INVICTUS SECURITIES

REVISED FORM- APRIL 2023

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

CORPORATE CLIENT ACCOUNT OPENING MANDATE FORM

Carefully complete the form and send back a signed copy, together with the KYC requirements indicated at the end of the form

NB: ALL FIELDS ARE MANDATORY AND SHOULD BE TRUTHFULLY COMPLETED INORDER FOR ACCOUNT TO BE OPENED

Date…………………………..................

1) CORPORATE CLIENT GENERAL INFORMATION

NAME OF CORPORATION:							
TYPE OF CORPORATION: PLEASE TICK BELOW							
PRIVATE		PUBLIC		PENSION		TRUST	OTHER(Specify)...................................
COMPANY REGISTRATION NUMBER :							
BUSINESS PARTNER NUMBER:							
VAT NUMBER :							
*PLEASE TICK *	LOCAL COMPANY/CORPORATE						
		FOREIGN CO"/CORPORATE				IF FOREIGN , STATE COUNTRY	

2). COMPANY/CORPORATE CONTACT DETAILS

PHYSICAL ADDRESS:
EMAIL ADDRESS:
TELEPHONE NO"
CONTACT PERSON : NAME
CONTACT PERSON : MOBILE
CONTACT PERSON :EMAIL

3. COMPANY BANK ACCOUNT DETAILS

ZWL ACCOUNT BANK DETAILS			NOSTRO FCA ACCOUNT BANK DETAILS	
BANK NAME:			BANK NAME:	
ACCOUNT NAME:			ACCOUNT NAME:	
ACCOUNT NUMBER:			ACCOUNT NUMBER	
BRANCH			BRANCH	
SWIFT CODE:			SWIFT CODE	
COUNTRY :			COUNTRY	

DECLARATION OF SOURCE OF FUNDS: MANDATORY

4) PLEASE STATE/INDICATE BUSINESS MAIN ACTVITY/SECTOR OF OPERATION ……………………………………………………………………………………………

5). PLEASE STATE/INDICATE SOURCE OF FUNDS FOR INVESTMENT: …………………………………………………………………………………………………

6) SPECIAL CLIENT INSTRUCTION(S) (client can provide specific special instructions with regards to their acount)

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7) INVICTUS SECURITIES BANK DETAILS

*All Investment Funds shall be deposited in the following Invictus Secuities- ZB Trust Account bank details:

ACCOUNT NAME: INVICTUS SECURITIES ZIMBABWE (PVT) LTD
Bank: ZB
Branch: NATAL
Account Number: 4169-225192-081
Branch Sort Code :4169

NB: NO THIRD PARTY PAYMENTS ALLOWED WHEN EITHER FUNDING ACCOUNT OR RECEIEVE SALE PROCEEDS,
ACCORDING TO SI103A OF 2022

NB: ALL PURCHASES ARE PREFUNDED, AS PER REGULATORY REQUIREMENT

NB: SALE PROCEEDS PAYMENET SHALL ONLY BE EFFECTED AFTER 3 WORKING DAYS AS PER T+3 TRADING BASIS

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, telephone (followed byawritten confirmation) and via e—mail,

4). All payments should be made by bank transfer or deposit. Payments for sale of shares will be made strictly in favour of the clonistent client name
NB: No third party payments are permitted, according to SI103A of 2022

5). A buy order should be accompanied by proof of deposited funds and likewise the sell order to be accompanied by valid share certificates/holding reports

6). Payments after sale of shares will be effected after 3 working days.

7). In respect of clients dealing in shares, Invictus Securities through the directive of the Securities Exchnage Commision of Zimbabwe (SECZ) and Zimbabwe Stock Exchange(ZSE), will deduct statutory fees and/or commision

8). 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

9). 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.

10). Agree that as an agent Invictus Securities will under no circumstances receive cash or open cheques to clients.

CLIENT DECLARATION: I Agree that all information provided in this form is true and correct and that all the documentation information provided in support of such application is genuine.

CLIENT NAME:	
CLIENT AUTHORISED 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

MANDATORY COMPLIANCE REQUIREMENTS(KYC)

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

1	**Certficate of Incorporation**
2	**Certfied copies of IDs for all Directors**
3	**Proof of company's Address (any of recent utility bill)**
4	**Memorandum of Association/Constitution/Trust Deed/Partnership Deed**
5	**CR16- for declarartion of Ultimate Beneficiary Owners**
6	**Proof of residence for All Directors and Signatories(copy of recent utility bills)**
7	**Evidence of Source of Funds- Bank Statement**
8	**A Board resolution authorising the use of Invictus Securities (Pvt) Ltd as your broker**
9	**Passport-Size photographs of ALL Directors**
10	**Valid Tax Clearance Certificate**
10	

For Invictus Office Use Only

KYC CHECK LIST

	KYC Document	*Tick(If Avalaible)*	*Verified*	*Certified*	*Comment*
1	*Certficate of Incorporation*				
2	*Certfied copies of IDs for all Directors*				
3	*Proof of company's Address (any of recent utility bill)*				
4	*Memorandum of Association/Constitution/Trust Deed/Partnership Deed*				
5	*CR16- for declarartion of Ultimate Beneficiary Owners*				
6	*Proof of residence for All Directors and Signatories(copy of recent utility bills)*				
7	*Proof of residence for All Directors and Signatories(copy of recent utility bills)*				
8	*A Board resolution authorising the use of Invictus Securities (Pvt) Ltd as your broker*				
9	*Passport Photos for all Directors*				
10	*Valid Tax Clearance Certficate*				

Received & Checked by:

Aproved by: Compliance Officer …...; Perceived AML-Client Risk Profile …..

: Management …..

CLIENT CSD NO" :