



ACCOUNT OPENING FORM - INDIVIDUAL / JOINT

Section 1: APPLICANT INFORMATION

FIRST APPLICANT

Full Name: Nationality: ID/Passport Number: Date of Birth: Postal Address: Physical Address: Email Address: Telephone Number (mobile):

SECOND APPLICANT

Full Name: Nationality: ID/Passport Number: Date of Birth: Postal Address: Physical Address: Email Address: Telephone Number (mobile):

Section 2: BANK ACCOUNT DETAILS

Account Name: Account No: Bank: Branch: Country: Sort Code/Routing Number/SWIFT Number/IBAN Number: Swift Code:



Section 3: FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA)

Country(ies) of Citizenship:

Country(ies) of Tax Residence:

Respective Tax Identification Number:

Country of Birth: Town/City of Birth:

Country(ies) of Domicile:

Sort Code/Routing Number/SWIFT Number/IBAN Number:

Country(ies) of Legal Residence:

Section 4: INVESTMENT FUNDING (TICK WHERE APPROPRIATE)

I will pay my initial investment through:

- Income from employment Sale of property/assets
- Income from business Other (please specify)
- Savings

My average monthly income is:

- Below KES. 100,000
- Between KES. 100,000 - 399,000
- KES. 400,000 and above

Section 5: OCCUPATION DETAILS

Occupation

- Salaried Self Employed Student Other

Employment Terms

- Permanent Contract

Name of Employer: _____ Nature of Business: _____

Address of Employer (For Salaried Employees) / Address of The Business (For Self Employed) _____

Section 6: RISK PROFILE

Investment Objective - tick where appropriate

- Income - seeking to earn income through holding of income yielding securities
- Growth - seeking to achieve growth of capital through investment in securities
- Short term growth - short term trading to capitalize on market fluctuations
- Speculation - aggressive investments that assume above-average market risk to achieve corresponding gains
- Others (specify): _____



Section 7: INVESTMENT PRODUCTS

- Equities (Complete and attach CDS account opening form)
 Fixed Income (I/we authorise SBG securities to use my/our KYC information to open a Central Depository System account at Central Bank of Kenya)

Section 8: SIGNING MANDATE (Applicable for Joint Accounts)

- Only one to sign
 Either to sign
 Jointly
 Other (please specify)

Section 9: E-MAIL INDEMNITY

The client irrevocably and unconditionally agrees that of investment accounts, email/online/fax instructions (if opted for) will be acted upon without any other written confirmation. SBG Securities Limited will not liable for any adverse incident that might arise upon execution of such orders. The client acknowledges that they are fully aware and cognizant of the various risk's inherent and associated with communicating instructions by electronic means and the potential for various fraudulent activities arising from and out of such transmissions are fully prepared to accept such risks and that SBG Securities Limited will not assume such risks which may have far reaching consequences.

Section 10: DATA PRIVACY NOTICE

We collect, process, and share your personal information to provide you with the services and products that you applied for. For any other processing not related to this purpose, your consent will be obtained. To read our detailed Privacy Statement, please visit: <https://www.sbgsecurities.co.ke/kenya/personal/about-us/legal/privacy-and-security-statement>

Section 11: DECLARATION

I/We the undersigned confirm that I/ we have read and understand the terms and conditions available on our website: <https://www.sbgsecurities.co.ke/sbgsecurities/securities/about-us/terms-and-conditions> and verify that the information provided above is true and that the below will be used as specimen signatures for any transactions with SBG Securities Ltd. I/We declare that the source of funds indicated above do not arise out of money laundering or illicit activities.

Section 12: SIGNATORIES

First Signatory

Name: _____

Date: _____

Signature Applicant 1 _____

Second Signatory

Name: _____

Date: _____

Signature Applicant 2 _____

CDS 1

Code
Serial
No.



Colour photo

EUROPA TOWERS; WESTLANDS, 10TH FLOOR, ALONG LANTANA ROAD, NAIROBI
P.O. BOX 3464 00100, GPO NAIROBI, KENYA, Tel: 020-2912000; FAX 2229405,
www.cdsckenya.com

(TO BE COMPLETED IN DUPLICATE)

SECURITIES ACCOUNT OPENING/MAINTENANCE FORM

Joint Account

Yes No

(If more than 2 joint holders details of the other to be on another form signed by all)

NEW or EXISTING CDS Account Number

CDA Code

Account Number

Client type

Are You Tax Exempt?

Yes No

(If yes, attach a certified copy of Tax exemption certificate)

Names in Block Letters

Surname				
Other Names				
Company/Business Name (if client is a company, society or other organization)				
ID/Passport/Reg. No. (for company, business, etc)				
PIN No.				
Address				
Postal Code				
Telephone Number(s)				
Fax Number				
Email Address				
Town				
Date of Birth/Incorporation (as applicable)				
Country of Residence				
Source of funds				
Nationality				
Next of Kin:	Name	Phone Number	E-mail Address	Relationship
1.				
2.				
Client Category (Tick as Applicable)		Local Individual (LI), Local Company (LC), Foreign Individual (FI) Foreign Company (FC), E.A. investor (EI) E.A Company (EC)		
Dividend Disposal preference		() by bank, please give details below () By Cheque Tick Where applicable		
Bank Details	Bank	Branch	Account No.	

DECLARATION:

I/We hereby:

(i) Request to open and maintain a Securities Account in my/our name/ Change particulars in my/our Securities Accounts as indicated above (delete as appropriate)

(ii) Affirm that all information in this form is correct.

(iii) Undertake to notify my CDA any change of particulars or information provided by me/us in this form.

Name(s)

Signature(s)

1.	1.
2.	2.
3.	3.
4.	4.

(Securities Account Holder's Authorized Signatory/Seal for Companies) Date:/...../...../.....

For CDA use only

Witnessed and Verified by:	Authorized by:
Name:	Name:
Designation:	Designation:
Date:	Date:
Company Stamp <input type="text"/>	

Other Services /Products

I/We request to be subscribed to the following services/products whose terms of use, I/We confirm to have read and understood. Find the Terms & Conditions at: www.cdsckenya.com

SMS Services Online Account Services Email Account Services