



AMPLE SECURITIES (PVT) LIMITED

TRE CERTIFICATE HOLDER : PAKISTAN STOCK EXCHANGE LIMITED

Broker Registration No. K-143

Corporate Office: 209, 2nd Floor, Business & Finance Centre I.I. Chundrigar Road Karachi

Tel: 2467154-8, 2431659 Fax: 2412412

ACCOUNT OPENING FORM

NOTE 1: EACH AND EVERY COLUMN MUST BE FILLED IN

NOTE 2: EACH PAGE OF THIS FORM WILL BE DULY SIGNED BY THE ACCOUNT HOLDER(S) AND THE BROKER

NATURE OF ACCOUNT :

ACCOUNT:

SINGLE: ☐

JOINT: ☐

COMPANY: ☐

FIRM: ☐

A/C NO. _____

A/C NO. _____

CDC ACCOUNT NO. _____

ACCOUNT HOLDER

A/C TITLE: _____

ADDRESS: _____

TEL: _____

E-MAIL: _____

FAX NO. _____ MOBILE: _____

PERMANENT/REGISTERED ADDRESS _____

JOINT ACCOUNT HOLDER

A/C TITLE: _____

ADDRESS: _____

TEL: _____

E-MAIL: _____

FAX NO. _____ MOBILE: _____

PERMANENT/REGISTERED ADDRESS _____

For Individual only:

DATE OF BIRTH: _____

NATIONALITY: _____

STATUS: _____ RESIDENT _____ NON-RESIDENT

GENDER _____ MALE _____ FEMALE:

S/O. W/O. NAME: _____

NATIONAL ID CARD NO. (IN CASE OF NON-RESIDENT)

PASSPORT NO.

OCCUPATION: _____

N.T.N. NO. (Optional) _____

DATE OF BIRTH: _____

NATIONALITY: _____

STATUS: _____ RESIDENT _____ NON-RESIDENT

GENDER _____ MALE _____ FEMALE:

S/O. W/O. NAME: _____

NATIONAL ID CARD NO. (IN CASE OF NON-RESIDENT)

PASSPORT NO.

OCCUPATION: _____

N.T.N. NO. (Optional) _____

For Companies or Firms only:

Company Registration No. _____

STATUS: _____ RESIDENT _____ NON-RESIDENT

X

JOINT ACCOUNT HOLDER

JOINT ACCOUNT HOLDER

A/C TITLE: _____

A/C TITLE: _____

ADDRESS: _____

ADDRESS: _____

TEL: _____

TEL: _____

E-MAIL: _____

E-MAIL: _____

FAX NO. _____ MOBILE: _____

FAX NO. _____ MOBILE: _____

PERMANENT/REGISTERED ADDRESS _____

PERMANENT/REGISTERED ADDRESS _____

For Individual only:

DATE OF BIRTH: _____

DATE OF BIRTH: _____

NATIONALITY: _____

NATIONALITY: _____

STATUS: _____ RESIDENT _____ NON-RESIDENT

STATUS: _____ RESIDENT _____ NON-RESIDENT

GENDER _____ MALE _____ FEMALE:

GENDER _____ MALE _____ FEMALE:

S/O. W/O. NAME: _____

S/O. W/O. NAME: _____

NATIONAL ID CARD NO. (IN CASE OF NON-RESIDENT)

NATIONAL ID CARD NO. (IN CASE OF NON-RESIDENT)

PASSPORT NO.

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PASSPORT NO.

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OCCUPATION: _____

OCCUPATION: _____

N.T.N. NO. (Optional) _____

N.T.N. NO. (Optional) _____

Declaration of Solvency:

The Account Holder hereby declares that:

- a) It has not applied to be adjudicated as an insolvent and that it has not suspended payment and that we have not compounded with our creditors;
- b) It is not un-discharged insolvent; and
- c) It has not been declared defaulter in repayment of loan of a bank / financial institutions.
- d) I/We (Account Holder)(s) declare that I/We are legally eligible to conduct business in Stock Market and I/We are not associated with such organization that forbids me/us to carry out business in Stock Market.
- e) I/We (Account Holder)(s) hereby authorized to M/s Ample Securities (Pvt.) Limited to use my/our fund and can keep in Ample Securities (Pvt.) Limited. Will be committed to pay my balance within 24 twenty-four hour on demand.
- f) I have read, understood, accepted and agreed to be bound by the Terms and Conditions for Account with M/s Ample Securities (Pvt.) Limited. In case of emoneous or unauthorized transfer of Book-entry securities to my Sub Account by M/s Ample Securities (Pvt.) Limited, I hereby authorize M/s Ample Securities (Pvt.) Limited to reverses such transaction and for this purpose to sign the Transaction Reversal From on my behalf.

Signature: **X** _____

Name of Authorized Persons to Operate the Account

The account shall be operated by the following:

<u>Name</u>	<u>Specimen Signature</u>	<u>Singly/Jointly</u>
A) _____	_____	_____

The authority of the person(s) authorized to operate the account will be clearly spelled out in the letter of authorization from the Account Holder.

MARGIN DEPOSIT:

The Account Holder(s) hereby undertakes to deposit and maintain 35% margin against his/her/their outstanding trades/exposure for the purpose of trading in his/her/their account. The broker shall notify the Account Holder(s) about any change in the above margin requirements for the already executed trades at least 3 days prior to the implementation of the revised margin requirements.

DIVIDEND MANDATE:

☐ YES ☐ NO

Mark tick (✓) in appropriate box if yes, please provides the following details.

CLIENT BANK DETAILS (OPTIONAL):

ACCOUNT TITLE: _____

NAME OF THE BANK: _____

SAVING/ CURRENT A/C NO: _____

BRANCH ADDRESS: _____

ACCOUNT (S) WITH OTHER BROKER (S) (OPTIONAL)

NAME OF THE BROKER (S)	MEMBER EXCHANGE	CLIENT ID/ ACCOUNT

NOMINATION:

(In the event of death Account Holder, the nominee shall be entitled to receive securities/cash available in the account of the account holder after set-off/ against losses / liabilities in the account)

Name of Nominee:	Surname:	Relation:
NIC Number:	Tel No:	Date of Birth:
Saving/Current A/c No:	Branch Address:	
Postal Address:		Email

ZAKAT STATUS:

(Please Attach relevant affidavit / declaration) Mark tick (✓) in appropriate box

Muslim Zakat Payable:	Muslim Zakat Not Payable:	Non Muslim:
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X

SPECIAL TERMS AND CONDITIONS

The Terms and Conditions set herein below shall be equally binding on the Broker and the Account Holder(s).

1. All transactions between the parties shall be subject to the Articles, Rules and Regulations of the Exchange, revised policies, Board Directions and new regulations to be framed in pursuance of Section 34 of the Securities and Exchange Ordinance 1969. Moreover, all applicable provisions of the Securities and Exchange Ordinance 1969 read with the Securities and Exchange Commission of Pakistan Act 1997, Brokers and Agents Registration Rules 2001, Securities and Exchange Rules 1971 and all directions/ Directives passed from time to time to regulate the trades between the parties and to regulate Brokers conduct and the Central Depository Company of Pakistan Act 1997, rules framed there under and the National Clearing and Settlement System Regulations and any other law for the time being in force. The Broker shall ensure provision of copies of all the above Laws, Rules and Regulation at his office for access to the Account Holder(s) during working hours.
1. (a) In case any dispute in connection with the trade or transaction between the Broker and the Account Holder is not settled amicably, either party may refer the same to arbitration in accordance with the provisions of General Regulations of the Exchange, which shall be binding on both the parties. The Account Holder hereby agrees that he would have no objection if his name and other relevant particulars are placed on Exchange's database accessible by members of the Exchange if he fails or refuses to abide by or carryout any arbitration award passed against him in his dispute with the Broker.
2. The amount deposited as security margin by the Account Holder(s) with the Broker shall only be used for the purpose of dealings in securities, such as trading and/or settlement of deliveries of securities on behalf of Account Holder(s). The Broker shall not use without permission such amounts for his own use.
2. (a) The Credit amount of the Account Holder(s) shall be kept by the broker in a separate bank account titled 'Account Holder Client Account' and shall not be used by the broker for his own business.
3. The Broker shall be authorized to act on the verbal instructions of the Account Holder(s). The Broker shall provide written confirmation of the executed transactions as required under rule 4(4) of the Securities and Exchange Rules, 1971, and all such transactions recorded by the Broker in his books shall be conclusive and binding upon the Account Holder(s), which shall not be questioned by him/her/them, subject to clause 5 below.

OR

The Account Holder(s) shall give written instructions for the sale/purchase of securities to the Broker. The Account Holder(s) shall not give any verbal/oral instructions. The Broker shall provide a written confirmation of the executed transactions as required under rule 4(4) of the Securities & Exchange Rules, 1971, and all such transactions recorded by the Broker in his books shall be conclusive and binding upon the Account Holder(s), which shall not be questioned by Him/Her/Them, subject to clause 5 below.

4. The Broker shall be authorized to act on the verbal instructions of the Account Holder(s). The Broker shall provide a written confirmation of the executed transactions to the account holder at the above stated address by means of acceptable mode of communication or by hand subject to Acknowledgment receipt as noted in clause 16.
5. In case there are any error(s) in the daily confirmation statement, the Account Holder(s) shall report the same to the Broker within one-business day of the receipt of confirmation. In case the Account Holder(s) do not respond within one business day of the receipt of the said daily confirmation statement, the confirmation statement shall be deemed conclusively accepted by the Account Holder(s).
6. In the event that the Account Holder(s) fail(s) to deposit additional cash or securities as margin within one business day of the margin call (in writing), the Broker shall have absolute discretion to and, without further notice to Account Holder(s), liquidate the Account Holder(s) outstanding positions, including the securities purchased and carried in such account, so that the margin is maintained at the required level.
7. The Broker shall be responsible to ensure delivery of CDC eligible securities in the CDC account of the Account Holder(s) subject to full payment by the Account Holder(s). In case of companies, which are not on the CDS, the Broker shall ensure delivery of Physical shares along with verified transfer deeds against payments, to the Account Holder(s). Further, the Broker shall be responsible for the payment of any credit cash balance available in the account of the, Account Holder preferably in form of A/c Payee cross cheque only within 1 business day of the request of the Account Holder(s) (subject to the maintenance of the margin requirements).
7. (b) In the event of non-receipt of payment from the Account Holder on settlement day against securities bought on account of the Account Holder, the Broker may transfer such securities to his Collateral Account under intimation to the Exchange, after complying with the requirements as mentioned in the General Regulations of the Exchange.
8. The Broker shall accept from the Account Holder(s) payments through "A/c Payee Only" crossed cheque, bank drafts, pay orders or other crossed banking instruments in case of amounts in excess of Rs. 25,000/- . Electronic transfer of funds to the Broker through banks would be regarded as good as cheque. The Broker shall be responsible to provide the receipt to the Account Holder(s) in the name of the Account Holder(s) duly signed by authorized agents/employee of the Broker and the Account Holder(s) shall be responsible to obtain the receipt thereof. In case of cash dealings, proper receipt will be taken and given to the Account Holder(s), specifically mentioning if payment is for margin or the purchase of securities. The broker shall immediately deposit in its bank account all cash received in whole i.e. no payments shall be made from the cash received from clients. However, in exceptional circumstances, where it becomes necessary for Broker to accept cash in excess of Rs. 25,000/-, the Broker shall immediately report within one business day such instances with rationale thereof to the Exchange in accordance with the mechanism prescribed by the Exchange.

9. The members shall make all the payments of Rs.25000/- and above through crossed cheques / bank draft/ pay order or any other crossed banking instruments showing payment of amount from their business bank account. Copies of these payment instruments including cheques, pay orders, demand drafts and online instructions shall be kept in record for a minimum period of five years.
10. The Account Holder(s) shall have a right to obtain a copy of his/her or their ledger statement under official seal and signature of the Broker or his authorized representative on a periodic basis. In case of any discrepancy in the ledger statement, the Account Holder(s) shall inform the Broker within 1 day of receipt of the ledger statement to remove such discrepancy.
11. The Account Holder(s) shall operate the account and execute transactions himself/herself/themselves unless the Account Holder(s) authorize any person to transact in the account. All transactions executed by the authorized person shall be binding upon the Account Holder(s).
12. For Joint Account Holders Only:
13. (1) We, the Account Holder shall operate the account jointly or severally and the instructions issued either jointly or severally shall be binding on us as well as upon the broker in respect of the joint titled account.
- Or
14. (2) Our titled account shall be operated only by who shall be deemed as the authorized person for operating the Joint account or issuing any instructions relating thereto.
15. The Broker shall be responsible to append a list of his authorized agents/traders and designated Employees, who can deal with the Account Holder(s), with the account opening form and a copy of both the opening form and a copy of both the opening form and the list will be provided to the Account Holder(s). Any change therein shall be intimated in writing to the Account Holder(s) with immediate effect.
16. The Broker shall debit the account of the Account Holder(s) for the commission charges or any other charges in connection with the brokerage services rendered, which shall be clearly detailed in the ledger statement/daily confirmations.
17. The Broker shall not disclose the information of the transactions of the Account Holders to any third party and shall maintain to confidentiality of this information. However, in case the Exchange or the Commission as the case may be requires any such information, the Broker shall be obliged to disclose the same for which the Account Holder(s) shall not raise any objection whatsoever.
18. All orders received telephonically and placed on KATS shall be supported by recording on dedicated telephonic lines, preferably connected with a computerized taping system so as the orders could possibly be sorted on UIN basis and made user friendly.
19. In case a Broker converts his individual membership rights to corporate membership and vice versa the agreement and conditions laid down herein above shall remain effective unless otherwise agreed by the parties.
20. Acceptable mode of communication between the Account Holder(s) and the Broker shall be through letter (courier/registered post/fax/E-mail) or by hand subject to receipt/acknowledgment. The onus of proving that the e-mail has been received by the recipient shall be on the sender sending the e-mail. Confirmation of orders to clients made through fax or e-mail will have a time record.
21. In case of change of address or contact numbers of either party, the concerned party shall immediately notify the other party in writing.
22. I/We, the Account Holder(s) acknowledge receipt of this account opening form (signed here by/us in duplicate) along with the copies of all the annexure and I/We have understand all the above terms and conditions of this agreement which are acceptable to me/us.
23. I/We, the Account Holder(s) understand that the shares trading business carries risk and subject to the due diligence on part of the broker I/We may incur losses for which I/We, the Account Holder(s) shall not hold the Broker responsible.
24. I/We the Account Holder(s) further confirm that all information given in his application is true and complete and hereby authorize the Broker to verify and information mentioned above.
25. The Account Holder further agrees to make payments by "A/c Payee only" cheque and obtain receipt thereof in his/her/their name duly signed by authorized employee. The Account Holders understand that for any payment made other than the above arrangements, the Account Holders shall not hold the Company responsible.
26. The Account holder understands that company is not carrying on any money lending/borrowing business. The Account holders agree that he/she/they will not make any payment to the company for that purpose. The Account Holder further understand that Company has not authorized any employee/person/agent to collect payment for money lending/borrowing purpose and if the Account holder make any payment for that purpose, he/she/they shall not hold the company responsible. Also Account holder agree that any receipt issued by any employee/person/agent on behalf of the company against money lending/borrowing have no legal binding on the company.
27. The Account Holder hereby undertakes that any physical shares/securities purchased through the company will be lodged for transfer by him/her/they within 7 days. Account Holder further understands that in case of any defect in title of these physical shares/securities, the rules of Pakistan Stock Exchange Limited will be binding upon both the parties.
28. The Company is unconditionally and irrecoverably authorized to deny execution of any order, freeze/close the Trading Account without any notice to the account holders. The account holders will not dispute this authority at any forum.
29. The Account Holder undertakes to identify any error/mistake/discrepancy/dispute regarding the transactions/ledger balance within one business day of receiving the trade confirmation/ledger statement. The Account Holder agrees that such letters will be addressed to the Chief Executive and he/she/they will seek written acknowledgment of the receipt of the letter.

30. The company is authorized to revise the required margin for trading in shares at any time without any notice to the Account Holder (s). However any change in the required margin for already executed trades will be notified to the Account Holder(s) at least 3 days prior to the implementation.
31. In the event of any disputes, differences or controversies arising out of the Agreement, including the interpretation of the terms hereof ("Disputes"), the same shall be referred to Pakistan Stock Exchange and at its discretion to the selected Arbitrators and/or Committee of Arbitration of the Pakistan Stock Exchange. The Arbitration shall be held in accordance with Arbitration Act, 1940, as amended from time to time and the venue of Arbitration shall be Karachi.
32. The Terms and Conditions contained in this Brokerage Account Agreement are subject to change by the Broker at its discretion upon written notice to the Account Holder(s). The Account holder(s) shall be deemed to have accepted any and all changes by not closing and/or by continuing to use the Account. The Broker reserves the right at its discretion to restrict trading, disbursements or transfer and to require additional documentation or margins from time to time for the purpose of maintaining the account and/or executing instructions on account of the Client.
33. Ample Securities (Pvt.) Ltd provide website facility for customer to confirm their own account status and order execution status. in view of above we strictly recommend to client (s) ensure us for routine check his/her/their account status and if any error or misleading data found then must inform to our account section.

(Proprietary Trading Discloser)

This is Clearly inform to a Account Holder(s) that the Ample Securities (Pvt.) Ltd involved in proprietary trading and this information is disclose for clients best interest.

Discloser for Investment Advisory Service

Ample Securities (Pvt.) Ltd. dose not offer investment advisory service. We are used to inform our Account Holder(s) about the news and market information from source we believe to be reliable but we don not accept risk possibility for it accuracy and completeness. Account Holder(s) is required to verify it, and take care for own decision.

Leverage / Future Market Risk Disclosure/Disclaimer

A this is to clearly intimated to customer about high risk of said business and advise them to be careful to trading position because Ample Securities (Pvt.) Ltd. is not to be responsible for any damages related to market risk.

Terms and Conditions pertaining to CDC Group / Sub Account.

- A. The Account Holders hereby irrevocably and unconditionally authorize Ample Securities (Pvt.) Limited (therein after referred to as a company) to move his/her/their sub-account/group account from time to time with and unfettered right to dispose them off at any time without any notice to Account holders and to apply the net proceeds thereof towards the adjustment of his/her/their outstanding balance that may be due from him/her/them, directly or indirectly to the Company including under normal settlement as well as against all his her their losses and the Account Holders shall continue to be liable for any shortfalls.
- B. The Account Holders further hereby unconditionally and irrevocably authorize to pledge his/her/their book entry securities in favor of any eligible pledge(s) and in particular. The Pakistan Stock Exchange Limited. In accordance with Section 12 of the Central Depository Act, 1997 and the Central Depository Company of Pakistan Limited's Regulations as may be amended and/or substituted from time to time.
- C. The Company is further authorized to issue requisite instruction to the CDC/issuers from time to time, if it considers necessary, in respect of his/her/their above understanding with the Company.
- D. The foregoing conditions also constitute his/her/their irrevocable authorization to the company for the purposes of section 24 of the Central Depository Act, 1997 and the Central Depository Company of Pakistan Limited's Regulations.
- E. The Account Holders further Undertakes to indemnify the Company for all losses, damages, daims, costs, etc arising out of the opening and maintenance of his/her/their sub-account/group account and/or servicing his/her/their orders by the Company.

Commission Slab

Undertaking & Declaration

- I hereby request to open a Sub-Account at M/s Ample Securities (Pvt.) Limited in my name for sales and purchase of trading and repo Transaction in the Book Entry Securities, as specified hereunder.
- I have read, understood, accepted and agreed to be bound by the Terms and conditions for Sub Account with M/s Ample Securities (Pvt.) Ltd. In case of erroneous or unauthorized transfer of Book-entry securities to my Sub Account by M/s Ample Securities (Pvt.) Limited. I hereby authorize M/s Ample Securities (Pvt.) Limited. to reverse such transaction and for this purpose to sign the Transaction Reversal Form on my behalf.

Signature of Broker

X

Signature of Account Holder

Signature of Joint Account

WITNESSES:

Name:		Name:	
NIC No.		NIC No.	
Signature:		Signature:	

Date: _____

☐ **For Office Use Only**

Checked By

Approved By

To,
The Ample Securities (Pvt) Limited,
TRE CERTIFICATE HOLDER,
Pakistan Stock Exchange Limited,
Karachi.

Subject: **Request for SMS and WEB Access**

Dear Sir,

In view of order confirmation mode, I want to subscribe your Mobile SMS and WEB Access facility and request you to send order execution reports on daily basis on my mobile no. _____ and I will be responsible to inform you in writing within 24 hours if any discrepancy found in confirmation and I further request you to please provide me log in ID to check my account ledger and CDC statement.

Thanking You,

You're sincerely,

X

JOINT HOLDER _____ **X**

Name: _____

Name: _____

N.I.C No. _____

N.I.C No. _____

Date: _____

Enclosures (for individuals):

1. Attested copies of National Identity Card of the applicant
2. Attested copies of National Identity Card of the Joint Holders and or Nominees(s) (if applicable)
3. Attested copies of passports of the applicant, Joint Holders and or Nominees(s) (in case of non-residents)
4. Copy of the letter of authorization from the Account Holder(s) of the person authorized to trade in my/our accounts (*if other than the account holder)
5. A list of Transaction fee, Commission to be charged by the Broker and other CDC charges to be levied

Enclosures (for corporate entities):

1. Certified true Copy of Board Resolution (specimen provided as per Annexure 'A')
2. Certified true Copies of Memorandum & Articles of Association.
3. List of authorized signatories.
4. List of nominated persons allowed to place orders.

Annexure 'A'

Board Resolution

RESOLVED that an application be made on behalf of _____ (name of entity) to _____ ("broker") for opening an Account and for the afore-said purpose the Account Opening Form including Terms and Conditions as set out herein be executed on behalf of _____ (name of entity)

FURTHER RESOLVED that Mr./Mrs. _____ and Mr./Mrs. _____ be and are hereby authorized and empowered, either singly/jointly for and on behalf of _____ (name of entity) to sign and execute and deliver this Account Opening Form and Terms & Conditions and other documents in connection therewith, and to do any other act, deed or thing for and on behalf of _____ (name of entity) in respect of company's application for opening an Account

FURTHER RESOLVED that Mr./Mrs. _____ and Mr./Mrs. _____ be and are hereby authorized and empowered, either singly / Jointly to represent to the broker on all matters pertaining to the maintenance and operation of the Account to deal, liaise and correspond with broker and give instructions to fulfill all the responsibilities and obligations to broker under the Law, Rules and Regulations and the Terms and Conditions in relation to the Account from time to time and to deal with other incidental and ancillary acts, things and deeds"

Signature of the Directors

1. _____

2. _____

3. _____

4. _____

5. _____