


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)/COMMON REPORTING STANDARDS (CRS)

A) Foreign Account Tax Compliance Act (FATCA)

Are you a US citizen or resident as defined under the FATCA regulations?

Yes (fill in details below) No

Country(ies) of Citizenship:

Country(ies) of Tax Residence:

Respective Tax Identification Number:

Country of Birth: Town/City of Birth:

Country(ies) of Domicile:

Country(ies) of Legal Residence:

B) Common Reporting Standards (CRS)

Do you have foreign tax residence as defined under the Common reporting standard's Regulations, 2023? (CRS)?

Yes (fill in details below) No

Country(ies) of Tax Residence:

Foreign Tax Identification Number(TIN):

If TIN is unavailable, please provide the appropriate reason A, B or C where indicated below:

Reason A: The country/residence where the account holder is resident does not issue TIN number

Reason B: Not able to attain TIN number, explain why _____

Reason C: No TIN is required (only select if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued)

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 - 499,000

KES. 500,000 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: _____

Second Signatory

Name: _____

Date: _____

Signature: _____