Yes No

| | |
|---|----------------------------------|
| If No, what is the additional source of fund? | How source of fund was verified? |
|---|----------------------------------|

Yearly Average Income :.....

Telephone No (Residence) :....., Telephone No. (Office) :.....

Mobile No :....., Fax No :....., E-mail :.....

Bank Name :....., Branch Name :.....

Bank Account No :....., Routing No :.....

| Politically Exposed Persons (PEPs): | | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
|-------------------------------------|---|------------------------------|-----------------------------|
| Details of the PEPs: | If yes, approval from senior Management | | |
| | | | |

Transaction Profile Summary:

| Type of Transaction | No. of Transaction (per month) | Maximum Size (per transaction) |
|---------------------|--------------------------------|--------------------------------|
| Cheque Deposit | | |
| Fund Withdrawal | | |

Nature of Relationship with SBL: Director Employee Customer

If you are relative of Director / Employee of SBL, please mention the type of your Relationship :.....

.....

I hereby declare that the above mentioned informations are true and correct to the best of my knowledge and believe.

√

 Signature of the Account Holder

√

 Signature of the Authority

KNOW YOUR CUSTOMER (KYC) PROFILE FORM

| |
|--|
| 1. Account Name : |
| 2. Account Type : |
| 3. Account or Reference No. : |
| 4. Name of Officer Opening the Account : |
| 5. Nature of Business and Sources of Fund : |
| 6. Describe how the source of fund has been verified, and confirmation of whether or not the amount of transaction is commensurate with the nature of business described when the relationship was established : |
| 7. Who is the Beneficial Owner of the account (<i>Detailed information of the shareholder controlling the company and the single shareholder holding 20% or more share</i>) : |

- | | |
|---------------------------------|---|
| 8. Passport No. :..... | <i>Photocopy Obtained? Yes / No (If Applicable)</i> |
| 9. Voter ID Card No. :..... | <i>Photocopy Obtained? Yes / No (If Applicable)</i> |
| 10. National ID Card No. :..... | <i>Photocopy Obtained? Yes / No (If Applicable)</i> |
| 11. TIN No. :..... | <i>Photocopy Obtained? Yes / No (If Applicable)</i> |
| 12. VAT Registration No. :..... | <i>Photocopy Obtained? Yes / No (If Applicable)</i> |
| 13. Driving License No. :..... | <i>Photocopy Obtained? Yes / No (If Applicable)</i> |

| |
|---|
| 14. For Non-Resident & Foreigners ensure the reason for opening the account in Bangladesh. Type of visa (Resident/Work) : |
|---|

15. What does the Customer do/In what type of business is the customer engaged?

| Sl. | Category | Risk Level | Score | Sl. | Category | Risk Level | Score |
|-----|---|------------|-------|-----|---|------------|-------|
| 01 | Jewelry/Gems Trade | High | 5 | 22 | Insurance/Brokerage Agency | Medium | 3 |
| 02 | Money Changer/Courier Service Agent | High | 5 | 23 | Religious Institute/Organization | Medium | 3 |
| 03 | Real Estate Agent | High | 5 | 24 | Amusement Organization/Park | Medium | 3 |
| 04 | Promoter of Construction Project | High | 5 | 25 | Motor Parts Trader | Medium | 3 |
| 05 | Offshore Corporation | High | 5 | 26 | Tobacco & Cigarette Business | Medium | 3 |
| 06 | Arts/Antique Dealer | High | 5 | 27 | Auto Primary (New Car) | Low | 2 |
| 07 | Owner of Restaurant/Bar/Night Club/Residential Hotel | High | 5 | 28 | Shop Owner (Retail) | Low | 2 |
| 08 | Import/Export Agent | High | 5 | 29 | Business Agents | Low | 2 |
| 09 | Cash Investor (Monthly Cash Investment > Tk. 25 Lacs) | High | 5 | 30 | Small Trader (Annual Turnover less than Tk. 50 Lacs) | Low | 2 |
| 10 | Share/Stock Broker | High | 5 | 31 | Self-Employed Professional/Entrepreneur | Low | 2 |
| 11 | Manpower Export Business | High | 5 | 32 | Corporate Customer | Low | 2 |
| 12 | Operations in Multiple Locations | High | 5 | 33 | Hardware/Construction Materials Trader | Low | 2 |
| 13 | Movie Producer/Distribution Agency | High | 5 | 34 | Computer/Mobile Phone Dealer | Low | 2 |
| 14 | Arms Trade | High | 5 | 35 | Software Business | Low | 1 |
| 15 | Mobile Phone Operator | High | 5 | 36 | Manufacturer (Other than Arms) | Low | 1 |
| 16 | Traders (Annual Turnover of More than Tk. 1 Crore) | High | 4 | 37 | Retired from Service | Low | 0 |
| 17 | Travel Agent | High | 4 | 38 | Service | Low | 0 |
| 18 | Transport Operator | Medium | 3 | 39 | Student | Low | 0 |
| 19 | Auto Dealer (Reconditioned Car) | Medium | 3 | 40 | Housewife | Low | 0 |
| 20 | Leasing/Finance Company | Medium | 3 | 41 | Farmer | Low | 0 |
| 21 | Freight/Shipping/Cargo Agent | Medium | 3 | 42 | Others (Risk Score may be assigned depending on Category) | | |

**NOTE: For Tables 16 – 21 below, the Upper Limit of a Level will fall under the same Level.
For Example, Tk. 50 Lac will fall under the Level 0 – 50 Lacs.**

16. What is the Net Worth/Sales Turnover of the Customer :

| Amount (Tk.) | Risk Level | Risk Rating |
|-------------------|------------|-------------|
| 0 – 50 Lacs | Low | 0 |
| 50 Lacs – 2 Crore | Medium | 1 |
| > 2 Crore | High | 3 |

17. How was the account opened :

| Type | Risk Level | Risk Rating |
|------------------------------------|------------|-------------|
| By the Relationship Manager/Branch | Low | 0 |
| By Direct Sales Agent | Medium | 1 |
| Internet | High | 3 |
| Walk-in/Unsolicited | High | 3 |

18. Expected Amount of Monthly Total Transactions :

| Amount of Total Transaction in Current A/C (Tk. Lacs) | Amount of Total Transaction in Savings A/C (Tk. Lacs) | Risk Level | Risk Rating |
|---|---|------------|-------------|
| 0 – 10 | 0 – 5 | Low | 0 |
| 10 – 50 | 5 – 20 | Medium | 1 |
| > 50 | > 20 | High | 3 |

19. Expected Number of Monthly Total Transactions :

| Number of Total Transaction in Current A/C | Number of Total Transaction in Savings A/C | Risk Level | Risk Rating |
|--|--|------------|-------------|
| 0 – 100 | 0 – 20 | Low | 0 |
| 101 – 250 | 21 – 50 | Medium | 1 |
| > 250 | > 50 | High | 3 |

20. Expected Amount of Monthly Cash Transactions :

| Amount of Cash Transaction in Current A/C (Tk. Lacs) | Amount of Cash Transaction in Savings A/C (Tk. Lacs) | Risk Level | Risk Rating |
|--|--|------------|-------------|
| 0 – 10 | 0 – 2 | Low | 0 |
| 10 – 25 | 2 – 7 | Medium | 1 |
| > 25 | > 7 | High | 3 |

21. Expected Number of Monthly Cash Transactions :

| Number of Cash Transaction in Current A/C | Number of Cash Transaction in Savings A/C | Risk Level | Risk Rating |
|---|---|------------|-------------|
| 0 – 15 | 0 – 5 | Low | 0 |
| 16 – 30 | 6 – 10 | Medium | 1 |
| > 30 | > 10 | High | 3 |

22. Overall Risk Assessment :

| Risk Rating | Risk Assessment |
|-------------|-----------------|
| >=14 | High |
| <14 | Low |

Comments :

(* Although Risk Rating may be less than 14, nevertheless the customer may be classified as High Risk Customer depending on subjective judgment mentioning reasons)

23. Address Verification: How address is verified?

Personal Visit Bank Statement Thanks Letter Utility Bill e-Tin certificate/Tax Assessment CPV
 Checking NID Database Others (specify)

24. Politically Exposed Persons (PEPs) : (Ref.: AML Circular No. 14)

A. Obtained Approval from Senior Management? Yes No

B. Sources of Fund :

C. Face to Face Interview with the Customer : Yes No

Prepared by: (Relationship Officer)

Signature (with Seal) :
Name :
Date :

Reviewed by:

Signature (with Seal) :
Name :
Date :

25. When was the Account-related information Reviewed & Updated last?

Reviewed & Updated by :

Signature :
Name :
Date :

REQUIRED DOCUMENTS FOR OPENING CUSTOMER AND BO ACCOUNT**Individual Account: Single & Joint**

| | |
|---|--------------------------|
| ● 3 Copies recent passport size photograph of account holder (s) attested by the introducer | <input type="checkbox"/> |
| ● 2 Copies recent passport size photograph of nominee duly attested by the account holder | <input type="checkbox"/> |
| ● If Nominee is minor, 1 Copy recent passport size photographs of the guardian attested by the account holder and photocopy of birth certificate of the nominee | <input type="checkbox"/> |
| ● 2 Copies recent passport size photograph of the authorized person and POA attested by the account holder | <input type="checkbox"/> |
| ● Bank Statement for last 1 month/Bank Certificate and Cheque Leaf | <input type="checkbox"/> |
| ● Photocopy of National/Voter ID card or valid Passport for single & joint account holder, Nominee and authorized person | <input type="checkbox"/> |

**In case of NRB & Foreign Nationals following documents are mandatory
along with the above documents**

| | |
|--|--------------------------|
| ● 3 Copies recent passport size photograph of account holder (s) attested by the introducer | <input type="checkbox"/> |
| ● Photocopy of Passport (with valid visa) for Principal & Joint Account Holder, Nominee and Authorized Person | <input type="checkbox"/> |
| ● Foreign Currency (FC) Bank account certificate containing name of the applicant, name of father & mother and Bank account number | <input type="checkbox"/> |
| ● Photocopy of service agreement with the employer/work permit/residence permit/business documents | <input type="checkbox"/> |
| ● 1 Copy recent passport size photograph of the Nominee(s), if any (attested by account holder) | <input type="checkbox"/> |
| ● Tax clearance certificate (In case of foreign Nationals) | <input type="checkbox"/> |

REQUIRED DOCUMENTS FOR OPENING CUSTOMER ACCOUNT AND BO ACCOUNT

Institutional Account: Public/Private Limited Companies, Partnership/Proprietorship/Business Firms, Trust and Fund Account

| | |
|--|--------------------------|
| ● Duly Attested Photocopy of Memorandum & Articles of Association certified by RJSC | <input type="checkbox"/> |
| ● Duly Attested Photocopy of Certificate of Incorporation, Trade License | <input type="checkbox"/> |
| ● TIN Certificate | <input type="checkbox"/> |
| ● Board Resolution copy regarding opening of the BO account and its operation | <input type="checkbox"/> |
| ● 2 Copies recent passport size photograph of the CEO/Managing Director, attested by the Chairman | <input type="checkbox"/> |
| ● Duly Attested Photocopy of National/Voter ID card or valid Passport of the CEO/Managing Director | <input type="checkbox"/> |
| ● Bank Statement for last 1 month/Bank Certificate and Cheque Leaf | <input type="checkbox"/> |

Note





SHELTECH

BROKERAGE LIMITED

CORPORATE OFFICE

14, Dilkusha C/A (Level-5), Dhaka-1000, Bangladesh.

Telephone: +88 02 47115433, 47117386, 57164052, 47120077, 47120078, Fax +88 02 47117308

E-mail: info@sheltechbrokerage.com, Website: www.sheltechbrokerage.com

BRANCH OFFICE

Panthapath Branch

Sheltech Panthakunjo

Level-2, 17 Sukrabad (West Panthapath), Dhaka-1207, Bangladesh

Mobile : +88 01777 764 918

Telephone: +88 02 9120181, +88 02 9120182

Banani Branch

Plot No-48 (10th Floor), Road No-11, Block-F, Banani, Dhaka-1213

Telephone: +88 02 55042467, 55042468, 55042469, 55042470, 55042471

Mobile : +880 1777 764 923

Sylhet Branch

Manru Shopping Complex

Suite # 602, Chowhatta, Sylhet-3100, Bangladesh

Mobile : +88 01777 764 926

Telephone: 0821 722160, 0821 725558

Extension Office

DSE Annex Building

Suite # 425 (3rd Floor), 9/E, Motijheel C/A, Dhaka-1000, Bangladesh

Mobile : +88 01777 764 913

Telephone: +88 02 47110902

