

**FORM IA**

***Dragon Securities Limited***

TREC # 119, Dhaka Stock Exchange Ltd.  
Sec Reg. No. Nibondon-3.1/DSE-119/2008/176

**Bilquis Tower, 8<sup>th</sup> Floor, Plot-6, (New) 2<sup>nd</sup> Circle  
Gulshan, Dhaka-1212, Bangladesh.**

Please complete all details in Capital Letter and Tick (✓) the appropriate box.  
All Communication shall be sent only to the First Account Holder's contact Address:

Signed Photograph of  
Account Holder

<b>CUSTOMER CODE</b>
<b>SPECIAL REMARKS, IF ANY</b>

<b>ACCOUNT TYPE</b>	
Cash	Margin

<b>TYPE OF CLIENT</b>		
Individual	Joint Holder	Company

Name of the customer \_\_\_\_\_

Father's/Mother's/Husband's/CEO's (in case of firm or company) Name \_\_\_\_\_

Age \_\_\_\_\_ Sex : Male/Female \_\_\_\_\_

Address \_\_\_\_\_

Tel # if any \_\_\_\_\_ Nationality \_\_\_\_\_

Occupation \_\_\_\_\_

Name with address of the authorised person of the customer if applicable

\_\_\_\_\_

Officer or Director of any Stock Exchange/Listed Company? Yes  No

If yes, name of the Stock Exchange/Listed Company \_\_\_\_\_

Name & address of the person introducing the customer, if any \_\_\_\_\_

\_\_\_\_\_

Special instructions, if any \_\_\_\_\_

\_\_\_\_\_

Signature of the authorized person of the customer, if any

Date 

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Signature of the person introducing the customer

Date 

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First Applicant	Joint Applicant
Signature of the customer	

Date 

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Signature of the Member/Manager accepting the account

Date 

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# TERMS AND CONDITIONS

## **"BROKER" means *Dragon Securities Limited* ▼**

"BUYER" means the person or persons or company who intends to buy securities through the BROKER.

"SELLER" means the person or persons or company who intends to sell his/her/their securities through the BROKER.

"Securities Account" means the account opened by the SELLER / BUYER with the Broker to sell / buy securities.

"Settlement day" means the day declared by the Stock Exchange, on which transaction carried out by the Broker on behalf of the SELLER / BUYER at the Stock Exchange are settled with the Stock Exchange.

## **SALE ORDER ▼**

The SELLER shall delivery to the BROKER valid and negotiable documents, i.e. transfer/s documents duly completed and signed by the SELLER together with relative securities certificates with valid title, prior to placing sale order.

If for any reason whatsoever securities documents delivered by the SELLER turns out to be forged, invalid worn out, torn or defaced, the defaulting SELLER shall be liable to his BROKER for any loss or damage sustained or incurred. The defaulting SELLER shall be liable to replace such securities along with all benefits attributable to such securities within two days of reporting in writing to the SELLER by the BROKER. If for any reason the defaulting SELLER fails to replace such securities along with all benefits attributable to such securities within two days of reporting in writing to the SELLER by the BROKER, the Broker shall have the absolute discretion, to square-up the transaction commencing from the market day after the stipulated period (as above), at the SELLER risk and the SELLER shall liable to the BROKER for any loss or damage sustained or incurred.

## **PAYMENT TO SELLER ▼**

Payment shall be made to the SELLER by the Broker on the following working day of the Settlement day, subject to the overall cash balance of the SELLER's "Securities Account."

## **PURCHASE ORDER ▼**

The Buyer shall pay his BROKER total value of the PURCHASE order in the BUYER "Securities Account" prior to placing a PURCHASE order. If for any reason the payment has not been made before the close of business the settlement day, interest will accrue from the day after the settlement day on the outstanding amount at 0.1% per day. In addition the buying BROKER shall have the absolute discretion, to resell commencing from the market day after day of settlement, the securities at the BUYER's risk and the Buyer shall be liable to the buying BROKER for any loss damage sustained or incurred.

## **NOMINEE ▼**

In the event of death of one of the joint account holder, the survivor; and on the death of sole account holder, the nominee or successor shall be the beneficiary of the transactions.

## **SETTLEMENT THROUGH CDBL ▼**

If the CDBL Is involved in the settlement process, client should follow the under mention rules:

Client must maintain a beneficiary owner account with any depository participant, and client must inform the broker his B.O. account no. with authentic document.

Before place any sell order client must transfer his shares from his B.O. account to broker clearing account with related instruction.

Client will pay the charges of CDBL, if necessary to transfer the shares from B.O. account to broker clearing account.

Broker reserve the absolute right to deduct the charges at sourcee where applicable related to client CDBL operation

Client will be liable any losses or damages occurred due to wrong or incorrect information related to CDBL is given by the client.

## **AUTHORITY TO THE BROKER ▼**

I/We hereby permit and authorise the BROKER at their absolute discretion and at my/our risk to sell/buy and transfer any or all shares or securities in any Company whatsoever from the time to time or any time registered in my/our "Securities Account" to be opened and maintained by the BROKER in order to make good and compensate for any loss or damage incurred or sustained by the Broker as a result of my/our default (for whatsoever reason) in making any payments and / delivery any documents with valid title lawfully due to the BROKER (on account of any transaction pertaining to the said my/our "Securities Account") on or before the settlement.

This authority is given to the BROKER by me / us in addition to the right of the BROKER to sell / buy the specific securities subject to the above conditions in respect of which I / we am / are in default and generally to the rights, powers and remedies available to the BROKER under the prevailing laws and regulations of Bangladesh. The authority granted hereby shall no way affect or exempt me / us from any liability towards the BROKER arising from or consequent upon any such default.

**RATE OF CHARGES** ▼

**Commission for**

DSE Trade  % of trade value

**Charges for CDBL**

All kinds of charges related to CDBL such as, Demat, Corporate Action, Change of ownership, BO maintenance fee etc, be deducted from the client's account as determine rate by the broker.

**GOVERNING LAW** ▼

All transactions shall be subject to the rules and regulations of the Bangladesh Securities & Exchange Commission, Dhaka Stock Exchange Ltd. and other prevailing laws and regulations of Bangladesh and particular the authority hereinafter granted by the client to the BROKER.

The company may however, change the terms, conditions & any rate without assigning any reason to the account holder.

I/we hereby acknowledge that I / we read and understand the aforesaid terms and conditions for operating Account with *Dragon Securities Ltd.* and agree to comply with them.

SIGNATURE FOR THE CLIENT	Signature
First Account Holder's Name	
Second Account Holder's Name	
Third Account Holder's Name	

**Member Use Only** ▼

We have received the application and believe the account is suitable for Cash / Margin.

Authorised Signature

Posted by

Checked by



**8. 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):

**9. 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 field 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.

**10. Power of Attotney (POA)**

If account holder(s) wish to give a Power of Attorney (POA) to someone to operate the account, a separete Form-20 must be filed 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.

**11. 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

**PHOTOGRAPH**

Please staple signed recent passport sized photograph

Please staple signed recent passport sized photograph

Please staple signed recent passport sized photograph

(Third Applicant)

(Second Applicant)

(First Applicant)

**13. Standing Instructions**

I/We authorize you to receive facsimile (fax) transfer instructions for delivery. Yes  No.

**14. DECLARATION**

The rules and regulations of the Depository and CDBL Participant pertaining to an account which are in force now have been ready 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 Applicant / Authorised Signature in cases of Ltd. Co.	Signature
First Applicant		
Second Applicant		
Third Applicant		

**15. Special Instructions on operation of Joint Account**

Either or Survivor.  Any one Can operate  Any two will operate jointly  
 Account will be operating by \_\_\_\_\_ with any one of the others.

**16. Introduction**

Introduction by an existing account holder of *Dragon Securities Ltd.*

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

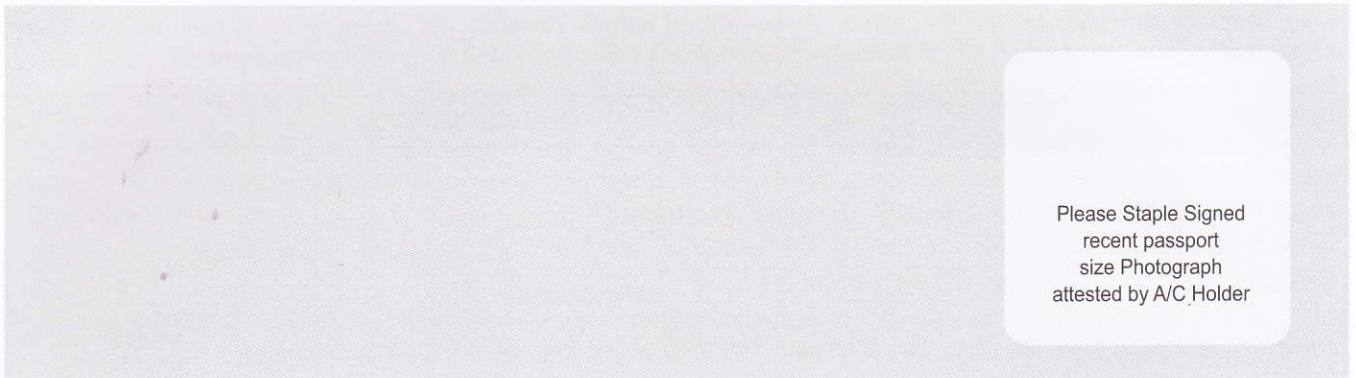
Introducer's Name

Account ID  1  2  0  2  1  4  0  0

(Signature of Introducer)



**4. Photograph of Power of Attorney Holder :**



(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.

	Name	Signature
POA Holder		
First Account Holder		
Second Account Holder		
Third Account Holder		

Bilquis Tower, 8<sup>th</sup> Floor, Plot-6, (New) 2<sup>nd</sup> Circle  
Gulshan, Dhaka-1212, Bangladesh.

**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. <input style="width: 30px;" type="text"/>	Date (DDMMYYYY) <input style="width: 30px;" type="text"/>
-----------------------------------------------------------	-----------------------------------------------------------

Name of CDBL Participant (Up to 99 Characters) <b>Dragon Securities Ltd.</b>	CDBL Participant ID
------------------------------------------------------------------------------	---------------------

Account holder's BO ID <input style="width: 20px;" type="text" value="1"/> <input style="width: 20px;" type="text" value="2"/> <input style="width: 20px;" type="text" value="0"/> <input style="width: 20px;" type="text" value="2"/> <input style="width: 20px;" type="text" value="1"/> <input style="width: 20px;" type="text" value="4"/> <input style="width: 20px;" type="text" value="0"/> <input style="width: 20px;" type="text" value="0"/>	<input style="width: 20px;" type="text" value="2"/> <input style="width: 20px;" type="text" value="1"/> <input style="width: 20px;" type="text" value="4"/> <input style="width: 20px;" type="text" value="0"/> <input style="width: 20px;" type="text" value="0"/>
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Name of Account Holder (Insert full name starting with Title i.e. Mr. / Mrs. / Ms / Dr. abbreviate only if over 30 characters)

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**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 (%)
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Address

City	Post Code	State / Division	Country
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Mobile Phone	Telephone	E-mail
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Passport No	Issue Place	Issue Date	Expiry Date
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Nationality	Residency : Resident <input type="checkbox"/> Non Resident <input type="checkbox"/>	Date of Birth (DDMMYYYY) <input style="width: 20px;" type="text"/>
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**Guardian's Details (if Nominee is a Minor)**

Name in Full

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

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Relationship with Nominee	Date of Birth of Minor (DDMMYYYY)	Maturity Date of Minor (DDMMYYYY)
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Address

City	Post Code	State / Division	Country	Phone
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Mobile Phone	Fax	E-mail
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Passport No	Issue Place	Issue Date	Expiry Date
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Nationality	Residency : Resident <input type="checkbox"/> Non Resident <input type="checkbox"/>	Date of Birth (DDMMYYYY) <input style="width: 20px;" type="text"/>
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**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.

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Relationship with A/C Holder

Percentage (%)

Address

City

Post Code

State / Division

Country

Mobile Phone

Telephone

E-mail

Passport No

Issue Place

Issue Date

Expiry Date

Nationality

Residency : Resident  Non Resident

Date of Birth (DDMMYYYY) 

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**Guardian Details (if Nominee is a Minor)**

Name in Full

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

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Relationship with Nominee

Date of Birth of Minor (DDMMYYYY)

Maturity Date of Minor (DDMMYYYY)

Address

City

Post Code

State / Division

Country

Mobile Phone

Telephone

E-mail

Passport No

Issue Place

Issue Date

Expiry Date

Nationality

Residency : Resident  Non Resident

Date of Birth (DDMMYYYY) 

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**PHOTOGRAPH OF  
NOMINEE / HEIR**

Please staple signed recent passport sized photograph attested by A/C holder

Guardian 2

Please staple signed recent passport sized photograph attested by A/C holder

Guardian 1

Please staple signed recent passport sized photograph attested by A/C holder

Nominee / Heir 2

Please staple signed recent passport sized photograph attested by A/C holder

Nominee / Heir 1

	Name	Signature
Nominee / Heir 1		
Guardian 1		
Nominee / Heir 2		
Guardian 2		
First Account Holder		
Second Account Holder		
Third Account Holder		

***Dragon Securities Ltd.***  
Central Depository Bangladesh Limited (CDBL)  
Depository Account (BO Account) opened with CDBL Participant  
Terms & Conditions - Bye Law 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 below. in consideration of Dragon Securities Ltd. (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 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 of 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 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, executors 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 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 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 with 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 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 aforeside terms and conditions for operating Depository Account (BO Account) with CDBL Participant and agree to comply with them.

Applicants	Name of Applicant / Authorised Signature in cases of Ltd. Co.	Signature
First Applicant		
Second Applicant		
Third Applicant (Ltd. CO. only)		

Form revision date: 03/08/2004

# Dragon Securities Ltd.

## KYC Application Form

### (Applicable for BO Account)

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

Photo of 1st  
Applicant

Photo of 2nd  
Applicant

1. First applicant name :	
1.1 Second applicant name :	
2. Type of account :	<input type="checkbox"/> Individual <input type="checkbox"/> Joint <input type="checkbox"/> Company
3. Client Code :	<b>BO ID : 12021400</b>
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. 1 <sup>st</sup> Applicant information :	<input type="checkbox"/> National ID No. : ..... <input type="checkbox"/> Passport no. : ..... <input type="checkbox"/> TIN no. : ..... <input type="checkbox"/> VAT reg. no. : ..... <input type="checkbox"/> Driving license no. : .....
7. 2 <sup>nd</sup> Applicant information :	<input type="checkbox"/> National ID No. : ..... <input type="checkbox"/> Passport no. : ..... <input type="checkbox"/> TIN no. : ..... <input type="checkbox"/> VAT reg. no. : ..... <input type="checkbox"/> Driving license no. : .....
Comments (if any) :	
Signature of 1 <sup>st</sup> Applicant:	Signature of 2 <sup>nd</sup> Applicant :
Name of Account Opening Officer/Relationship Manager : .....	
Signature (with seal) :	Date :
Verified by: Name : .....	
Signature (with seal) :	Date :
Approved by: Name : .....	
Signature (with seal) :	Date :

# DEED OF AGREEMENT FOR MARGIN ACCOUNT

Under Margin Rules 1999

THIS AGREEMENT is made on the

day of

## BETWEEN

*Dragon Securities Ltd.* a private limited company incorporated in Bangladesh under the laws of Bangladesh registered with the Registrar of Joint Stock Companies and Firms & Dhaka Stock Exchange Ltd. (TREC # 119) & doing business as Stock broker under Stock broker registration No. Nibondon - 3.1/DSE 119/2008/176 issued by Bangladesh Securities and Exchange Commission (BSEC.) having its head office Bilquis Tower, 8<sup>th</sup> Floor, Plot-6, (New) 2nd Circle Gulshan, Dhaka-1212 hereinafter referred to as the "Company" of the **ONE PART**.

## AND

Name

Address

Or "The Account Holder" of the second PART

## WHEREAS

- A. The account holder is engaged in the business of capital market and being in need of financial assistance requested the company for extending loan facility for investment in the share of secondary market.
- B. At the request of The account Holder the Company has agreed to stand a loan limit in the ratio of ..... of margin.

## NOW THIS DEED WITNESSESS FOLLOWS

### 1.0 Definitions

- 1.1 As used this Agreement and in any documents delivered pursuant here to the following expression shall have the following meaning respectively
- 1.2 "Agreement" Means this agreement for Margin account between The account holder and the company executed on the date first above written, and also includes any amendment of it made from time to time.
- 1.3 "Margin account" Means the account opened by the Client with *Dragon Securities Ltd.* to buy / sell securities availing credit facilities from *Dragon Securities Ltd.* as per terms & conditions contained.
- 1.4 "Marginable Securities" shall mean the securities permitted by the company to be bought and carried in the margin account.
- 1.5 "Change in Law" Means the adoption, promulgation, amendment, modification, repeal or reinterpretation after the date of execution of this agreement by any government Authority of any Law of Bangladesh.
- 1.6 Company Means *Dragon Securities Ltd.*
- 1.7 "Law of Bangladesh" Means in relation to this, agreement, all laws enforced In Bangladesh and included all rules, regulation, orders, directives, notification made of issued by any competent Authority pursuant to or under any such Law and any decree of Judicial decision given or pronounced by any Court of Competent Jurisdiction.
- 1.8 The Client Means .....
- 1.9 "Debit Balance" shall mean the total value of cash owned by the client together with any interest and commission to the borker in the margin account.
- 1.10 "Equity" shall mean the sum of margin and current market value of securities carried in a client's margin account.
- 1.11 "Margin" shall mean the aggregate amount of cash and market value of securities deposited by a client into his margin account, but shall not include securities that are bought and carried in the margin account

**2. MARGIN DEPOSIT / EQUITY**

The account holder shall deposit its margin before the first transaction. Such deposit may be made in the form of

1. Cash (cheque, PO, DD)
2. Listed securities valued at last traded price.

**3. AUTHORIZATION FOR MORTGAGED, PLEDGED ETC.**

The account holder shall authorize the company to mortgage, securities or properties for a sum not exceeding the debit balance in the margin account. A letter of lian on shares and securities and power of attorney to be signed by the account holder in this regard.

**4. MINIMUM MARGIN**

The account holder shall maintain minimum margin at .....of the total Investment.

**5. LOAN LIMIT**

The company shall extend loan facility to **The account holder** to the extend of ..... of margin deposit for purchase of share secondary market.

**6. INVESTMENT LIMIT**

**The account holder** shall Invest in the securities to the extend by which the equity does not exceed .....of margin deposit.

**7. RESTRICTION ON INVESTMENT**

**The account holder** must invest in the selected listed securities as decided by the Company from time to time

**8. BASIS OF VALUATION OF SECURITIES / DETERMINATION OF MARGIN REQUIRMENT.**

The company shall determine the margin requirment in each working day taking traded price of preceding transaction day.

**9. SHORT-FALL IN EQUITY**

The account holder shall maintain a minimum margin of ..... of the debit balance in the margin account  
Shorffall must be covered within 3 days from the date of notice.

**10. SUSPENSION OF TRANSACTION**

The company shall have the right suspend the account when margin goes below minimum margin of ..... of the debit balance in the margin account.

**11. LIQUIDATION OF MARGIN**

When total investment falls below .....of the debit balance in the margin account, the Company shall have absolute discretion to liquidate the marginable securities deposited by the account holder.

**12. RESTRICTION ON INVESTMENT**

Margin shall not be used for investment in IPO shares.

**13. WITHDRAWAL OF SECURITY**

**The account holder** may withdraw cash/securities from his account to the extent by which the equity exceeds minimum margin of .....of the debit balance in the margin account.

**14. UNUSUAL/DOUBTFUL TRANSACTION**

**The account holder** shall not be allowed to do any unusual / doubtful transaction through this margin account.

**15. FINANCIAL CHARGES ON LOAN**

**The account holder** shall pay interest on the loan facility availed at the rate of ..... per Annum at monthly, the company may, however, change the rate without assigning any reason to the account holder.

**16. BROKERAGE COMMISSION**

**The account holder** shall have to pay commission .....on its total trade volume.

**17. DOCUMENTATION & ANNUAL CHARGE**

**The account holder** shall pay Tk .....as annual charge to be paid at the time of opening of account and for subsequent periods at the commencement of each financial year.

**18. MARGIN FEE**

**The account holder** shall pay @ ..... per annum on total invesment to be charged monthly.

**19. RIGHT TO CLOSETHE MARGIN ACCOUNT**

**The Company** shall have the right to close the account without assigning any reason.

**20. CHANGE OF POLICY**

**The Company** may change the policy depending on the money and capital market condition.

**21. CONDITIONS PRECEDENT**

- 21.1 **The account holder** shall open a Margin account with the Company situated at.....
- 21.2 The facility shall become available to the **The account holder** only when the Company has received in form and substance satisfactory to it the following documents / papers : 21.2
- 21.2.1
1. A copy of the certificate of trade license (In case of Company)
  2. Latest Memorandum and Articles of Association duly certified by the Registrar of the Joint Stock Companies.
  3. Two copies Passport size Photograph
  4. Photograph of Authorised person
- 21.3 The latest certified copy of the particulars of Directors of the account Holder should be submitted to the Company.

Approval by the Board of Directors of **The Account holder** for opening margin account.

Being agreed upon the all above, both of us do hereby put our signatures hereunder to make this agreement is governed by the laws of Bangladesh, in particular the Securities and Exchange Ordinance 1969 (XVII of 1969) Securities and Exchange Commission Act 1993 (XV of 1993) and rules and regulations made thereunder in particular, the Margin Rules 1999 (SEC/Section-5/98/141 dated 28 April 1999), all as amended or replaced from time to time.

**Signature of the Margin Account Holder(s)**

	Name	Signature
First A/C Holder		
Second A/C Holder		
Third A/C Holder		

**Signature of the Company**  
(Authorised Person)

**Witness** ▼

Signature	2. Signature
Name :	Name :
Address :	Address :

## Letter of Authorization

Account No

B. O. Account No.

I/We do hereby authorize **Dragon Securities Ltd.** to treat my executed sale order of Securities as PAY-IN instruction i.e transfer from my beneficiary Owner (BO) Account to **Dragon Securities Ltd.** clearing account.

We do further authorize **Dragon Securities Ltd.** to debit all CDBL related fees & Charges from my Securities Account.

### Signature of the Account Holder(s)

Applicants	Full Name	Signature with date
First Applicant		
Second Applicant		
Third Applicant		

#### Official Use ▼

I propose to grant the Account Holder Tk. \_\_\_\_\_ as credit facilities under margin rules 1999

For **Dragon Securities Ltd.**

#### Particulars Required for account open ▼

##### Individual/Joint Account

1. Three copies of recent passport & one copy stamp size   
photographs in colour of account holder(s) with signature
2. Two passport & one copy stamp size photographs   
of authorized person attested by A/C holder (s)
3. One passport & one stamp size photograph of nominee   
attested by A/C holder(s)
4. Recent bank statement or certificate from the concerned   
bank of the account holder photo copy of cheque leaf of the bank account
5. Name, client code and signature of the introducer
6. Photocopy of passport/driving licence/national id   
of a/c holder and nominee
7. Tin certificate (if any)

##### Non-Resident Bangladeshi Account

1. Photocopy of passport
2. Three copies of recent passport & one copy stamp size   
photographs in colour of account holder(s) with signature
3. Two passport & one copy stamp size photographs   
of authorized person attested by A/C holder (s)
4. One passport & one stamp size photograph of nominee   
attested by A/C holder(s)
5. Recent bank statement or certificate from the concerned bank   
of the account holder photo copy of cheque leaf of the bank account
6. Name, client code and signature of the introducer
7. Service agreement with the employer/trade licence
8. Salary statement/tax pay slip/tin certificate

#### In case of Company ▼

1. Board resolution for opening brokerage and BO account.
2. Memorandum & Articles of Association, where applicable.
3. Certificate of Incorporation.
4. List of authorized signatories to operate the account and two copy attested photograph of each.
5. TIN certificate
6. Trade licence

Checked by

Posted to  
CDBL

Posted to  
BO Software

Approved by