



**FRANCIS DRUMMOND & CO. LTD**  
 Stockbroker  
 (Established in 1949)



CDSC A/C No.: \_\_\_\_\_  
 CODE No.: \_\_\_\_\_

**BROKERAGE ACCOUNT APPLICATION**

**NOTE**

- Please complete all sections of this form
- Sign and date the completed application form
- Attach the following to the completed application form, a certified as original copy of cert of Incorp/ Reg, National ID and PIN  
 We cannot process the application without the above items

**INDIVIDUAL / JOINT A/C (If Joint, see.....other completed form marked.....)**

A) (i). APPLICANT'S DETAILS (To be completed in BLOCK LETTERS) Date: \_\_\_\_\_

Title: Mr./Mrs./Miss./Dr./Prof./Eng./other \_\_\_\_\_

Date of birth \_\_\_\_\_ Last Middle First  
 Nationality \_\_\_\_\_

ID No. / Passport \_\_\_\_\_ Marital Status: \_\_\_\_\_

Next of kin: \_\_\_\_\_ Relationship: \_\_\_\_\_ Telephone No. \_\_\_\_\_

|  |             |                                  |
|--|-------------|----------------------------------|
| Dividend Disposal preference ( ) by bank, (please give details below) ( ) by Cheque (Tick one) |             |                                  |
| Bank details   | <u>Bank</u> | <u>Branch</u> <u>Account No.</u> |

Occupation & Nature of Business \_\_\_\_\_ Pin No. \_\_\_\_\_

(ii). Contact Details

Telephone no. \_\_\_\_\_ P.O. Box \_\_\_\_\_ Code \_\_\_\_\_

Residential address \_\_\_\_\_ Country \_\_\_\_\_ Email \_\_\_\_\_

Facebook \_\_\_\_\_ Twitter \_\_\_\_\_

(iii) Employment

Name of employer \_\_\_\_\_ Physical Address \_\_\_\_\_

Telephone \_\_\_\_\_ P.O. Box \_\_\_\_\_ Code \_\_\_\_\_ Town / city \_\_\_\_\_

Terms of Employment: Permanent/ contract expiry of contract \_\_\_\_\_

Post Held \_\_\_\_\_

(iv). Estimated monthly income levels (tick appropriate box)

Salary  0 – 10,000  10,001 – 50,000  50,001 – 100,000  100,001 – 500,000  Over 500,000

Other bonus  0 – 10,000  10,001 – 50,000  50,001 – 100,000  100,001 – 500,000  Over 500,000

Pension  0 – 10,000  10,001-50,000  50,001 – 100,000  100,001 – 500,000  Over 500,000

Directors: Ndung'u Gathinji (Chairman), King'ori Gathinji, Wangeci Kanjama, Peterson Wangai  
 Licensed by the Capital Markets Authority. Founder Member, Nairobi Securities Exchange  
 Correspondent firms: Dar es Salaam, Kampala, Johannesburg & London

(v). Are you a Director, 5% shareholder, or policy maker of a publicly listed company? \_\_\_\_\_

If yes, please explain \_\_\_\_\_

(vi). How did you learn of Francis Drummond? \_\_\_\_\_

(vii). Are you a relative or friend to any of our employee \_\_\_\_\_

If yes, give name and nature of relationship \_\_\_\_\_

(viii) I confirm that I will disclose the source of any funds into my/ our account if called upon to do so

**B) ACCOUNT OPERATING TOOLS**

➤ Statement cycle specify e.g. weekly, Monthly, Quarterly, Annually, \_\_\_\_\_

➤ Mandate: Is anybody else to operate my account (Yes / No)

If yes, attach authority letter and give the following particulars:

Name: \_\_\_\_\_ Telephone No.: \_\_\_\_\_

Box No. \_\_\_\_\_ Signature: \_\_\_\_\_

**DECLARATION:**

We/ I hereby,

- (i). Confirm that the details/ information we/I have given here above is correct in every respect and also that we/ I have read, understood and undertake to comply, observe and be bound by the terms and conditions set out herein.
- (ii). Undertake to notify my CDA any change of particulars or information provided by me/us in this form.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**OFFICIAL USE ONLY**

Name of Staff / Agent \_\_\_\_\_

Agent Code: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Checked by: \_\_\_\_\_

Signature: \_\_\_\_\_

Authorised by: \_\_\_\_\_

Signature: \_\_\_\_\_

**CUSTOMER INFORMATION CHECKLIST**

- For each Nationality, valid identification documents obtained and verified.
- Operating tools required indicated.
- Mandate signatures obtained (where applicable)
- Customer contact information obtained.
- Photographs obtained/ captured and authenticated
- Sources of income/ Funding obtained and verified.
- Foreign individual – letter from employer / students ID obtained.