



REGENCY ASSETS MANAGEMENT LIMITED

(Member of The Nigerian Stock Exchange)

RC. 506026

Head Office: Regency House: 63, Norman Williams Street, Off Awolowo Road, S. W. Ikoyi, Lagos.
Tel: 01- 4540250, 4540251
website: www.regencyng.net email: info@regencyng.net

Abuja Office: Suite 25, Hilltop Plaza, (1st floor, Left Wing) Plot 2189, House 13, Gwani Street, Near Pioneer Hotel,
Zone 4, Wuse, Abuja Tel: 09-2906260

CORPORATE ACCOUNT OPENING FORM

Full Name of Company	
	Date of Incorporation
Type of Business:	RC Number:
Company Type: <input type="checkbox"/> Limited Liability Company <input type="checkbox"/> Partnership <input type="checkbox"/> Others	
Company Address:	
Postal Address:	Email:
Telephone No(s):	Website Address:
Average Annual Turnover (₦)	Purpose of Investment:
<input type="checkbox"/> Less than 10m <input type="checkbox"/> 10-50m <input type="checkbox"/> Above -50m	Source of Investment Fund:

Bank Account Details: (Your Bank Account Name should Correspond with the company's name above)

Bank Name:		
Account Name:		
Account Type:	<input type="checkbox"/> Current	<input type="checkbox"/> Savings
Date Account Opened	Account Number:	BVN:

Principal Contact Person:

Name:	
Email:	Telephone:
Signature & Date:	

Authorized Signatory (1)

Name:		
Designation:		
Class:	<input type="checkbox"/> A	<input type="checkbox"/> B <input type="checkbox"/> C
ID Type	<input type="checkbox"/> International Passport	<input type="checkbox"/> Driver's License <input type="checkbox"/> National ID Card
ID Number	Issue Date:	Place of Issue:

Photograph

Authorized Signatory (2)

Name:		
Designation:		
Class:	<input type="checkbox"/> A	<input type="checkbox"/> B <input type="checkbox"/> C
ID Type	<input type="checkbox"/> International Passport	<input type="checkbox"/> Driver's License <input type="checkbox"/> National ID Card
ID Number	Issue Date:	Place of Issue:

Photograph

Authorized Signatory (3)

Name:		
Designation:		
Class:	<input type="checkbox"/> A	<input type="checkbox"/> B <input type="checkbox"/> C
ID Type	<input type="checkbox"/> International Passport,	<input type="checkbox"/> Driver's License <input type="checkbox"/> National ID Card
ID Number	Issue Date:	Place of Issue:

Photograph

Signature mandate combination:

INDEMNITY FORM

CLIENT(S) INDEMNITY TO REGENCY ASSETS MANAGEMENT LIMITED (RAML) WITH RESPECT TO INSTRUCTIONS GIVEN VIA ELECTRONIC CHANNELS

We hereby require you to open an investment account in the name of Company mentioned above and authorized you to honour all instruction and dispositions relating to the account signed by the authorized signing officials in accordance to the resolution of the Board of Directors/Trustees, a copy of which is attached to this form.

Having agreed to accept and to act on our instructions given via E-mail, and other Electronic Channels in respect of any transaction regarding our account with RAML, we hereby confirm that:

1. We understand that it is our responsibility to keep our Account details as private and confidential to prevent unauthorized access to our account.
2. We understand that it is our responsibility to notify RAML where We detect that our Account details have been compromised. We also understand that any transaction executed on our account before RAML is notified of such compromise is binding on us.
3. RAML is authorized to act on instructions, which have been transmitted via any of the referenced electronic channels without bearing our signature(s) provided such instructions emanated from our registered details in RAML'S records.
4. RAML shall not be under any duty to verify the identity of the person(s) giving instructions in our name provided such instructions have emanated from our registered details in RAML'S records and any transaction made pursuant to the instructions shall be binding upon us.
5. Except our instruction sent via any of the referenced electronic channels is duly revoked or modified by a subsequent instruction issued by us and such subsequent instruction has been communicated to and received by RAML before the execution of the prior instruction and within the stipulated deadline for revocation and or amendment of instructions, We undertake to be bound irrevocably by such prior instruction.
6. We understand that where a mandate/instruction is sent via e-mail, We should receive acknowledgment immediately. Where this is not received within 30 minutes. We understand that We should immediately contact RAML to confirm receipt of the mandate/instruction.
7. We hereby agree to keep RAML indemnified from and against all actions, proceedings, claims and demands which may be brought or made against RAML and all loses, costs, charges, damages and expenses which may be incurred or sustained or for which RAML may become liable by reason of honouring such E-mail, and other Electronic Channels instructions provided that RAML has taken all measures prescribed by this agreement irrespective of whether the instructions are in fact erroneous, fraudulent or issued otherwise than as aforesaid.

Confirmation:

We hereby confirm that I/We have read and agreed to be bound by the above indemnity clause.

CSCS Number: _____ Phone Number: _____

Email Address for Transactions: _____

Authorised Signatory



Authorised Signatory

Date this _____ day of _____ 20 _____

Questionnaire:

Please state if any of your Directors, Signatories or Major Shareholders is politically exposed.

1. Name: _____
2. Name: _____
3. Name: _____
4. Name: _____

Attestation:

We attest that all information provided herein is accurate and would notify you to update our records where any change occurs.

Authorised Signatory

Authorised Signatory

For Official Purpose Only:

Delivered by:	<input type="checkbox"/> Email	<input type="checkbox"/> Company Representative	<input type="checkbox"/> Others (specify)
Document Received by (Officer's Name)			
Location:			
Initial Amount Deposited:			

Documentation Check List:

1. Completed Account Opening Form	8. Board Resolution/Management Approval	<input type="checkbox"/>
2. Passport Photograph of all Directors and Signatories	Starting:	
3. Photocopy of identification Documents for all Directors & Signatories (International Passport/Valid Driver's License/National Id)	<input type="checkbox"/> a. Approval to open a stockbroking Account	
4. Proof of Address for Directors & Signatories (Copy of Utility Bill)	<input type="checkbox"/> b. The List of authorized signatories	
5. Email Indemnity	<input type="checkbox"/> 9. Particulars of Directors Form CAC 7	<input type="checkbox"/>
6. Standard Terms & Conditions	<input type="checkbox"/> 10. Return on Allotment of Share Form	
7. Copy of Certificate of Incorporation/Business Registration	<input type="checkbox"/> CAC2	<input type="checkbox"/>
11. Memorandum & Articles of Association <input type="checkbox"/> Constitution	<input type="checkbox"/> Partnership Deed	<input type="checkbox"/>
12. Other documents:		

Company Seal/Stamp

Document Status:	<input type="checkbox"/> Complete	<input type="checkbox"/> Incomplete
Risk Rating:	<input type="checkbox"/> Low	<input type="checkbox"/> High
Account Opening Authorized By:		
Date:		
CSCS Number:	CHN:	Cabinet File No:

REGENCY ASSETS MANAGEMENT LIMITED

HEAD OFFICE: 63, NORMAN WILLIAMS STREET, OFF AWOLowo ROAD, SOUTH WEST, IKOYI, LAGOS.

REPRESENTATIVE OFFICE: SUITE 25 HILLTOP PLAZA, 1ST FLOOR LEFT WING, PLOT 2189, HOoUSE 13 GWANI STR. NEAR CHESBURY HOTEL, ZONE 4 WUSE, ABUJA.

RISK DISCLOSURE STATEMENTS

This Risk Disclosure Statement is intended to provide you with information that will allow you to understand the nature and risk of the investment service we are providing you with and of the specific type of financial instrument that is being offered thus allowing you to take investment decisions on an informed basis.

This document provides general description of the nature and risks of financial instruments, as well as the functioning of the financial instruments in different market situations to help you make those investment decisions on an informed basis. This information does not contain all the risks and aspects of trading in financial instruments, however it is designed to facilitate understanding the major risks and characteristics investors need to consider.

While key risks to all financial instruments are similar but this document will focus more on risks associated with investment in equities, that is, buying and selling of shares on the trading platform of The Nigeria Exchange Limited and also through Regency Assets Management Limited online trading platform.

BASIC KEY RISKS IN TRADING IN FINANCIAL INSTRUMENTS (EQUITIES)

1. Market Risk

Market risk is the risk of losses in positioning arising from movement in market variables such as prices, interest rate, volatility (fluctuations in price of security or portfolio over a period of time). Such stock may depreciate in value as quickly as it may appreciate and can also become valueless. Investing in equities is as likely to incur losses as it is to make profit. Past performance should not be used as an indicator of future performance.

2. Emerging Market Risk

Investments in emerging markets entail additional risks associated with political and economic uncertainty, adverse government policies, restrictions on foreign investment and currency convertibility, currency exchange rate fluctuation, higher volatility, inadequate liquidity, possible lower levels of disclosure and regulation, and uncertainties as to the status, interpretation and application of laws, including those relating to private ownership of assets, expropriation, nationalisation and confiscation

3. Liquidity Risk

Markets, especially in situations of stress, can be characterised with deteriorating liquidity conditions. It means, that for a certain period of time the financial asset cannot be traded quickly enough in the market without impacting the market price. Market conditions (market hours, dealing hours, suspension of trading) may increase the risk of loss by making it difficult or impossible to sell out a certain position

4. Risk of Capital Loss

When a company is performing poorly or when the market perception of the company is negative, the share price may fall below the price which you originally paid for the share or even to zero.

5. Unexpected Events

Unexpected events which are outside of your control, such as company specific bad news that may impact the price of stock during trading, a change in government policy, sudden or prolonged market declines can

seriously affect share prices.

6. System/Network Congestion

A possibility of complete communication failure or slow or delayed system response that could halt timely execution of trade either in part or fully that could result into serious financial loss to the investor.

7. Internet/Online Trading Risk

There are risks associated with utilizing an internet-based deal execution trading system, including, but not limited to, failure of hardware, software, and Internet connection. RAML does not control signal power, its reception or routing via internet, the configuration of your equipment or reliability of its connection, we cannot be responsible for communication failures, distortions or delays when trading via the internet.

7.1 Accuracy of Information

The content on our website is subject to change at any time without notice, and is provided for the sole purpose of assisting investors and traders to make independent investment decisions. We have taken reasonable measures to ensure the accuracy of the information on the website. However, RAML does not guarantee its accuracy, and will not accept liability for any loss or damage which may arise directly or indirectly from the content or your inability to access the website, for any delay in or failure of the transmission or the receipt of any instruction or notifications sent through this website.

Market Opinion:

- a) No information presented constitutes a recommendation by Regency assets to buy, sell or hold any security or to engage in any specific investment strategy.
- b) Any opinions, news, research, analyses, prices or other information contained on our website is provided as general market commentary and does NOT constitute investment advice.
- c) You are responsible for any investment decisions you make. Such decisions should be based solely on your evaluation of your financial circumstances, investment objectives, risk tolerance and liquidity needs.
- d) You should not rely upon the information or opinions that you read on our research portal, rather, you should use what you read as a starting point for doing your own independent research, your own independent analysis, and refine your own trading methods before placing your money at risk.
- e) The possibility exist that you could sustain a loss of some or all of your initial investment and therefore you should not invest money that you cannot afford to lose
- f) RAML will not accept liability for any loss or damage including without limitation to any loss of profit, which may arise directly or indirectly from use or reliance on such information as you may read on our research portal.

I/We hereby carefully read and fully understand the risk disclosure statements provided by Regency Assets Management Limited (RAML) before engaging into any trading transaction(s), and also to abide with the terms and conditions.

Client's Name

Signature

Date