

**BROKERAGE ACCOUNT AGREEMENT - INDIVIDUALS**

Account No.
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**Individual Details**

Name: (First. Middle. Last)										SDC Number:				
Identification Number:										Type: [ID, Passport, etc. ...]				
Issuing Date: D/M/Y / /					Expiry Date: D/M/Y / /					Issuing Place:				
Date of Birth: D/M/Y / /					Citizenship:									

Home Address:										City:			Country:	
Home Telephone:					Home Fax:					Mobile Number:				
Email Address:					Source of funds:									
Profession:					Title:					Number of years at Current position:				
Company Name:										Company Field:				
Business Address:										City:			Country:	
Business Telephone:										Business Fax:				
Select Mailing Address:					<input type="checkbox"/> Home Address <input type="checkbox"/> Business Address					Mailing Language: <input type="checkbox"/> Arabic <input type="checkbox"/> English				
Investment Objective:					<input type="checkbox"/> Periodic Revenue <input type="checkbox"/> Short Term Capital Profits <input type="checkbox"/> Long Term Capital Profits									
Orders by:					<input type="checkbox"/> Telephone <input type="checkbox"/> Fax <input type="checkbox"/> Written <input type="checkbox"/> Email									

Are you, any of your relatives (second degree), or any of the authorized signatories on this account currently employed by any institution in the field of financial brokerage or portfolio management in Jordan?										<input type="checkbox"/> Yes (Indicate below) <input type="checkbox"/> No							
Name of Individual					Name of Company					Position held							
_____										_____							
Are you, or any of your relatives (second degree), or any authorized signatories on this account currently employed by EFG-HERMES?										<input type="checkbox"/> Yes (Indicate below) <input type="checkbox"/> No							
Name of Individual: _____										Position held: _____							
Are you a Chairman, a Board member, Insider, or own more than 5% of any Jordanian company that is listed on the ASE?										<input type="checkbox"/> Yes (Indicate below) <input type="checkbox"/> No							
1. Company Name			Percentage Owned			%			2. Company Name			Percentage Owned			%		
Do you trade in stock market through any other Brokerage or Portfolio management Company? <input type="checkbox"/> Yes (SDC Number ( _____ )) <input type="checkbox"/> No																	

**Tick the Appropriate Answer**

- Are there any issues we should be aware of when you acquire new investments?  
If yes, please specify: \_\_\_\_\_  Yes     No
- Are the revenues from your investments the primary source of income?  Yes     No
- Do you expect your annual income to increase over the coming five years?  Yes     No
- Do you have any other source of income for unexpected expenses?  Yes     No
- Marital status:     single     Married     Divorced     Widowed  
Number of dependents :     Zero     1-2 Persons     3-4 Persons     5 or More
- What is your knowledge level regarding investing in the stock market?  
 Simple     Basic     Good     Expert
- Amount allocated for investment: \_\_\_\_\_

**Tick the Appropriate Answer Continued**

8. What is your tolerance for short term fluctuations in the value of your portfolio?

- None                       Low                       Medium                       High

9. What is the time horizon to achieve your investment objectives?

- < 3 years                       < 5 years                       < 10 years                       > 10 years

10. How much do you expect to invest into your portfolio over the next 3 years in JOD?

- < 100k                       < 250k                       < 500k                       < 1 Million                       > 1 Million

**FATCA Self Declaration form for individuals**

1. Are you a citizen of USA?  Yes  No

2. Are you a resident of USA?  Yes  No

3. Do you hold USA Passport?  Yes  No

4. Were you born in USA & have not waived your US citizenship?  Yes  No

5. Do you hold USA Green Card?  Yes  No

6. Do you have an address in the USA?  Yes  No

7. Are you an American citizen whether you reside in the United States of America or not?  Yes  No

8. Are you a non-American citizen and visited United States of America during the past three years & you are not a diplomat, instructor, student or sports entrepreneur?  Yes  No

If answer of the above is yes, please specify the number of days spent in:

Current year ..... Previous year ..... Year before .....

**I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief. In case of any change in the above gives status on a future date, I undertake to inform EFG Hermes Jordan in writing within 7 days.**

**Power of attorney**

Name: (First. Middle. Last)												SDC Number:					
Sex: <input type="checkbox"/> Male <input type="checkbox"/> Female												Date of birth: / /					
Identification Number:												Type: [ID, Passport, etc. ...]					
Issuing Date: D/M/Y / /						Expiry Date: D/M/Y / /						Issuing Place:					
Date of Birth: D/M/Y / /						Citizenship:											

Home Address												City:						Country:					
Home Telephone:						Home Fax:						Mobile Number											
Email Address:												Source of fund:											
Profession:						Title:						Number of years at Current position:											
Company Name:												Company Field:											
Business Address:												City						Country					
Business Telephone:												Business Fax:											
Select Mailing Address: <input type="checkbox"/> Home Address <input type="checkbox"/> Business Address												Attorney signature:											
The true and lawful attorney named above is fully authorized on this account																							

**Bank Account Information**

Bank Name:	Branch:	Country:
Account Number:	Account Name:	

**The Required Attachments'**

1. Please enclose valid copies of identification documents (national ID Jordanians, and passport for non-Jordanians) for the account beneficiary, and for the authorized persons on the customer's account
2. Kindly attach a utility bill (electricity or water bill) or secondary proof of identification (valid driving license, valid passport....)
3. Business card or any proof of job.
4. The original account opening form will be kept by EFG Hermes. The customer should keep a photocopy for his/her personal record.

**Authorized Signature**

I / We request to open a Securities Trading Account (Account) with EFG Hermes Jordan for purchase, sale and trading of securities in Amman Stock Exchange / Amman Bourse through the Company. I / We confirm that all information given in this application is true and complete as well as all the attachments related to this application. I / We hereby undertake to adhere to the prescribed rules and regulations of the Company, and undertake to pay the full obligations due against the account of whatever amounts.

Signature Specimen:	Signature Specimen:
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**For Internal Use**

Handling Officer

Account Officer

Compliance Officer

Managing Director

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Account Opening Agreement**

**First party:**

EFG HERMES JORDAN & authorized signatory for this agreement Mr.  
 Address: building No. 85 Al sharif Nasser Bin Jameel St. Shmesani - P.O Box 930116 Amman , 11193 Jordan **T:** +962(6)5543200/2/3, **Fax :** +962(6)5543206/7

**Second Party:**

Client Name			
Account No.		Applacation Date (DD/MM/YYYY)	Application No
Client Type	<input type="checkbox"/> Individual	<input type="checkbox"/> Corporate	<input type="checkbox"/> Institutional (eg.NGO)
Account Type	<input type="checkbox"/> Individual	<input type="checkbox"/> By Power of Attorney (POA)	<input type="checkbox"/> By Trustee
Postal address:		P.O box:	

Whereas the company is specialized, licensed, and registered by both the companies control department & Jordan securities commission according to applicable laws and regulations, to purchase, sell and trading in securities at Amman Bourse.

Whereas the client wishes to deal (purchase and sell) in negotiable securities in Amman bourse, and hereby gives the company a general, absolute authorization to sell and/or buy securities by the name or on behalf of the client in accordance with the applicable laws, regulations, and pursuant to this agreement & any amended regulations may pass from the company from time to time.

Now, therefore, the parties here to agree as follows:

- For the purpose of this agreement, the above preambles along with any appendixes or related regulations issued from the company and legally informed to the client, constitute an integral part of this agreement and shall be ready with it.
- The client hereby gives the company a general, absolute authorization on its sole discretion, judgment and opinion to deal in securities ( sell and/or buy) for his account (the client) based on verbal or telephone instructions or by any acceptable means of communications and the client authorizes the company to record all the received telephone calls for any authorization either for the client's account or any other party under his custody for all/or part of the securities mentioned in the verbal authorization and these records may used as evidence in the event of a dispute.
- The client undertakes not to give the company any order to sell any mortgage and/or pledged and/or not owned securities for any reason, and the client agrees that he/she is solely liable to settle up any arrears, payments, commissions, fees, benefits, expenses, considerations, prices differences, and any other cost acquired from selling of said securities, and he/she is the sole responsible for this illegal selling transaction and any moral, immoral or any related damages may appear.
- The client hereby admits that all sell and purchases transaction carried out from the company on behalf of the client may result in expected tangible or intangible losses, and the client hereby declares that the company is not responsible for any losses that the client or any third party may incurred as a result of his actions, conducted by the company pursuant to the client instructions.
- The client hereby declares that all details & information submitted in the application form and all other documents and attached herewith documents are correct, complete and true, and the client undertakes to notify the company immediately with any amendments or alterations may occur.
- Notwithstanding the client is commitment to settle the value of the securities that he/she wishes to buy through the company before the purchase transaction in addition the charges related thereto, the client, in case of not settling the value in advance, undertakes not to dispose of the securities that have been bought for his account by selling or pledging them, that expect via the company or after settling the whole and every amount that are due on the client for the company. The company shall be entitled to dispose of the securities deposited with the center, under its control, to settle any unpaid claims in the price and method. The company consider suitable (and this is considered as authorization to the company to conduct such action without the need for the client written consent, subject to notifying him of the said action). Moreover the client undertakes not to give any purchase order for any securities that he could not to pay its value upon buying them.
- The client hereby undertakes to settle up any arrears and/or payments and/or commissions and /or fees and/or expenses and/or price differences and/or fines related to any purchase transactions made in his/her name.
- The client authorizes the company to accomplish and sign in behalf of him/her in relation to all transactions of sales and purchases of securities at Amman Bourse and securities depository center.
- The client undertakes to provide the company upon its request, with any documents, forms, papers related to his dealing with the company.
- The company is entitled to ..... % commissions for each transaction, (sell/purchase) subject to the upper and lower limits specified by Jordan securities commission regardless of the profit or loss of the transactions. The rates of commission may change by the company on its sole discretion from time to time and shall be notified to the client 14 business days prior to the said change, unless the commission amendment is enforced by the Jordan securities commission, in such case, the change will come into effect from the date set by the JSC.

**Account Opening Agreement Continued**

11. The client hereby gives the company an absolute authorization to settle any of his/her rights and obligations toward the company, and to debit any his/her account with any payment commitments to the company and to sell securities purchased/or owned by the client in case he/she did not settle any due payments after 3 days from the due date, and/or at any time deemed by the company to be appropriate for such transaction without the need for further written authorization.
12. Against the company's commitment to its obligations in accordance to this agreement, the client undertakes to pay any exchange, differences expenses and fees, imposed by the company and attached to this agreement upon the company's request, and which the company have the right to change or amend from time to time.
13. The company is not legally or financially responsible towards the client or any third party in relation to the actions or acts that company undertakes upon the client orders and pursuant to the terms of this agreement, securities law, regulations and rules related to, and the rules issued from the company from time to time regarding securities transactions.
14. The company undertakes to allocate to the client account number to be used by the company in all his securities transaction.
15. The company undertakes to provide the client with a quarterly statement of account or upon his request reflecting the movement and the balance thereof, which will be considered true and valid unless the client object in writing within 15 calendar days from issue date.
16. Both parties undertake to adhere to prescribed laws, rules, regulations & rules issued by the company, and all disputes arising out of or in connection with the present agreement shall be finally settled in an amicable manner, and if it has not been settled amicably within one week, both parties undertake to finalize the disputes according to procedures applied by the Jordanian capital market institutions.
17. The books and registers of the company are final and binding documents to prove any issue, amount or exchanged correspondences or faxes or telex or e-mails as long as it is related to this agreement.
18. All correspondences between the parties should be made to the address mentioned here of. The company's inward and outward mail records are final and binding to prove any issue. In case of change of address of either party, the concerned party shall immediately notify the other party of the changes in writing, otherwise the above-mentioned address will continue to be his official address.
19. The company will not liable nor it is responsible for any kind of loss or damage arising out of failure, interruption or delay in performing its obligations under this agreement, where such failure or delay is due to force major or any act of God, or negligence or default of the client, and the company shall not bel liable due to delays in the client's order or the incoming information from the market.
20. The principles and rules of the professional code of conduct applied by the company shall be considered as an integral part of this agreement.
21. The client acknowledges that he/she has understood all the above terms and conditions of this agreement, and understands that securities trading business carries risk and may incur losses.
22. In case the client for any reason becomes incapable of carrying out the terms of this agreement or any of his duties, the company may terminate this agreement by sending a written notice to the client before 30 days from termination date of the agreement.
23. This agreement shall come into force in.... /..../..... and ends on the date of .../.../.... The agreement renewed automatically unless either party notifies the other party about his desire to terminate this agreement before 30 days from the termination date.
24. This agreement consists of 24 articles including this article, and the revoking or illegality of any of its terms will not affect the validity and legality of it or any of its other terms.

Company Name: EFG Hermes Jordan

Client Name

Signature

Signature

Date

Date

Client Card

Client No : .....

Name : .....

Remarks : .....

Date : .....

For Company Use

Stuff Name: .....
Signature : .....

