



ORIENTAL SECURITIES (PVT) LTD.

Corporate Brokerage House (TREC No. 148): Pakistan Stock Exchange Ltd.
 Head / Regd. Office: Room # 731-732, 7th Floor, Pakistan Stock Exchange Building,
 Stock Exchange Road, Off. I. I. Chundrigar Road, Karachi, Pakistan.
 Tel: 021-32446 744 & 47 EMAIL: oslmail@yahoo.com WEB: www.osl.com.pk
 NTN: 1336933-4, SNTN: S1336933-4
 Securities Broker License No. BRP-115

LF : _____
 REF # : _____
 SUB-A/C NO : _____

Please Print, Fill, Sign and Send this document to our Email oslmail@yahoo.com OR Whatsapp at +923008204910 along with the Required Documents.
 Documents Required to be submitted & Guidance for the same is included in "OSL Account Opening Guide" enclosed.

ONLINE CUSTOMER RELATIONSHIP FORM (OCRF) FOR NEW CLIENTS – SELF CERTIFICATION

BASIC DETAILS												
1	Full Name (as per ID Document)											
2	Father / Husband's Name											
3	CNIC / SNIC / NICOP / _____							-				
4	Date of Issue											
5	Date of Expiry											
6	Place of Birth											
7	Mother's Maiden Name											
8	Marital Status		Single			Married			Other (PL. SPECIFY):			
9	Nationality		Pakistani Only			Pakistani &			Foreigner (PL. SPECIFY COUNTRY)			
10	Country of Residence		Pakistan						Other (SPECIFY):			
CONTACT DETAILS												
11	Mobile											
12	Email											
13	Landline – Office											
14	Landline – Residence											
ADDRESS DETAILS												
15	Existing Residential Address											
	Please tick (✓) & attach evidence if it is verifiable from		CNIC			Bank Statement			Driving License		Insurance Policy	
			Tax Return			Utility Bill in my name			Rental Agreement		Any other	
16	Mailing Address											
	Please tick (✓) & attach evidence if it is verifiable from		CNIC			Bank Statement			Driving License		Insurance Policy	
			Tax Return			Utility Bill in my name			Rental Agreement		Any other	
17	Permanent Address											
	Please tick (✓) & attach evidence if it is verifiable from		CNIC			Bank Statement			Driving License		Insurance Policy	
			Tax Return			Utility Bill in my name			Rental Agreement		Any other	
NOMINEE DETAILS												
18	Full Name of Nominee											
19	CNIC / SNIC ETC.							-				
20	Date of Issue											
21	Date of Expiry											
22	Relationship with Applicant Please tick (✓)		Spouse			Father			Mother		Brother	
			Son			Daughter			Sister			
23	Nominee Mobile											
24	Nominee Residential Address											

WHO TO APPROACH IF APPLICANT IS NOT CONTACTABLE ON GIVEN CELL / PHONE NOS.

27	Full Name of Contact Person 1	
28	Relationship with Applicant	
29	Mobile	
30	Full Name of Contact Person 2	
31	Relationship with Applicant	
32	Mobile	

WORK DETAILS

33	Occupation Please tick <input checked="" type="checkbox"/> the relevant	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Business	<input type="checkbox"/> Housewife
		<input type="checkbox"/> Retired Person	<input type="checkbox"/> Student	<input type="checkbox"/> Business Executive
		<input type="checkbox"/> Professional	<input type="checkbox"/> Service	<input type="checkbox"/> Govt. / Public Sector
		<input type="checkbox"/> Household	<input type="checkbox"/> Industrialist	<input type="checkbox"/> Others (specify)
34	Job Title / Designation			
35	Department / Organization			
36	Name of Employer / Business			
37	Address of Employer / Business			
38	Gross Annual Income Please tick <input checked="" type="checkbox"/> the relevant	<input type="checkbox"/> Up to Rs. 100,000	<input type="checkbox"/> Rs. 250,001 - 500,000	<input type="checkbox"/> Rs. 1,000,001 – 2,500,000
		<input type="checkbox"/> Rs. 100,001 - 250,000	<input type="checkbox"/> Rs. 500,001 - 1,000,000	<input type="checkbox"/> Above Rs. 2,500,000
39	Source of Income?			

BANK DETAILS

40	Title of Account																		
41	Bank Name																		
42	Bank Branch																		
43	IBAN	P	K	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	

NON-RESIDENT PAKISTANI / FOREIGNER DETAILS

All Non-Resident Pakistanis & Foreigners (Non-US) are required to fill CRS Form - Annexure B
All US Nationals / Green Card Holder are required to fill FATCA Form – Annexure C

44	Country of Residence																		
45	Cell # / Tel # - Outside Pakistan																		
46	Address – Outside Pakistan																		
47	NICOP / Passport Details																		
48	NICOP / Passport No.																		
49	Place of Issue / Country of Issue																		
50	Date of Issue / Date of Expiry																		

51 DECLARATION OF ULTIMATE BENEFICIAL OWNER

i)	WHERE ACCOUNT HOLDER / APPLICANT IS THE UBO This is to certify that the Ultimate Beneficial Owner of this account is none other than the account holder(s)	Signature of Account Holder
ii)	WHERE THE UBO IS OTHER THAN THE ACCOUNT HOLDER / APPLICANT This is to certify that the Beneficial Owner of this account is other than the account holder(s) and his particulars are as under:	Signature of Applicant
Name		
CNIC		
Mobile		
Address		
Relationship with AH / Applicant		

I hereby certify that whatever stated above is correct to the best of my knowledge and belief.

SIGNATURE

APPLICANT



For **ORIENTAL SECURITIES (PVT.) LTD.**



ORIENTAL SECURITIES (PVT) LTD.

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 EMAIL: oslmail@yahoo.com WEB: www.osl.com.pk

MAIN
 APPLICANT

CUSTOMER'S SELF CERTIFICATION / DECLARATION KYC / SDD / CDD / EDD/ AML / CFT

I	am pleased to certify as under:																				
QUESTIONS - SDD											RESPONSE / REMARKS										
1	What is the purpose of opening this brokerage account?																				
2	Who is the beneficial owner of this account? If the beneficial owner is other than yourself, provide his Name, CNIC & Relationship with you.																				
3	What is your educational qualification?																				
4	What is your previous experience of investing in stock market?																				
5	If the account is held jointly, what is the percentage of sharing of each?																				
6	Have you ever been refused account opening by another Brokerage House																				
QUESTIONS – CDD																					
1	Are you a Resident Pakistani (RP) or Non-Resident Pakistani (NRP)																				
2	Countries of which you are resident other than Pakistan.																				
3	The countries of which you are national.																				
4	The country / countries of which you are tax payer																				
5	Are you a US Citizen or Green Card Holder?																				
6	What is your TIN # / Social Security No. in US																				
7	Are you based in or linked to high risk jurisdictions as per FATF?																				
8	Are you based in or linked to U.N. sanctioned countries?																				
9	Are you based in or linked to offshore centers or tax havens?																				
10	Are you or near relative / associate of a Politically Exposed Person (PEP). PEP includes politicians, top bureaucrats: judicial, civil and military officers																				
11	Do you deal in gold, diamonds & other high value items?																				
QUESTIONS – EDD																					
1	What is your annual (actual / estimated) income?																				
2	How much liquid funds are available with you?																				
3	Are you a tax filer? If yes, please provide the following: i) Your latest Tax Return ii) Your latest Wealth Statement																				
4	What are the sources of above funds? In the absence of tax record can you please furnish evidence of sources of your funds by providing the following: i) An explanatory note giving details of sources ii) Evidence of savings, loans, gifts, inheritance, sale of property etc.																				
ANY OTHER INFORMATION OR DETAILS YOU MAY LIKE TO SHARE WITH US																					
I further certify that any change in my sources of Income, Funds, Nationality, Tax Residence Status and or other changes affecting my profile shall be intimated to your office, along with the evidence immediately. I hereby certify that whatever stated above is correct to the best of my knowledge and belief.																					
Title of Account :																					
CNIC											Date	D	D		M	M		Y	Y	Y	Y
Ledger Folio :											Signature:										



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NTN: 1336933-4, SNTN: S1336933-4
Securities Broker License No. BRP-115

SPECIMEN SIGNATURE(S) CARD

For the Purposes of Stock Brokerage Account Only

FULL NAME : _____
CNIC NO. : _____
LEDGER FOLIO : _____
DATE : _____

S. #	FULL NAME	SIGNATURE(S)
1.		
2.		
3.		

REMARKS (if any)

FOR OFFICE USE ONLY

The above Signatures have been verified from

Verified by

CNIC

Name : _____

SNIC

Designation : _____

Other Documents : _____



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CUSTOMER RELATIONSHIP FORM FOR INDIVIDUAL(S)

Annexure-A

TERMS AND CONDITIONS

Please read and understand the Terms and Conditions before signing and executing this form

These Terms and Conditions shall constitute a Contract between the Parties hereto. This Contract shall govern opening, maintenance and operations of Trading Account, CDC Sub-Account(s) and sharing of UIN and KYC information to/from NCCPL and ancillary matters connected therewith.

GENERAL TERMS AND CONDITIONS

1. All Trades, Transactions, including non-Exchange Transactions, Derivative Contracts and deals (jointly referred to as "Transactions") between the Parties and Clearing and Settlement thereof and opening, maintenance and operations of Sub-Account in the CDS shall be subject to the Securities Act, 2015, Central Depositories Act, 1997, Pakistan Stock Exchange Limited (PSX) Regulations, Central Depository Company of Pakistan Limited (CDC) Regulations, CKO Regulations, 2017, National Clearing Company of Pakistan Limited (NCCPL) Regulations and the Securities Brokers (Licensing and Operations) Regulation, 2016 including Procedures, Manuals, Policies, Guidelines, Circulars, Directives, and Notifications issued and as amended) thereunder by the Securities and Exchange Commission of Pakistan (SECP), PSX, CDC or NCCPL from time to time.
2. The information provided in KYC application form and/or CRF shall be in addition to and not in derogation of the requirements prescribed under Anti-Money Laundering and Countering Financing of Terrorism Regulations, 2018.
3. The Securities Broker/Participant shall ensure provision of copies of all the relevant laws, rules and regulations at its office for access to the Sub-Account Holder(s)/Customer(s) during working hours. The Securities Broker/Participant shall ensure that its website contains hyperlinks to the websites/pages on the website of PSX, CDC, NCCPL and the SECP displaying above said regulatory framework for reference of the Customers.
4. In case of a Joint Account, all obligations and liabilities of the Applicants under these Terms and Conditions shall be joint and several.
5. These Terms and Conditions shall be binding on the nominee, legal representative, successors in interest and/or permitted assigns of the respective Parties hereto.
6. The Securities Broker/Participant shall provide a list of its Registered Offices and Representatives authorized and employees designated to deal with the Sub-Account Holder(s)/Customer(s) along with their authorized mobile/landline/fax number(s), email and registered addresses. Any change(s) therein shall be intimated in writing to the Sub-Account Holder(s)/Customer(s) with immediate effect.
7. Subject to applicable laws, the Securities Broker/Participant shall maintain strict confidentiality of the Customer related information and shall not disclose the same to any third party. However, in case the SECP, PSX, CDC or any competent authority under the law, as the case may be, requires any such information, the Securities Broker/Participant shall be obliged to disclose the same for which the Customer shall not raise any objection whatsoever.
8. The Securities Broker/Participant shall independently verify any of the Customer's related information provided in this Form and under the relevant laws, rules and regulations for the purpose of KYC.
9. In case of any change in the Customer's related information provided in this Form, the Customer shall provide necessary details to the Participant/Securities Broker. Upon receipt of instruction from the Customer, the Participant/Securities Broker shall give effect to such changes in the manner prescribed under the relevant regulations. The Participant/Securities Broker shall have the right to incorporate any change(s) in the Sub-Account Holder(s)/Customer's information in the CDS as sent by NCCPL as CKO and that such change(s) shall be deemed to have been authorized by the Sub-Account Holder(s)/Customer(s). In case of any change in the Participant's/Securities Broker's address or contact numbers or any other related information, the Securities Broker/Participant shall immediately notify the Sub-Account Holder(s)/Customer(s).
10. Any change in this Form or these Terms and Conditions by virtue of any changes in the aforesaid legal frameworks shall be deemed to have been incorporated and modified the rights and duties of the Parties hereto. Such change(s) shall be immediately communicated by the Securities Broker/Participant to the Sub-Account Holder(s)/Customer(s).
11. The Securities Broker/Participant and the Customer shall be entitled to terminate this Contract without giving any reasons to each other after giving notice in writing of not less than one month to the other Party. Notwithstanding any such termination, all rights, liabilities and obligations of the Parties arising out of or in respect of Transactions entered into prior to the termination of this Contract shall continue to subsist and vest in /be binding on the respective Parties or his /her/ its respective heirs, executors, administrators, legal representatives or successors in interest and permissible assigns, as the case may be. Closure of Sub-Account of the Customer under this clause shall be subject to the condition that neither any corporate action is pending at that point of time in connection with any Book-entry Securities in the Sub-Account nor any Book-Entry Securities are in Pledged Position and that the outstanding dues, if any, payable by any Party to the other Party is cleared and that the Customer has transferred or withdrawn all the Book-Entry Securities from his/her Sub-Account.
12. Where applicable, the terms "Sub-Account Holder" and "Participant" used in this Form shall include the "Customer" and "Securities Broker/TRE Certificate Holder" respectively.
13. The Securities Broker/Participant should ensure due protection to the Sub-Account Holder / Customer regarding rights to dividend, rights or bonus shares etc. in respect of transactions routed through it and not do anything which is likely to harm the interest of the Sub-Account Holder with/from whom it may have had transactions in securities.
14. The Participant/Securities Broker shall ensure that duly filled in and signed copy of this form along with the acknowledgement receipt is provided to the Sub-Account Holder.

TERMS AND CONDITIONS FOR OPENING AND OPERATIONS OF CDC SUB-ACCOUNT

The Terms and Conditions set herein below shall govern the Sub-Account forming part of the Account Family of the CDS Participant Account of the Participant, which shall be binding on the Sub-Account Holder as well as the Participant:

1. The Registration Details and such other information specified by the Applicant in this form for opening of the Sub-Account shall appear in the Sub-Account to be established by the Participant in the CDS who shall ensure the correctness and completeness of the same.
2. The Book-entry Securities owned by the Sub-Account Holder shall be exclusively entered in the Sub-Account of such Sub-Account Holder.
3. Transfer, Pledge and Withdrawal of Book-entry Securities entered in the Sub-Account of the Sub-Account Holder shall only be made from time to time in accordance with the authorization given by the Sub-Account Holder to the Participant in Part (E) above pursuant to Section 12 and 24 of the Central Depositories Act, 1997. Such authorization shall constitute the congregated / entire authorizations by the Sub-Account Holder(s) in favour of the Participant and supersedes and cancels all prior authorizations (oral, written or electronic) including any different, conflicting or additional terms which appear on any agreement or form the Sub-Account Holder(s) has executed in favour of the Participant.
4. Participant shall be liable to give due and timely effect to the instructions of the Sub-Account Holder given in terms of the above-referred authorization with respect to transfer, pledge and withdrawal of Book-entry Securities entered in his/her Sub-Account under the control of the Participant. Such instructions, among other matters, may include closing of Sub-Account.
5. Participant shall send within 10 days of end of each quarter Account Balance statement to the Sub-Account Holder without any fee or charge showing the number of every Book-entry Security entered in his/her Sub-Account as of the end of the preceding quarter. Such Account Balance statement shall be generated from the CDS. Further, the Sub-Account Holder may request for such statement (including Account Activity reports) from the Participant at any time on payment of a fee on cost basis as prescribed by the Participant. The Participant shall be liable to provide such report/statement to the Sub-Account Holder within 3 Business Days from the date of receipt of such request, with or without charges.

6. In consideration for the facilities and services provided to the Sub-Account Holder by the Participant, the Sub-Account Holder shall pay fees and charges to the Participant as applicable for availing such facilities and services under the Central Depositories Act, 1997, the Regulations and these Terms & Conditions. In case of outstanding payment against any underlying market purchase transaction, charges and/or losses against the Sub-Account Holder, the Participant shall have the right, subject to Clause 3 above and under prior intimation to the Sub-Account Holder to clear the payment, charges and/or losses (including any shortfall in margin requirements) within the reasonable time prescribed by the Participant, to dispose off the necessary number of Book-entry Securities of the Sub-Account Holder through market-based or Negotiated Deal Market sell transaction and apply the net proceeds thereof towards the adjustment of such outstanding payment, charges and/or losses.
7. Where admission of Participant to the CDS is suspended or terminated by the CDC, the Sub-Account Holder shall have the right, subject to the Regulations and the Procedures made thereunder, to request CDC to change his/her Controlling Account Holder and Participant shall extend full cooperation to the Sub-Account Holder in every regard, without prejudice to its right of recovery of any dues or receivable from the Sub-Account Holder.
8. The provision of services as provided for hereunder shall not constitute Participant as trustee and the Participant shall have no trust or other obligation in respect of the Bookentry Securities except as agreed by the Participant separately in writing.
9. The Participant is not acting under this application form as Investment Manager or Investment Advisor to the Sub-Account Holder(s).

TERMS AND CONDITIONS FOR TRADING ACCOUNT

1. In case any dispute in connection with the Transaction between the Securities Broker and the Customer is not settled amicably, either Party may refer the same to the Arbitration in accordance with the arbitration procedures prescribed in PSX Regulations. The decision of arbitrators shall be binding on both the Parties subject to their rights of appeal in the manner provided in PSX Regulations, if exercised. The name and other relevant particulars of the Customer shall be placed on PSX's website accessible to Securities Brokers if the Customer fails or refuses to abide by or carry out any arbitration award passed against him/her and the Customer shall have no objection to the same.
2. The assets deposited as margin by a Customer with the Securities Broker shall only be used by the Securities Broker for the purposes of dealing in securities through PSX on behalf of such Customer other than as authorized by the Customer in writing in the manner prescribed under the relevant regulations.
3. The Securities Broker may deposit unutilized funds of the Customers in a separate profit-bearing bank account and shall distribute profit to the Customers out of total profit offered by bank(s) on such funds, unless specified otherwise in writing by the Customer.
4. The Securities Broker shall be authorized to act on the instructions of the Customers given through any of the following modes of communication unless specifically designated by the Customer in the Form:
 - a. Telephonic communication over a dedicated telephone line(s) routed through centralized call recording system;
 - b. Email/SMS/Fax/Letter on the authorized email address/mobile/fax/address of the Securities Brokers;
 - c. Verbal orders placed through personal appearance in the registered office subject to receipt of written acknowledgement of such in-person orders by Securities Brokers.
5. The Securities Broker shall make out the Contract Note (physical or electronic form) to the Customers in respect of trades executed on their behalf based on their order instructions not later than the start of next trading day as required under the Securities Brokers (Licensing and Operations) Regulations, 2016 through any of the following acceptable modes of communication unless specifically designated by the Customer in the Form:
 - (a) Recognized courier service;
 - (b) Registered Post at given correspondence address;
 - (c) Facsimile number provided on the Form;
 - (d) By hand subject to receipt/acknowledgement; or
 - (e) Email provided on the Form in case of Electronic Contract Note.

All such transactions recorded by the Securities Broker in the prescribed manner shall be conclusive and binding upon the Customer unless the Customer raises observation relating to unauthorized execution of such transaction or any error in the Contract Note within one trading day of the receipt of such Contract Note. In the event of any dispute relating to order placement or executing of orders, the burden of proof shall be on the Securities Brokers to establish the authenticity of such order placement or execution thereof.
6. In case the Customer fails to deposit additional margins within one trading day of the margin call (in writing), the Securities Broker shall have absolute discretion to liquidate the Customer's outstanding positions including the securities purchased and carried in such account to meet the margin shortfall without further notice to the Customer.
7. The Securities Broker shall be responsible for the payment of any credit cash balance available in the account of the Customer through cross cheques or other banking channels (instruments) only within one (1) trading day of the request of the Customer subject to the maintenance of the margin requirements.
8. The Customer is aware that in the event of his/her non-payment on settlement day against securities bought on his/her account, the Securities Broker may transfer such securities to its Collateral Account under intimation to PSX in the manner as provided in PSX Regulations.
9. The Securities Broker shall accept from the Customer payments through "A/c Payee Only" crossed cheque, bank drafts, pay orders or other banking channels drawn on Customer's own bank account in case of amounts in excess of Rs. 25,000/-. Electronic transfer of funds to the Securities Broker through banks would be regarded as good as cheque. The Securities Broker shall provide the receipt to the Customer(s) in the name of the Customers duly signed by its authorized employee and the Customer(s) shall be responsible to obtain the receipt thereof. In case of cash dealings, proper receipt will be taken and given to the Customer(s), specifically mentioning if payment is for margin or the purchase of securities. The Securities 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 Securities Broker to accept cash in excess of Rs.25,000/-, the Securities Broker shall immediately report within one trading day such instances with rationale thereof to the PSX in accordance with the mechanism prescribed by PSX.
10. The Securities Brokers shall make all payments to the Customers through crossed cheques / bank drafts / pay orders or any other banking channels 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 prescribed under the Securities Brokers (Licensing and Operations) Regulations, 2016.
11. The Securities Broker shall provide to the Customers a quarterly Account Statement which shall include cash and securities ledgers as back office and CDC Sub-Account records along with reconciliation of any differences therein through any of the aforesaid modes of communication. In case of any discrepancy in the ledger statement, the Customer shall inform the Securities Broker within seven (7) days of receipt of the quarterly account statement to remove such discrepancy. Further, the Securities Broker shall provide to a Customer an Account Statement for a period specified by the Customer as and when requested by such Customer.
12. The Customer shall pay all applicable taxes and statutory and regulatory fee and levies and brokerage commissions as are prevailing from time to time in connection with the brokerage services rendered. The Securities Broker/Participant can debit up to the accrued amount of levies and charges the account of the Customers for the above mentioned charges, which shall be clearly detailed in the ledger statement/daily confirmations. Any change resulting in an increase in the brokerage commission shall take effect not earlier than five (5) trading days of intimation of the same to the Customers through acceptable mode of communication prescribed in the Form.
13. The Securities Broker shall append a Risk Disclosure Document with this Form in accordance with the specimen provided by PSX.

DECLARATION & UNDERTAKING

I/We, the undersigned Applicant(s), hereby declare/undertake that:

- a) I/We am/are not minor(s);
- b) I/We am/are of sound mind;
- c) I/We have not applied to be adjudicated as an insolvent and that I/We have not suspended payment to any financial institution and that I/We have not compounded with my/our creditors;
- d) I/We am/are not an undischarged insolvent;
- e) I/We confirm and acknowledge that I/We have received the Terms and Conditions, duly stamped, dated, and signed by the Compliance Officer of Securities Broker/Participant, as an annexure to this Form at the time of signing of this Form and have carefully read, and understood and accepted the above attached Terms and Conditions which are deemed to be a part of this Form and I/We hereby unconditionally and irrevocably agree and undertake to be bound by and to comply with the above attached Terms and Conditions and any other terms and conditions provided to me/us and placed on the website of the Securities Broker/Participant, which may be notified from time to time with the approval of the concerned authorities modifying or substituting all or any of the above attached Terms and Conditions in connection with the opening, maintenance and operation of the Sub-Account / Trading Account, as the case may be;
- f) I/We hereby confirm that the Terms and Conditions shall constitute a Contract between the Parties hereto and govern opening, maintenance and operations of Trading Account, Sub-Account which shall be binding on the Sub-Account Holder as well as the Securities Broker/Participant and sharing of UIN and KYC information to/from NCCPL and ancillary matters connected therewith;
- g) The information furnished in this form is complete, valid, true and correct to the best of my/our knowledge and I/We shall inform the Securities Broker/Participant immediately in writing of any change therein;

- h) In case any of the above information is found to be false or misleading or suspension of any material fact, will render my/our Sub-Account/Trading Account, as the case may be, liable for termination and I/We shall be subject to further action under the law;
- i) All the documents filed/submitted by me/us for the purpose of this application are genuine and valid, bearing genuine signatures and stamps of duly authorized individuals/representatives and are in accordance with the applicable law;
- j) I/We agree that I/we shall not place any trading order in case of any concern or disagreement with any Terms and Conditions shared by Securities Broker/Participant and placement of trading order shall mean that I/we have affirmed/consented with the Terms and Conditions; and
- k) I/We hereby now apply for opening, maintaining, and operating of /Sub-Account/Trading Account, as the case may be, with the Securities Broker/Participant.

I the undersigned as Securities Broker/Participant, hereby declare/undertake/confirm that:

- l) I have provided in full the Terms and Conditions attached as an Annexure to this Form to the Customer/Sub-Account Holder at the time of filing of this Form and I hereby further confirm that provided Terms and Conditions are available on our website and update the same immediately upon occurrence of any change in Terms and Conditions. I further confirm that trading account/Sub-Account of customer/Sub-Account Holder shall be activated/opened only upon affirmation of the Terms and Conditions by the customer/Sub-Account Holder; and
- m) I have no doubt or concern that the Terms and Conditions shared with Customer/Sub-Account Holder by us are not updated and has any difference when compared with the specified Terms and Conditions and the attached Terms and Conditions also form part of this Form.

DISCLAIMER FOR CDC ACCESS SERVICES

The main objective of providing information, reports and account maintenance services through the Interactive Voice Response System, Internet /Web access and Short Messaging Service ("SMS") or any other value added service is to facilitate the /Sub-Account Holders ("Users") with a more modern way to access their information. CDC makes no other warranty of the IVR, Internet /Web access, SMS or any other value added services and Users hereby unconditionally agree that they shall make use of the internet/web access subject to all hazards and circumstances as exist with the use of the internet. CDC shall not be liable to any Users for providing and making available such services and for failure or delay in the provision of SMS to Users and all Users, who use the IVR, internet access, SMS or any other value added services, shall be deemed to have indemnified CDC, its directors, officers and employees for the time being in office and held them harmless from and against any losses, damages, costs and expenses incurred or suffered by them as a consequence of use of the IVR system, internet/web access, SMS or any other value added services.

All Users hereby warrant and agree that their access of the internet /web by the use of a User-ID and login is an advanced electronic signature and upon issuance of such User-ID to the user, they hereby waive any right to raise any objection to the compliance of the User-ID and login with the criteria of an advanced electronic signature.



All Users shall by signing this Form and by their conduct of accessing the IVR, internet/Web access, SMS or any other value added services agree to all the terms and conditions and terms of use as shall appear on the CDC website at www.cdaccess.com.pk which shall be deemed to have been read and agreed to by the Users before signing this form.

TRANSMISSION OF TRADE CONFIRMATION MEMO

Compliance of rule 4.19 PSX Rule Book & the law on the subject

Reference above, we will be transmitting details (as required under the Law) of your Daily Executed Trades, to you at your given email address, within 24 hours of your trade. You are advised to view your reported trades daily and in the event of any discrepancy the matter may be reported to the house, for its resolution, without any loss of time.

SIGNATURE

		
APPLICANT – MAIN	JOINT ACCOUNT NO. 1	
JOINT ACCOUNT NO. 2	JOINT ACCOUNT NO. 3	

For **ORIENTAL SECURITIES (PVT.) LTD.**

ACCOUNT OPENING CHECKLIST (OFFICE USE)

FULL NAME: _____ **LF:** _____ **REF:** _____

Initial Deposit Amount: _____ CASH CHEQUE BANK TRANSFER

CUSTOMER IDs

CNIC of Applicant
 CNIC of Nominee

MOBILE PHONE OWNER

APPLICANT
 OTHER (Exemption Undertaking attached)

ADDRESS VERIFIED THROUGH

Evidence in re	Mailing Address	Current Residence	Permanent Residence
CNIC			
Bank Statement			
Tax Return			
Utility Bill			
Rental Agreement			
Others			

ZAKAT DECLARATION

Muslim Non-Payable
 Non-Muslim (N.A. Affirmation)
 Muslim Payable

PROOF OF FUNDS

Non-Filer
 Filer
 Tax Return & Wealth Statement **TY-**

BANK INFORMATION

Cheque Leaf for IBAN
 Bank Statement

OTHERS

Declaration of UBO (if applicable)
 Specimen Signature Card

OCCUPATION SPECIFIC DOCUMENTS

SALARIED PERSON		SOLE PROPRIETORSHIP		RETIRED PERSON	
<input type="checkbox"/>	Pay Slip OR	<input type="checkbox"/>	Request on Business Letterhead	<input type="checkbox"/>	Evidence of Retirement Including Golden Handshake / Voluntary Retirement
<input type="checkbox"/>	Certificate of Employer	<input type="checkbox"/>	Visiting Card(optional)	<input type="checkbox"/>	Address of Employer
<input type="checkbox"/>	Visiting Card(optional)	<input type="checkbox"/>		<input type="checkbox"/>	Pension Letter / Book (if applicable)

SELF EMPLOYED PROFESSIONAL		AGRICULTURIST		HOUSEWIFE	
<input type="checkbox"/>	Request on Official Letterhead	<input type="checkbox"/>	Proof of Ownership of Land	<input type="checkbox"/>	Proof of Sources of Funds - Personal Savings, Inheritance, Marriage Gifts, Other Gifts / Loan from Husband
<input type="checkbox"/>	Evidence of being member of Professional Body	<input type="checkbox"/>	Certificate / Documents from Local Revenue Authorities / Patwari	<input type="checkbox"/>	Self-Declaration of Sources of Funds
<input type="checkbox"/>	Visiting Card(optional)	<input type="checkbox"/>	Self-Declaration of Sources of Funds	<input type="checkbox"/>	

STUDENT	
<input type="checkbox"/>	Student ID Card OR
<input type="checkbox"/>	Letter of Enrolment etc.
<input type="checkbox"/>	Proof of Sources of Funds Personal Savings, Inheritance, Other Gifts
<input type="checkbox"/>	Self-Declaration of Sources of Funds

SCREEN THROUGH PROSCRIBED LISTS

Applicant Nominee

NADRA E-VERISYS

Applicant Nominee

BACK OFFICE

Client Data Entry Commission Applied

INTIMATION OF ACCOUNT ACTIVATION

Email Call



LIST OF BANK ACCOUNTS

Clients are advised, not to deposit Cash in any of our bank accounts given below.

Proof of Deposit, may please be sent, on Whatsapp No. 0300 200 8900 immediately.

Title of Account(s): Oriental Securities (Pvt.) Ltd. Client Account

S. #	Bank Name	Branch Code	Account Number	IBAN
1	Bank Al Habib Ltd. Stock Exchange Branch, Karachi	1012	1012-0081-006301-01-0	PK04 BAHL1012 0081 0063 0101
2	MCB Bank Ltd. Stock Exchange Branch, Karachi	1063	0732 9292 9100 0801	PK69 MUCB 0732 9292 9100 0801
3	Habib Bank Ltd. Stock Exchange Branch, Karachi	0035	0035 7900 0973 03	PK35 HABB 0000 3579 0009 7303
4	Bank Al Falah Ltd. Stock Exchange Branch, Karachi	0012	1004 4215 98	PK23 ALFH 0012 0010 0442 1598
5	Allied Bank Ltd. Stock Exchange Branch, Karachi	0632	0010 0012 9719 0027	PK21 ABPL 0010 0012 9719 0027
6	United Bank Ltd. Stock Exchange Branch, Karachi	0682	2183 7040 1	PK91 UNIL 0109 0002 1837 0401
7	JS Bank Ltd. Stock Exchange Branch, Karachi	9005	5465 32	PK20 JSBL 9005 0000 0054 6532
8	Meezan Bank Ltd. Stock Exchange Branch, Karachi	9909	0101 6019 11	PK61 MEZN 0099 0901 0160 1911
9	Bank Islami Pakistan Ltd. Stock Exchange Branch, Karachi	1010	0020 1129 0111 6	PK64 BKIP 0000 0201 1290 1116

ZAKAT DECLARATION FOR MUSLIMS

Under the provisions to sub-section (3) of section 1 of the Zakat and Ushr Ordinance, 1980) and Rule 20 of the zakat (collection and refund) Rules, 1981 sworn on oath before

I _____
 holding CNIC # _____ aged _____ r/o _____

do hereby solemnly swear in the name of Allah that:-

- (a) I am a Muslim and I follow _____ fiqh, (Name of the recognized fiqh)
 (b) According to my faith and the above said fiqh, I am not obliged to pay:-

Zakat on the following types of assets to the extent indicated against each:

1) GOLD & SILVER Ornaments or silver which is not in the form of coins	4) BANK ACCOUNTS All types including Saving Bank, Current Deposit, Notice Deposit, Fixed Deposit and similar accounts by whatever name described with the banks, Post Offices, National Savings Centers and Financial Institutions etc
2) PAPER CURRENCY	5) FUNDS Provident Fund, Gratuity, Annuity, etc. LOANS given to other and ALL OTHER INVESTMENTS , etc
3) LIFE INSURANCE POLICIES	6) SECURITIES All types including Shares, Debentures, N.I.T. Units, Mutual Funds Units, Defense Saving, Special Saving Certificates and accounts thereof Prize Bonds, Government Securities, etc

- (c) that what is stated above is true to the best of my knowledge and belief,

FULL NAME OF DEPONENT	SIGNATURE OF DEPONENT
Place of Declaration:	Date of Declaration:
WITNESS NO. 1	WITNESS NO. 2
Full Name:	Full Name:
S/o / D/o / W/o:	S/o / D/o / W/o:
Address:	Address:
Signature	Signature

The above declaration has been solemnly affirmed on oath before me on this _____ day of _____, 20____ by the above deponent in the presence of the above witnesses who identified the above deponent.

Place : _____
 Date : _____

 Name and Designation of The Person Administering Oath

To,
Oriental Securities (Pvt.) Ltd.
Room No. 731-732, 7th Floor,
Pakistan Stock Exchange Building,
Off. I.I. Chundrigar Road,
Karachi.

NON MUSLIMS ONLY
To be made on plain paper

Dear Sir(s),

SOLEMN AFFIRMATION - NON MUSLIMS ONLY

LEDGER NUMBER: _____

① I / We, _____ S/O D/O W/O _____
aged _____ residing at _____
_____ do hereby declare that I am Non-Muslim
(Religion _____) and according to my faith , I am not obliged to pay zakat.

② I / We, _____ S/O D/O W/O _____
aged _____ residing at _____
_____ do hereby declare that I am Non-Muslim
(Religion _____) and according to my faith , I am not obliged to pay zakat.

Further, what is stated above is true to the best of my / our knowledge and belief.

	NAME	SIGNATURE(S)
①		
	Place:	Date:
②		
	Place:	Date:
WITNESS NO. 1		WITNESS NO. 2
Name :	Name :	Name :
S/o :	S/o :	S/o :
CNIC :	CNIC :	CNIC :
Signature	Signature	Signature