

INSTITUTIONAL 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)

Registered Name of Organisation →			
Type of Corporation (Limited Company, Trust, Club etc.)			
Trade Name →			
Date of Registration	Place of Registration	Country of Registration	Nature of Business
Corporate Reg No →			
Office Address →			← City
			← Country
Mailing Address →			← City
			← Country
Email Address →			← Telephone
			← Telephone

PART B: INFORMATION ON DIRECTORS OR PRINCIPALS (Use another sheet of this Form if you require more fields)

	Person 1	Person 2	Person 3	Person 4
Title (Mr / Mrs etc.)				
Full Names →				
Date of Birth				
Nationality				
I.D / Passport No →				
Residential Address →				
Phone No →				

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 currently listed on the ATP]

We.....fully understand that for settlement of transactions against electronic delivery of securities on the FINSEC ATP, our securities are required to be dematerialised before they can be transacted through our preferred broker. Consequently, we here submit 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, we are an Indigenous Zimbabwean → | ← NO, we are not an Indigenous Zimbabwean

State the race for the majority of your members → | Yes | No | ← Were the stated members racially disadvantaged?

State the nationality of the majority of your members → | Birth | Descendancy | Adoption | ← Is the nationality of the majority of your members by birth, descendancy or adoption (Tick as applicable)?

Investor's Undertaking

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 18th 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". 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. We accept that upon such review of the register and transactions, the issuer may seek reversal of such trades and that we will be liable for any costs arising from the reversal of such trades or damages arising thereof.

Authorised Signatories →	
Date →	Name of Securities Dealer Name of Custodian

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

Name of Participant →	Documents	Certified Copy of ID for each Director Principal →
Name of Officer →		Certified Copy of Proof of Residence for each Director/Principal →
Officer's Signature →		Passport size photo(s) for each Director/Principal →
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.