

BROKERAGE ACCOUNT OPENING FORM

Date.....

INDIVIDUALS

1) CLIENT DETAILS

FIRST NAME/COMPANY NAME:

SURNAME:

ID NUMBER/PASSPORT NUMBER/COMPANY REGISTRATION NUMBER:

COUNTRY OF RESIDENCE:

PLEASE TICK APPLICABLE

LOCAL				FOREIGN	
Individual/Co	Institution	NMI	FCA	Individual/Co	Institution

Residential
Address

Postal
Address

Contact Details Work:

Cell:

Fax

Email Address:

BANK DETAILS LOCAL

BANK NAME

BRANCH

ACCOUNT NAME

ACCOUNT NUMBER

BANK DETAILS FOREIGN

BANK NAME

ACCOUNT NAME

ACCOUNT NUMBER

SWIFT CODE

COUNTRY

INVICTUS SECURITIES (PVT) LTD

(A member of the Zimbabwe stock Exchange) 37 Victoria Drive Newlands, P.O.Box Cy3335 Cy Harare Tel: 04 776607, 788257/8

2) COMPANY DETAILS (ZIM REGISTERED COMPANY)

BUSINESS PARTNER NUMBER:

V.A.T NUMBER:

3) SPECIAL INSTRUCTIONS (client can provide specific special instructions with regards to their account)

4) PLEASE STATE SOURCE OF FUNDS

5) DETAILS OF CUSTODIAN

NAME

Contact person and

Contact details

OTHER

6) INVICTUS SECURITIES BANK DETAILS

ACCOUNT NAME: INVICTUS SECURITIES ZIMBABWE (PVT) LTD	Account name: INVICTUS SECURITIES ZIMBABWE (PVT) LTD
Bank: ZB	Bank: CBZ
Branch: NATAL	Branch: CUSTODIAL SERVICES
Account Number: 4169-225192-081	Account Number: 113-24004780027
	Swift Code: COBZZWHA
Branch Sort Code :4169	Branch Sort Code :6100

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ACCOUNT NAME:

ACCOUNT HOLDER'S NAME:

STANDARD TERMS AND CONDITIONS

Please sign and return this mandate as acknowledgement that

- 1). Invictus Securities (PVT) Ltd, a member of the Zimbabwe Stock Exchange administers all client share purchasing and share selling transactions.
- 2). Client, who is acting on behalf of its clients, refers to the person or party making this application and includes the person or party who requires monies to be invested on behalf of its clients by Invictus.
- 3). Placement of order (buy orsell) should be in the form of writing, faxortelephone (followed byawritten confirmation) and via e—mail, routed/ corresponded via FIX or through Bloomberg.
- 4). All payments should be made by bank transfer or deposit. Payments for sale of shares will be made strictly in favour of the name indicated on the share certificate sold. In the event of that the payee is different from the seller then the principal must issue a letter of confirmation.
- 5). In the event of late payments or defaulted payments Invictus Securities reserves the right to charge interest on the overdue amount at the prevailing overdraft rate, and interest to be capitalised monthly in arrears.
- 6). A buy order should be accompanied by proof of deposited funds and likewise the sell order to be accompanied by valid share certificates.
- 7). Payments after sale of shares will be effected after 5 working days.
- 8). Agree that in placing funds the client shall make all cheques and bank transfers payable to Invictus Securities.
- 9). In respect of clients dealing in shares, Invictus Securities through the directive of Zimbabwe Stock Exchange will deduct fees and/or commissions.
- 10). The client shall advise Invictus Securities In writing of any change to the client's address, bank account details or any other important Information under which circumstances if not provided Invictus Securities will not be liable for any loss arising directly or indirectly from such.
- 11). Invictus Securities will not be held liable foranyloss resulting from the client's investment objectives unless such loss is incurred as a result of Invictus Securities wilful default, negligence, fraud and/ or dishonesty.
- 12). Agree that as an agent Invictus Securities will under no circumstances receive orissue cash or open cheques to clients.
- 13). Securities on behalf of a client shall be held in Invictus Securities safe custody awaiting collection by the client.
I Agree that all information provided in this form is true and correct and that all the documentation provided in support of such
- 14). application is genuine. Signed by:

NAME:

SIGNATURE:

DATE:

INVICTUS REPRESENTS AND WARRANTS THAT

- i) It is an organization duly organised, validly existing and in good standing under the laws of its jurisdiction and has full power and authority to enter into and perform in terms of this mandate;
- ii) There is not pending, or to its knowledge, threatened against it any action, suit or proceeding at law or in equity or before any court, tribunal, governmental body, agency or official or any arbitrator that is likely to affect its performance of Its obligations under these Terms and Conditions;
- iii) It will only accept orders from the client;
- iv) It will keep a record of all trades concluded on behalf of the client;
- v) It has or will have obtained by the date that these Terms and Conditions are signed, all relevent permits, licences and consents that are required by it and such permits, licences and cosents are in full force and effect and all conditions of any such consents have been complied with.

This mandate is governed by the law of Zimbabwe

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COMPLIANCE REQUIREMENTS

To ensure that Invictus Securities (Private) Limited complies with local regulatory requirements, we require the following to be provided

A: For each individual who will be a party* to the entity we will require the following documentation:

*Settlor, Beneficiary, Beneficial owner, Director, Signatory, Power of Attorney etc

- 1 A certified copy of their passport or copy of any other government issued ID document bearing their photograph and signature.

See below for certification
- 2 Two ORIGINAL address verification documents (utility bills, Bank statements or government correspondence showing name and residential address) dated within the last three months. Please note we cannot accept any utility bills stating a PO Box (the full street address must be stipulated) or mobile phone bills.

We will be happy to return original copies upon request or will also accept certified copies see below for certification requirements.

B: For corporate clients we would require the following documentation:

- 1 **Certificate of Incorporation**
- 2 **National Identification documents for all directors**
- 3 **A Board resolution authorising the use of Invictus Securities (Pvt) Ltd as your broker**

CERTIFICATION REQUIREMENTS:

The following persons may certify documentation:

Acceptable persons to certify evidence of identity (suitable certifiers) may include:

- A member of the judiciary, senior civil servant or a serving policeman or customs officer;
- An officer of an embassy, consulate or high commission of the country of issue of documentary advice of identity;
- A lawyer, or notary public who is a member of a recognized professional body;
- An accountant who is a member of a recognized professional body;
- A tax advisor who is a member of a recognized professional body;
- A director, officer, or manager of a regulated financial services business which is operating in a well regulated Jurisdiction, or of a branch or subsidiaries and branches worldwide, and tests the application of and compliance with such standards.

Certifier Statement: The certifier must sign and date the copy documents, print his/her name and contact telephone number clearly in capitals underneath and indicate his/her position or professional capacity stating any reference or membership number and where appropriate, affix a stamp of the institution to authenticate the certification.

To certify a Passport/ID document:

I certify that this is a true copy of the passport/ID document and the photograph is true likeness of the holder.

To certify proof of residence document:

I certify that this is a true copy of the original document