Asteric
ASSET MANAGEMENT

ACCOUNT OPENING FORM (CORPORATE)

*PLEASE FILL ALL FIELDS

COMPANY INFORMATION

Date DD/MM/YYYY

Company/Business Name

Date of Registration DD/MM/YYYY R-C Number

Contact Person (s)

(Surname) (First Name) (Middle Name)

(Surname) (First Name) (Middle Name)

(Surname) (First Name) (Middle Name)

Affix Passport Photograph here

Corporate Phone Number

COMPANY DETAILS

Nature of Business

Industry Employer Size

Annual Revenue *(Please tick applicable box)*

Below ₦1M ☐ ₦10M – ₦100M ☐ ₦100M – ₦1B ☐ ₦1B - ₦10B ☐ ₦10B - ₦100B ☐ ₦100B & Above

COMPANY CONTACT DETAILS

Street City

State Post code/ Zip Code

Country

COMPANY BANKING DETAILS

Bank

Account name

Account no.

Branch

BVN

FOR OFFICIAL USE ONLY

DOCUMENT	RECIEVED
Completed Form	
Passport Photographs(s) of Directors	
Identification (Certificate of Incorporation, Particulars of Directors (Form CAC 7), Memorandum & Articles of Association)	
Proof of address (Notice of Address (Form CAC 3))	

I hereby declare that the details furnished above are true and correct to the best of my knowledge, information and belief and I undertake to inform Asteric Asset Management Limited of any changes therein, immediately. In the event that any of the above information is found to be false or untrue or misleading or misrepresented, I am aware that I may be held liable for it. I hereby consent to DL Merrifield sharing any of the information furnished in this form as it deems appropriate and as may be required by regulatory authorities.

Chief Contact signature

Account officer

Signature

Compliance Officer

Signature

Signature Specimen

MANDATE CARD

Affix Passport Photograph Here of contact person

Name of Signatory

(Surname) (First Name) (Middle Name)

Email Address

Class of Signature

Telephone Number

Mobile Number

Signature Specimen

Affix Passport Photograph Here of contact person

Name of Signatory

(Surname) (First Name) (Middle Name)

Email Address

Class of Signature

Telephone Number

Mobile Number

Signature Specimen

Affix Passport Photograph Here of contact person

Name of Signatory

(Surname) (First Name) (Middle Name)

Email Address

Class of Signature

Telephone Number

Mobile Number

AUTHORISED COMBINATION

NOTE: WE DO NOT ACCEPT CASH

DEALING MANDATE

I/We, the undersigned, hereinafter referred to as "the Client") hereby request and authorise you, Asteric Asset Management Limited (hereinafter referred to as "AAM"), to effect Transactions, on the Client's behalf on the following terms and conditions:

1. AAM is hereby authorised to purchase and/or sell securities for the client's account only on the Client's prior instructions. Such instructions shall, accordingly, be obtained from the Client in respect of each purchase and/or sale transaction (or series of transactions) effected by AAM. AAM is also authorised and empowered to perform such acts as are actually necessary to give effect to these instructions.

2. We understand that United Bank for Africa Plc (Global Investor Services) will act as our Custodian for the safekeeping of cash and securities. Accordingly, AAM shall not maintain custody of my/our cash or securities. All cash payments by me/us for the purpose of effecting transactions shall be made directly to the Custodial Account

3. I/We hereby take full responsibility for any loss occasioned by paying cash directly through account officers without any recourse to AAM

4. In effecting transactions on the Client's behalf:

   4.1. AAM shall procure the immediate payment by the Custodian to the Client or to the Clients' order, all cash proceeds received by the Custodian in respect of, or arising from, the execution of the Client's instructions in immediately available freely transferable funds.

   4.2. AAM and/or the Custodian shall be entitled to charge the client for expenses incurred in the process of executing transactions for the Client. Citihomes and/or the Custodian shall be entitled to debit such applicable charges from the Client's account prior to remitting cash.

   4.3. AAM is hereby authorized to have a personal interest in any transaction for the purchase and/or sale of the Client's securities, which personal interest may conflict with those of the Client. Unless requested by the Client in writing, AAM is not required to specifically disclose such interest to the Client prior to entering into such transactions.

   4.4. AAM is hereby requested and authorised at its sole discretion to provide any or all services, and to enter into and/or effect any and all transactions, via such methods of communication, including electronic means as AAM shall select at the its sole discretion on such terms and subject to such conditions as AAM shall specify from time to time.

5. I/We hereby agree that AAM shall be assisted in the discharge of its anti-money laundering responsibilities by me/us providing such information and evidence as AAM may request from time to time in this regard.

6. I/We agree that AAM shall have no responsibility for and shall be indemnified by me/us in full on demand against any loss, damage or other liability suffered or incurred by AAM in connection with any instruction or request from us, believed by AAM in good faith to have been given in accordance with this Mandate.

7. This Mandate shall only be cancelled by notice in writing or delivered by hand or sent by registered post by one party to the other party to the applicable address and such cancellation shall only become effective when the other party has received such notice.

8. In this Mandate the expression "Transaction" means and includes:

   8.1. any purchase and sale of or other dealing in commercial or government paper, bonds, certificates of deposit, equities and other securities on behalf of us; and

   8.2. such other transactions effected on my/our behalf or entered with me/us.

9. In the case of liquidation before maturity, the clients shall forfeit the interest accrued from the point of investment.

10. For its services, AAM shall earn 2% per annum of the Asset under Management at the point of purchase of my investment(s) (the "Fee"). The Fee shall be net of any charges applicable to my account and shall be debited directly from by account by AAM (or the Custodian where applicable).

11. AAM R reserves the right to review this dealing mandate from time to time to reflect market realities

12. This Mandate shall be governed by Nigerian law.
    I have read this Mandate or have had my solicitor review it and fully understand and acknowledge the terms herein contained.

ACCOUNT AUTHORISATION

TRANSACTIONS AUTHORISATION REQUIREMENTS: Please tick any of the following to confirm our authorisation for transactions on the account.

☐ By telephone

☐ By email

☐ By written authorisation

☐ Others, please specify

Please note that if no instruction restrictions are specified, AAM may, at its sole discretion, accept and act on any instruction or the purported instructions issued by you however given or originated including fax, telex, or any electronic system used by AAM from time to time. AAM may also, at its sole discretion, require at any time instructions from you.

DEED OF INDEMNITY – FOR ELECTRONIC INSTRUCTIONS

This deed of indemnity is made in favour of AstericAsset Management Limited (hereinafter referred to as "AAM " which expression shall where the context so permits include its successors-in-title and assigns).
WHEREAS:

1. The Client has opened an investment account(s) with AAM , and desires to issue investment instructions and other transaction documents to AAM , as may be required from time to time.

2. The Client hereby requests and AAM hereby agrees to act upon internet, electronic mails and scanned copies of documentation for banking facilities/transactions with AAM and for any instruction in respect of the account(s) and its operations as if same were originals and/or hard copies provided that the documentation and instructions are issued in line with the Client's mandate with AAM .

IT IS HEREBY AGREED AS FOLLOWS:

In consideration of AAM agreeing to accept internet, electronic mails and scanned copies of documentation for banking facilities and any instruction in respect of my investment account(s) and its operations.

I hereby irrevocably and unconditionally agree that all fax, internet, electronic mails and scanned copies of any documentation and/or instructions issued by me in respect of my account(s) or dealings with AAM shall be binding and enforceable against me. I further agree to fully indemnify AAM against any proceedings, claims, expenses and liabilities whatsoever which may be taken or made against or incurred by AAM by reason of AAM accepting the fax, internet, electronic mails, scanned copies of the documentation and/or instructions.

I further confirm that AAM may set-off any such expenses/cost incurred by it in respect of my obligations herein against any of my investment account(s) with AAM .

I agree to the above terms and conditions

Name:____________________________________

Signature:____________________________________

Declaration By Applicant

Source of Income ____

Account Type ____

Risk Profile

All investments involve an element of risk to capital and/or income and there will be periods when the short-term returns differ from the long-term objective. Please tick as appropriate

Risk Averse ☐ **Low** ☐ **Low to Medium** ☐ **Medium to High** ☐ **High** ☐

Investment Management Type: **Discretionary** ☐ **Non-Discretionary** ☐

Please Indicate if you are a Politically Exposed Person (PEP) or related/affiliated to a PEP. **Yes** ☐ **No** ☐

Politically Exposed Persons are persons who are or have been in the past) entrusted with a prominent public function (e.g Heads of State or Local government, governors, senior politicians, senior government officials, senior judicial or military officials, senior executives of state owned corporations, important political party officials, members of royal families etc)

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