



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



PLEASE AFFIX YOUR  
 PHOTO HERE

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 Incorporation/ 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 \_\_\_\_\_

\_\_\_\_\_ Last Middle First

Date of birth \_\_\_\_\_ 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	Bank	Branch Account No.

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.