



SIGMA SECURITIES LIMITED

(Member of Nigerian Stock Exchange)
11, Awolowo Road, Ikoyi, Lagos, Nigeria
www.sigmasecurities.com.ng
frontdesk@sigmasecurities.com.ng

Minor Account Opening Form

Section A

Account Owner (Minor Name) Surname First

Date of Birth (DD/MM/YY) _____ Gender _____

Residential Address: _____ City _____

Citizenship _____ State of Origin _____

Banker: _____ Account No: |_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|

Date of Creation of Bank Account _____ (dd/mm/yyyy) BVN _____

Method of transmitting mandate: E-mail Mandate form

Receipt of Quarterly CSCS Statement: E-mail Personal Collection

Receipt of Contract Notes: Email: E-mail Personal Collection

Passport
Photograph

Custodian ONE

Section B

Account Owner (Custodian) Surname First

Date of Birth (DD/MM/YY) _____ Maiden name _____

Residential Address: _____

Gender: _____ E-mail: _____ GSM _____

Citizenship _____ State of Origin _____ Relationship _____

Passport
Photograph

I, the undersigned, herewith make application for the establishment of a Custodian's Account of the name above as custodian for _____ who is _____ years of age, under the Custodial account rules. I request that evidence thereof be issued, described as aforesaid. The terms of this contract are deemed hereby to include the provisions of said statute as it is now or hereafter may be amended. I hereby acknowledge receipt of such account in my name as Custodian for said minor and I understand and agree that I am bound thereby. Sigma is authorized to supply any endorsement for me on any check or other instrument tendered for this account and is hereby relieved of any liability in connection with the collection of such items.

Designation of Successor Custodian (optional). In the event of my resignation, death or legal in capacity, I designate _____ as successor custodian, such appointment to take effect upon the occurrence of such event.

Signature/Date _____

Custodian TWO

**Section C
If Applicable**

**Passport
Photograph**

Account Owner (Custodian) _____ Surname First _____

Date of Birth (DD/MM/YY) _____ Maiden name _____

Residential Address: _____

Gender: _____ E-mail: _____ GSM _____

Citizenship _____ State of Origin _____ Relationship _____

I, the undersigned, herewith make application for the establishment of a Custodian's Account of the name above as custodian for _____ who is _____ years of age, under the Custodial account rules. I request that evidence thereof be issued, described as aforesaid. The terms of this contract are deemed hereby to include the provisions of said statute as it is now or hereafter may be amended. I hereby acknowledge receipt of such account in my name as Custodian for said minor and I understand and agree that I am bound thereby. Sigma is authorized to supply any endorsement for me on any check or other instrument tendered for this account and is hereby relieved of any liability in connection with the collection of such items.

Designation of Successor Custodian (optional). In the event of my resignation, death or legal in capacity, I designate _____ as successor custodian, such appointment to take effect upon the occurrence of such event.

Signature/Date _____

INDEMNITY FOR HONOURING ELECTRONIC INSTRUCTIONS

We are fully aware that sale orders, purchase orders, payment instructions and other instructions on this Account shall be by written instruction signed according to my/our mandate. I/We hereby acknowledge that the use of facsimile (fax), telephone, e-mail, SMS messages or other unsecured means of communication to convey instructions is associated with additional risks and fraud exposure.

In consideration of Sigma Securities Limited agreeing to accept and act upon any such instructions, communications and documents by facsimile (fax), telephone, e-mail, SMS messages unaccompanied by my/our signed written instruction; I/We hereby irrevocably undertake to indemnify Sigma Securities Limited and hold it harmless from and against all costs (including without limitation, legal fees and expenses, claims, losses, liabilities, damages and proceedings) whatsoever that the company may suffer or incur or that may arise as a result of Sigma Securities Limited accepting or acting upon such instructions, communication or documents. Furthermore, I/We hereby irrevocably release the company from all liability in the event that any telephone, e-mail, SMS messages, facsimile transmission or letter is not received, or is mutilated, altered, illegible or interrupted, duplicated, incomplete, unauthorized, or delayed for any reason.

The company shall have absolute discretion, for any reason whatsoever, to act or act upon documentation received by facsimile, e-mail or SMS messages, telephone, etc unaccompanied by/our signed written instruction.

COMPLAINT MANAGEMENT PROCESS

At Sigma Securities Limited we strive to personally and professionally demonstrate certain values in our actions. We are disciplined and reliable and engender trust and integrity. We appreciate that on occasions customers may not be satisfied with the service they receive from us and we recognize the right of any person to make complaint or dispute may arise from normal business transaction. We are committed at all levels of the organization to their efficient, impartial and courteous resolution.

CHANNELS OF LODGING COMPLAIN

DEDICATED EMAIL -	complaint@sigmasecurities.com.ng
DEDICATED PHONE NO -	08163343578 and 08067506798
WALK-IN- CLIENTS -	Complaint forms to be available on the front desk
WEBSITE -	Client's complaint portal on our website

DISPUTE RESOLUTION PROCESS

At Sigma Securities Limited we resolve disputes through the following processes:

Negotiation ---→ Mediation ---→ Arbitration--→ Litigation.

Negotiation - The parties will attempt in good faith to resolve any dispute or claim arising from business transaction through negotiation between a director or top management staff of the company and the aggrieved party.

Mediation – This is aim to assist parties to resolve their dispute through informal and confidential discourse in which a compliance officer assist the parties to reach a negotiated and mutually acceptable resolution/agreement.

Arbitration - Here an independent and impartial third party known as arbitrator hears the evidence brought by both sides and a decision which is binding on both parties under the following condition:

- a. The arbitrator is Lagos Multi door Court
- b. The Language of the arbitration must be English
- c. The place of the arbitration shall be the LMDC premises and
- d. All resolutions and agreement must be duly signed by both parties and its binding.

DATA PROTECTION AND PRIVACY:

Sigma Securities Limited cares about protecting your personal data disclosed to us. We will therefore ensure your data is:

- a) Processed lawfully
- b) Collected and kept for a specific purpose
- c) Retained no longer than necessary: and
- d) Kept securely

Sigma Securities will use the personal information you provided to provide an investment service and inform you about the latest information in capital market. It is possible that we may share your personal data with CSCS, SEC, NSE, REGISTRARS and other **financial market ecosystem**. All members of the ecosystem have similar strict Privacy Policy. The police, judiciary, regulators and the tax authority can also request information from us on the grounds of law. However, we follow procedures which ensure that any sharing of information is both legitimate and proportionate.

For more details, kindly read the data protection and privacy policy on our website for details on www.sigmasecurities.com.nd. The policy sets out your rights under the Data Protection (**Nigeria Data Protection Regulation 2019**) and exceptions how you can access your personal information and complain if you have concerns about how we are using your data.

consent declaration, by signing this form, you agree that we can use your information in this way.

Dated this ____ day of ____ 20 __ __

.....
Authorized Signatory

.....
Authorized Signatory

OFFICE USE ONLY

Driver’s License/National ID card/International Passport

Passport Photograph of Signatory(ies)

Utility Bill

Know Your Customer (KYC)

Birth Certificate of the Minor

Account Introduced by _____

Account Approved by _____