



CDS ACCOUNT OPENING (CDS 1) FORM

MINOR ACCOUNT OPENING FORM

CDA CODE

CDS ACCOUNT NUMBER (NEW/EXISTING)

MINOR's DETAILS

PLEASE FILL DETAILS IN BLOCK

Gender Male ☐ Female ☐

Surname* Other Names*

Investor Category* (Tick as applicable) Local Investor (LI) ☐ Foreign Investor (FI) ☐ East African Investor (EI) ☐

Passport/Birth Certificate No* Passport Expiry Date

Date of Birth* Nationality/Citizenship*

Postal Address Postal Code City/Town

Physical Location (Town/City) Country of Residence*

Telephone Number* Country Code

Email Address*

INSERT COLOR
PASSPORT PHOTO

SIGNATORY DETAILS (PARENT/GUARDIAN)

PLEASE FILL DETAILS IN BLOCK

Surname* Other Names*

ID/Passport Number* Passport Expiry Date

ID Type* (Tick as applicable) National ID ☐ East African ID ☐ Passport ☐ Alien ID ☐

Relationship with the minor* Parent ☐ Guardian ☐

Date of Birth* Nationality/Citizenship*

KRA PIN* Country of Residence*

Postal Address Postal Code City/Town

Telephone Number* Country Code

Email Address* Physical Location (Town/City)

INSERT COLOR
PASSPORT PHOTO

ARE YOU OR ANY OTHER PERSON CONNECTED WITH THE APPLICATION CLASSIFIED AS A POLITICALLY EXPOSED PERSON (P.E.P) OR CONNECTED TO A P.E.P?

YES ☐ NO ☐

If yes, specify the name of the person and the relationship.

TAX STATUS

Tax Exempt* Yes ☐ No ☐ (If Yes, please attach a copy of your tax exemption certificate)



PAYMENT DETAILS (DIVIDEND DISPOSAL AND PROCEEDS OF SALE)

(Tick where applicable)

Domestic Bank ☐

International Bank ☐

Mobile Money Payment ☐

BANK DETAILS

Account Name

Account Number Bank Name

Branch Code (Domestic Banks) Bank Swift Code (International Banks)

Currency (International Banks) EURO ☐ USD ☐ GBP ☐ KES ☐ USH ☐ TZSH ☐ RFRANC ☐

Indicate any other currency

MOBILE MONEY PAYMENT DETAILS (Applicable only to Local Investors)

Mobile Operator

Phone Number

PARENTAL/GUARDIAN CONSENT

For your child to open/maintain a securities account with us, we will need to process their personal data collected in this form. CDSC is fully compliant with the data protection laws in Kenya and prioritises your child's best interests as we process their data.

Please see the Privacy Notice attached to this form for more information on how we handle your child's personal data.

We do require your consent to collect and process your child's data.

I give my consent for my child's (Name)

personal data collected in this form to be processed by CDSC and the approved third parties for the purpose of opening/maintaining a securities account with CDSC.

I confirm that I am above 18 years of age and have given this consent freely and on due authority.

Name (Parent/Legal Guardian)

Signature

INSERT SIGNATURE

Date

CLIENT DECLARATION

1. I/We certify that the information I/we have provided on this form and the documents I/we have attached are true, accurate and complete.
2. I/We declare that I am/we are the owner(s) of this CDS account.
3. I/We understand that any false or misleading information limits your ability to promote my/our right to privacy and when intentional, is a punishable criminal offence under the Laws of Kenya.
4. I/We certify that I/we have carefully read the Terms & Conditions and Privacy Notice attached to this form and I/we understand why you collect my/our personal information and how you safeguard my/our privacy.
5. I/We authorize CDSC to use the information collected in this form to open and maintain our securities account and for other related purposes.
6. I/We will notify CDSC or my/our CDA of any change of my/our information presented in this form and the documents I/we have attached.
7. I/We confirm that the funds used in the investment in securities are not arising out of proceeds of crime, money laundering and/or any illegal activities.
8. I/We indemnify CDSC against any claims arising out of the provision of any false or misleading information or for any costs or loss arising out of my/our conduct of the account.

**CLIENT DECLARATION (continued)**

Parent/Guardian Name _____

[illegible]

Signature

INSERT SIGNATURE

Date _____

D	D	M	M	Y	Y	Y	Y
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CDA SECTION

CDA DECLARATION

I hereby certify that I have verified the above information and that:

1. This form has been signed in my presence.
2. To the best of my knowledge and information, the name of the securities account holder as it appears on the account opening form refer to one and the same person/entity.
3. The person signing the account opening form has the proper authority to do so and I have examined the necessary documentary evidence.
4. We indemnify CDSC against any claims arising out of the failure to verify any information provided by the account holder.

Witnessed and verified by

[illegible]

Designation

[illegible]

Signature

INSERT SIGNATURE

Date _____

D	D	M	M	Y	Y	Y	Y
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Authorized by

[illegible]

Designation

[illegible]

Signature

INSERT SIGNATURE

Date _____

D	D	M	M	Y	Y	Y	Y
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CDA Stamp

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Attachment checklist (certified copies):

- ☐ ID/Passport of guardian/parent
 - ☐ 1 recently taken passport photos for minor and parent/guardian
 - ☐ Minor birth certificate or passport
 - ☐ Certified copy of KRA PIN certificate of guardian/parent
 - ☐ Certified copy of Tax exemption certificate (where applicable)
 - ☐ If not parent, produce Guardianship orders



FRANCIS DRUMMOND & CO. LTD

Stockbrokers (Est. 1949)

Website: www.drummond.co.ke

P.O. BOX 45465 – 00100, Nairobi

14th Floor, Finance House

Loita Street, Nairobi.

info@drummond.co.ke / customerservice@drummond.co.ke

MINOR ACCOUNT OPENING FORM

This form is for internal use by Francis Drummond. It is required to comply with the Proceeds of Crime and Anti-Money Laundering Act (POCAMLA) Regulations, 2023; CDSC, CMA, CFT, FATCA/CRS; and the Data Protection Act (Kenya). Please complete all applicable sections truthfully and provide supporting documentation where requested.

MINOR'S DETAILS

APPLICANT'S DETAILS (To be completed in BLOCK LETTERS)

Surname* _____ Other Names* _____

Date of birth _____ Nationality _____ Gender: ☐ Male ☐ Female ☐ Prefer not to say

SIGNATORY DETAILS (PARENT/GUARDIAN)

PARENT/GUARDIAN DETAILS (To be completed in BLOCK LETTERS)

Title: Mr./Mrs./Miss./Dr./Prof./Eng./other _____

Date of birth

D	D	M	M	Y	Y	Y	Y
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 ID No. / Passport _____ Nationality _____

Relationship with the minor*: ☐ Parent ☐ Guardian Gender: ☐ Male ☐ Female ☐ Prefer not to say

PARENTAL/GUARDIAN PROFILING

Investment Objective (Tick all that apply)

Knowledge Level: ☐ Beginner ☐ Intermediate ☐ Advanced

What are your primary investment goals?

☐ Capital Preservation (protect my money) ☐ Income (regular returns/dividends/interest)

☐ Growth (medium–long term appreciation) ☐ Speculation (high-risk, high-return opportunities)

☐ Retirement Planning ☐ Education Planning ☐ Other: _____

Preferred investment horizon:

☐ Short-term (less than 1 year) ☐ Medium-term (1–5 years) ☐ Long-term (5+ years)

PARENTAL/GUARDIAN CONSENT

We/ I hereby

Confirm that the details/ information we/I have given above are 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. I consent to the collection, processing, and sharing of my personal data in accordance with the Data Protection Act. Undertake to notify my CDA of any change of particulars or information provided by me/us in this form.

Signature: _____ Date:

D	D	M	M	Y	Y	Y	Y
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info@drummond.co.ke / customerservice@drummond.co.ke**OFFICIAL USE ONLY**

Name of Staff / Agent _____ Agent Code: _____

Signature: _____ Date:

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Checked by: _____ Signature: _____

Authorised by: _____ Signature: _____

CUSTOMER INFORMATION CHECKLIST☐ For each Nationality, valid identification documents for the guardian/parent were obtained and verified.☐ Mandate signatures obtained.☐ Customer contact information obtained☐ KRA PIN☐ Colored passport photographs of the minor and the guardian/parent obtained/captured and authenticated.☐ Sources of income/ Funding obtained and verified/M-Pesa/Bank Statement (6 Months).☐ Foreign individual - letter from employer /student's ID obtained