

**INDIVIDUAL INVESTOR ACCOUNT CREATION FORM**

For Use on the Alternative Trading Platform (ATP) of The Financial Securities Exchange (FINSEC)

**SECTION 1: INVESTOR INFORMATION**

**PART A: THE INVESTOR'S GENERAL INFORMATION (Mandatory)**

Title [Tick as appropriate✓]→					Mr→	Mrs→	Miss→	Ms→	Dr→	Other→
Is the investor a legal minor? [Tick as appropriate✓]→					← Yes			No→		
Surname→					Forename(s)					
Date of birth	Place of Birth	Country of Birth	Nationality	Occupation						
National ID No	Passport No	Telephone	Mobile	Email Address						
Residential Address (Including City & Country)					Mailing Address (Including City & Country)					

**PART B: INFORMATION ON JOINT-HOLDER OR GUARDIAN (If Applicable)**

Choose one and tick as appropriate [✓]					Joint Holder→			←Guardian		
Title [Tick as appropriate✓]					Mr→	Mrs→	Miss→	Ms→	Dr→	Other→
Surname→					Forename(s)					
Date of birth	Place of Birth	Country of Birth	Nationality	Occupation						
National ID No	Passport No	Telephone	Mobile	Email Address						
Residential Address (Including City & Country)					Mailing Address (Including City & Country)					

**PART C: INVESTOR PAYMENT INSTRUCTION (Mandatory) [To Be Used for Settlement, Redemptions, Interest & Dividend Payments]**

Bank Name →	← Branch
Account Name→	← Account Number

**PART D: DEMATERIALISATION [For mandatory use by investors who already hold securities that are listed on the ATP]**

I/We.....fully understand that for settlement of transactions against electronic delivery of securities on the FINSEC ATP, my/our securities are required to be dematerialised before they can be transacted through my/our preferred broker. Consequently, I/we here submit my/our physical securities certificates, as listed below, for conversion to electronic form.

Name of Counter (Issuer)→								Use another sheet of this Form for multiple counters OR if you require more fields.
Investor's Name→								
Certificate No	No of Securities	Certificate No	No of Securities	Certificate No	No of Securities	Certificate No	No of Securities	Total Securities

How many securities should your Custodian release to your broker for trading? How many securities should remain with your Custodian for safekeeping?

**SECTIONS 2: EMPOWERMENT SEGMENT DECLARATIONS (Mandatory for participation on the Empowerment Segment)**

**Background**  
The Empowerment Segment on the Equities Board of the Financial Securities Exchange (FINSEC) is for issuers with classes of securities reserved for pre-disclosed investor segments, especially as part of economic empowerment programmes. Only qualifying investors are meant to buy into such securities. The following disclosures, are meant to assist in determining qualifying investors and provide orderliness in the trading of such securities as well as ensure strict adherence by the respective issuers to their internal constitutions or national statutes governing such programmes.

**Investor's Disclosures**

Are you an "Indigenous Zimbabwean" as per the definition in the Indigenisation and Economic Empowerment Act as quoted below? [Tick✓]

YES, I am (we are) an Indigenous Zimbabwean→	Yes	No	←NO, I am (we are) not an Indigenous Zimbabwean
State your Race→	Birth		← Was your race previously disadvantaged?
State your Nationality→	Descendancy		← Is your nationality by birth, descendancy or adoption? (Tick ✓ as applicable)
	Adoption		

**Investor's Undertaking**

I/We.....being a prospective investor on the Empowerment Segment of the FINSEC Equities Board, qualify as an "Indigenous Zimbabwean" based on the definition provided in the Indigenisation and Economic Empowerment Act [Chapter 14:33], Section 2 (1) being "any person who, before the 18<sup>th</sup> April 1980, was disadvantaged by unfair discrimination on the grounds of his or her race, and any descendant of such person, and includes any company, association, syndicate or partnership of which indigenous Zimbabweans form the majority of the members or hold the controlling interest". I/We fully understand that the issuer will have the prerogative to review the register of the respective securities, from time to time, for compliance to the terms of the empowerment programme and reserves the right to reverse any trades that are in breach of the issuer's trading guidelines. I/We accept that upon such review of the register and transactions, the issuer may seek reversal of such trades and that I/we will be liable for any costs arising from the reversal of such trades or damages arising thereof.

Signatures→	[Beneficiary Investor]	[Guardian OR Joint Investor]	Name of Securities Dealer	Name of Custodian
Date→				

**SECTION 3: FOR OFFICIAL USE BY THE PARTICIPANT (Securities Dealers, Custodian OR Transfer Secretary) RECEIVING THIS FORM [Tick ✓]**

Name of Participant→	Documents	Certified Copy of ID OR Birth Certificate (for minors)→
Name of Officer→		Certified Copy of Proof of Residence →
Officer's Signature→		Passport size photo(s)→
Insert Date Stamp→		ATP Securities Account No→

NOTES: (1) This Form should be completed in triplicate. (2) The Transfer Secretary (responsible for the counter in which the applicant seeks to invest) is responsible for the Account Creation in liaison with Securities Dealers & Custodians who are participants on the FINSEC ATP. (3) The Dealer/Custodian receiving this Form may initiate the account creation on the FINSEC ATP System & forward the Form's "White Copy" to the Transfer Secretary together with the physical securities certificates (where applicable) & the original KYC documents. (4) The Dealer/Custodian shall retain the "Pink Copy" of the Form & stamp as well as return the "Blue Copy" to the applicant.