



KAPITAL CARE TRUST & SEC LTD

<https://www.kapitalcaretrust.com>

MEMBER OF THE NIGERIAN STOCK EXCHANGE

2ND Floor ALLIANZ INSURANCE TOWER
95, BROAD STREET
LAGOS

Tel: 08028304270, 07033242583

Email: lagos@kapitalcaretrust.com



INDIVIDUAL ACCOUNT OPENING/UPDATE FORM (KYC)

CURRENT DATE:

NAME OF CUSTOMER (SURNAME, FIRST NAME, MIDDLE NAME): _____

DATE OF BIRTH: _____ PLACE OF BIRTH: _____

GENDER (MALE / FEMALE): _____

MARITAL STATUS: _____ RELIGION: _____

MAIDEN NAME/MOTHER'S MAIDEN NAME: _____

SPOUSE NAME: _____

CITIZENSHIP: _____

COUNTRY: _____

PHONE NUMBER: _____

CLEARING HOUSE NO: _____

ADDRESS OF CUSTOMER: _____

NEAREST BUS-STOP/LAND MARK: _____

STATE OF ORIGIN: _____ LOCAL GOVT.: _____

EMAIL ADDRESS: _____

CONTACT ADDRESS: _____

OCCUPATION: _____ EMPLOYERS NAME: _____

Source of Fund: Salary [] Savings [] Retirement Plan [] Business Income [] Inheritance [] Others specify _____

Estimated Annual Income. (a) Less than N5M (b) N5M-10M (c) Above N10M

AUTHORISED SIGNATURE: _____

NEXT OF KIN INFORMATION

NEXT OF KIN: _____

ADDRESS OF NEXT OF KIN: _____

RELATIONSHIP: _____

NEXT OF KIN PHONE NUMBER: _____

NEAREST BUS-STOP/LAND MARK OF NEXT OF KIN: _____

All deposit for shares should be made in cheque in favour of KAPITAL CARE TRUST AND SECURITIES LIMITED
Cash deposit should be made directly to the company bank Account.

On no account should cash be giving to any staff of the company.

BANK ACCOUNT DETAILS (YOUR BANK ACCOUNT NAME DETAILS SHOULD CORRESPOND WITH YOUR CSCS ACCOUNT)

BANK NAME: _____ BRANCH: _____

BANK ACCOUNT NAME: _____ BANK ACCOUNT NUMBER: _____

DATE OF BANK ACCOUNT CREATION(DD/MM/YY): _____ BANK SORT CODE: _____

BANK VERIFICATION NUMBER (BVN): _____

N. B:

PLEASE ATTACH PHOTOCOPY OF THE FOLLOWING:

1. UTILITY BILL.
2. VALID MEANS OF IDENTIFICATION E.G NATIONAL ID, DRIVERS LICENSE, INTERNATIONAL PASSPORT

Important Information:

Please note that we are obliged to comply with the provisions of the Anti-Money Laundering/Combating Finance of Terrorism Act 2011 as amended which include making disclosures regarding your account to relevant regulatory agencies.

I hereby declare, under this sworn statement, that all the information provided is accurate and true and that I will inform KAPITAL CARE TRUST & SECURITIES LIMITED of any changes.

I also declare, under this sworn statement, that the funds I shall operate with are of legal origin and that these funds are not the proceeds of illegal activities conducted by me or third parties.

**FAX, E-MAIL AND TEXT MESSAGE
AUTHORITY AND INDEMNITY**

To: **KAPITAL CARE TRUST AND SECURITIES LIMITED** ("the Company")

Whereas it would be convenient and in my/our interests if I/we could at any time and from time to time send instructions by means of:

1. Facsimile transmission (meaning the sending of transmissions between fax machines via the telephone network. Instructions sent by such transmissions are herein after referred to as "fax instructions"); and/or
2. Telephone instructions (meaning text messages via telephone or other telecommunication media); and/or
3. Electronic mail (meaning the sending of transmissions electronically between computers via the telephone network or wireless Communication.

Instructions sent by such transmissions are hereinafter referred to as "e-mail instructions"), to **KAPITAL CARE TRUST AND SECURITIES LIMITED**

The Company in relation to any and all my/our existing accounts, facilities, transactions and other arrangements with the Company and any accounts, facilities, transactions and other arrangements which I/We may now or in the future have with the Company.

Now in consideration of the Company at my/our request (which request I/we hereby make to the Company) accepting and/or acting on fax Instructions and/or telephone instructions and/or email instructions purportedly received from me/us as aforesaid, I/we HEREBY AGREE:

1. That the Company may act on any fax instructions and/or telephone instructions and/or email instructions received by the Company and purportedly sent by me/us from time to time, and I/we voluntarily and with full knowledge take and assume any and all risks associated therewith;
2. That where fax instructions and/or telephone instructions and/or e-mail instructions received by the Company have purportedly been sent or given by the person (or by any of the persons, if more than one) specified below, the Company shall have no obligation to check or verify the authenticity or accuracy of such fax instructions and/or telephone instructions and/or e-mail instructions and may act thereon as if same had been duly sent or given by me/us; person (or by any of the persons, if more than one) specified below.
3. That in acting on such fax instructions and/or telephone instructions and/or e-mail instructions, the Company shall be deemed to have acted properly and to have fully performed all obligations owed to me/us, notwithstanding that such fax instructions and/or telephone instructions and/or e-mail instructions received by the Company and purportedly sent by me/us may have been initiated, sent or otherwise communicated in error or fraudulently, and I/we shall be bound by any received by the Company and purportedly sent by me/us from time to time on which the Company may act if the Company has in good faith acted in the belief that such fax instructions and/or telephone instructions and/or e-mail instructions were given by me/us;
4. That the Company may, in its absolute discretion, decline to act on or in accordance with the whole or any part of any fax instruction and/or telephone instructions and/or email instructions pending further enquiry to or further confirmation (whether written or otherwise) by me/us, provided that the Company shall not be under any obligation to so decline in any case, and the Company shall in no event or circumstances be liable in any respect either for declining or not so declining;
5. That I/we shall indemnify and hold the Company free and harmless from and against any and all responsibility for, and any and all costs claims, losses, damages, expenses or liabilities of any nature (direct or indirect) resulting from the Company having acted in accordance with the whole or any part of the fax instructions and/or telephone instructions and/or e-mail instructions purportedly received from me/us (or any one of us, if we are more than one) or having exercised (or failed to exercise) the discretion conferred upon the Company in Clause 4 above, together with any and all attendant costs and expenses including the Company's reasonable legal fees and expenses, (collectively referred to as "Losses"). I/We irrevocably hereby agree, upon demand to indemnify and hold the Company harmless from and against any and all losses and on demand to pay such amounts to the Company. This paragraph shall survive the termination of this agreement or any portion hereof; and
6. That the Company may rely on and enforce against me/us (and against my/ours successors and assigns) the provisions set forth in this Instrument.

Dated this day of 20_____

Signed by the account holder(s) with authority to operate the relevant account(s),

.....
Name of Account holder

.....
Name of Account holder

.....
Signature of Account holder/DIRECTOR

.....
Signature of Account holder/DIRECTOR

FOR OFFICIAL USE ONLY

ACCOUNT OFFICER: _____

SIGNATURE/DATE: _____

DATE OPENED: _____

RISK STATUS _____

PEP Y/N.....

Addressed Verified Y/N:.....

APPROVED SIGNATURE/DATE ■ _____



NIGERIA DATA PROTECTION REGULATION DATA SUBJECT CONSENT FORM

I hereby grant Kapital Care Trust & Securities Limited and all its third-party processors authority to process my personal data, for the purpose of;

- Opening a brokerage account
- Execution of sales and purchase instructions
- Receiving trade alert
- Accessing the company on-line customer portal
- Receiving investment updates and newsletters
- Receiving email, promotions and marketing materials
- Rectification of my personal data
- Financial Services Education
- Asset and portfolio management
- Processing e-dividend
- Research and statistical purpose

I am aware this is necessary for Kapital Care Trust & Securities Limited legitimate interest to process personal information for the purpose of processing my request.

I consent to Kapital Care Trust & Securities Limited using my personal data for the purposes described in this notice and understand that I can withdraw my consent at any time using the Data Subject Consent Withdrawal Form.

Name of Individual providing Consent:

Address of Individual providing Consent:

Signature: _____

Date: _____

Office use only:

Endorsed by

Data Protection Officer:

Name: _____

Signature: _____

Date: _____

DATA PRIVACY POLICY

1. About this Policy

- 1.1 This policy explains when and why we collect personal information about our shareholders, investors and staff, how we use it and how we keep it secure and their rights in relation to it.
- 1.2 We may collect, use and store your personal data, as described in this Data Privacy Policy and as described when we collect data from you.
- 1.3 We reserve the right to amend this Data Privacy Policy from time to time without prior notice. We may be required to amend this Data Privacy Policy due to regulations. For any significant changes you will be notified but you are advised to check our website for the latest Privacy Policy.
- 1.4 We will always comply with the Nigeria Data Protection Regulation (**NDPR**) when dealing with your personal data. For the purposes of the NDPR, we will be the “controller” of all personal data we hold about you.

2. Who are we?

We are Kapital Care Trust & Securities Limited . We can be contacted at:

2nd Floor Allianz Insurance Tower (formerly Ensure Tower),
No 95 Broad Street Lagos.

dpo@kapitalcaretrust.com

Tel: 08184004260, 08028304270

3. What information we collect and why.

Which information	What we do	Why we do it	Retention time <i>How long do we keep your information</i>
Clients Biodata such as but not limited to: Name, Date of Birth, Biometrics, Passport Photograph Phone number, Account Details Clearing House Number etc.	<ul style="list-style-type: none"> ● Complete a task ● Provide a service 	To comply with legal and regulatory obligations and requirements	For as long as it is necessary to comply with Kapital Care Trust & Securities Limited legal obligations and statutory functions
Staff Records such as but not limited to: Name, Date of Birth, Academic Qualifications, Passport Photograph, Account Details etc.	<ul style="list-style-type: none"> ● Complete a task ● Provide a service 	To comply with legal and regulatory obligations and requirements	For as long as it is necessary to comply with Kapital Care Trust & Securities Limited legal obligations and statutory functions
Service Providers Details such as but not limited to: CAC documents, PENCOT Details, Tax Identification Number, Account Details etc.	<ul style="list-style-type: none"> ● Complete a task ● Provide a service 	To comply with legal and regulatory obligations and requirements	For as long as it is necessary to comply with Kapital Care Trust & Securities Limited legal obligations and statutory functions

4. How we protect your personal data

- 4.1 We will not transfer your personal data outside Nigeria without your consent.
- 4.2 We have implemented generally accepted standards of technology and operational security in order to protect personal data from loss, misuse, or unauthorised alteration or destruction.
- 4.3 Please note however that where you are transmitting information to us over the internet this can never be guaranteed to be 100% secure.

- 4.4 For any payments which we take from you on-line we will use a recognised on-line secure payment system.
- 4.5 We will notify you promptly in the event of any breach of your personal data which might expose you to serious risk.

5. Who else has access to the information you provide us?

- 5.1 We will never sell your personal data. We will not share your personal data with any third parties without your prior consent (which you are free to withhold) except where required to do so by law.
- 5.2 We may pass your personal data to third parties who are service providers, agents and subcontractors to us for the purposes of completing tasks and providing services to you on our behalf (e.g. to print newsletters and send you mailings). However, we disclose only the personal data that is necessary for the third party to deliver the service and we have a contract in place that requires them to keep your information secure and not to use it for their own purposes.

6. How long do we keep your information?

- 6.1 We will hold your personal data on our systems for as long as you are our client, service provider and staff for as long as is necessary to comply with our legal obligations. We will review your personal data every year to establish whether we are still entitled to process it. If we decide that we are not entitled to do so, we will stop processing your personal data except that we will retain your personal data in an archived form in order to be able to comply with future legal obligations e.g. compliance with tax requirements and exemptions, and the establishment exercise or defence of legal claims.
- 6.2 We securely destroy all financial information once we have used it and no longer need it.

7. Your rights

- 7.1 You have rights under the NDPR:
 - (a) to access your personal data
 - (b) to be provided with information about how your personal data is processed
 - (c) to have your personal data corrected
 - (d) to have your personal data erased in certain circumstances
 - (e) to object to or restrict how your personal data is processed

- (f) to have your personal data transferred to yourself or to another business in certain circumstances.

7.2 You have the right to take any complaints about how we process your personal data to the National Information Technology Development Agency (NITDA):

dpo@nitda.gov.ng

For more details, please address any questions, comments and requests regarding our data processing practices to our Data Protection Officer via dpo@kapitalcaretrust.com