

Please use BLOCK LETTERS to complete this form
SECTION 1A - HOLDER DETAILS (INDIVIDUAL)

	PRIMARY HOLDER	JOINT HOLDER
CIR:	_____	_____
Title:	_____	_____
Surname:	_____	_____
First name(s):	_____	_____
Maiden name:	_____	_____
Marital status:	_____	_____
Date of birth:	_____	_____
Birth certificate no.:	_____	_____
NIC:	<small>(minors only)</small>	<small>(minors only)</small>
Nationality:	_____	_____
Passport number:	_____	_____
Passport expiry date:	_____	_____
Passport country:	_____	_____
Permanent residential address:	_____	_____
Mailing address (if different):	_____	_____
Telephone (Home):	_____	_____
(Office):	_____	_____
(Mobile):	_____	_____
Email address:	_____	_____
Occupation:	_____	_____
Employer's name and address:	_____	_____
Source of funds:	_____	_____
Business Sector:	<small>(self-employed only)</small>	<small>(self-employed only)</small>

SECTION 1B - HOLDER DETAILS (NON-INDIVIDUAL)

Name of entity: _____ Type: _____

BRN: _____ Registration No.: _____ Registration Date: _____

Registered office: _____

Mailing address: _____
 (if different) _____

Source of funds: _____

Telephone number: _____ Fax: _____

E-mail address: _____

SECTION 1C - NET ASSET OF HOLDER(S) OR OF HOLDER'S REPRESENTATIVES IF HOLDER IS A MINOR

Please specify your net assets (estimated in MUR million) as at the date of this registration.

Below 1M Between 1M and 5M Between 5M and 10M Above 10M

SECTION 2A - TRADE AND FEES SETTLEMENT

The completion of section below is mandatory and will be used for trade and fees settlement. The account must be in the name of the primary holder and/or joint holder. (Section 6.8 will apply)

Name of Bank: The Mauritius Commercial Bank Ltd
Account Holder: _____
Account Number: _____

SECTION 2B - DISTRIBUTION

The section below is mandatory and will be used for the payment of any distributions. The account must be in the name of the primary holder and/or joint holder.

Name of Bank: _____
Account Holder: _____
Account Number: _____

SECTION 2C - CUSTODIAN DETAILS

Name of Custodian: _____
Address: _____
Account Reference: _____
(if known)

SECTION 2D - INSTRUCTIONS FOR ACCOUNTS HELD JOINTLY

The holder irrevocably and unconditionally authorizes MSL to act upon instructions given by:

Any one of the primary holder or joint holder; or Jointly by both the primary holder and joint holder

Ownership of Investment

The holders signify their express and unequivocal acceptance that on the death of any one holder (the "Deceased"), MSL shall only recognize as having legal ownership to the investment the holder who is entitled to such ownership as per CDS records.

SECTION 2E - INSTRUCTIONS FOR ACCOUNTS HELD BY MINORS

MSL is expressly authorized to act upon purchase instructions given by:

Any representative named in Annex II Both representatives named in Annex II

SECTION 2F - FOREIGN MARKETS

The holder wishes to appoint MCB Stockbrokers Ltd as his broker to trade on overseas stock exchanges, through global trading partners. Yes No

SECTION 2G - ADDITIONAL AUTHORIZATIONS

The holder wishes to receive promotional and marketing materials to the above email address Yes No
The holder wishes to apply for SEM iNET Yes No

SECTION 3 - REGISTRATION INSTRUCTIONS

- 3.1 For the purposes of this Registration Form and the annexes, the term “**MSL**” shall include:
- (a) **MCB Stockbrokers Ltd** or any of the affiliates in its group;
 - (b) Agents formally appointed by MCB Stockbrokers Ltd but falling outside of the latter’s group; and
 - (c) Officers and employees of the above.
- 3.2 Failure to adhere to these registration instructions may lead to the rejection of the registration.
- 3.3 Only persons aged at least 18 may apply for the registration herein. A parent or guardian of a minor may however apply on behalf of the minor upon presentation of supporting documents as may be requested by MSL.
- 3.4 In accordance with the Financial Intelligence and Anti-Money Laundering Act 2002 (“**FIAMLA**”) as amended from time to time, individual holders and parent/guardian as the case may be are required to attach to this Registration Form:
- (a) **CERTIFIED COPY** of their Mauritian National Identity Card or passport;
 - (b) **CERTIFIED COPY** of a recent utility bill (not more than 6 months old), showing their names and permanent residential address;
 - (c) **CERTIFIED COPY** of the upper part of a recent bank statement showing the name(s) of the account holder and the bank account number; and
 - (d) **CERTIFIED COPY** of the birth certificate in case of minors (where applicable).
- 3.5 Alternatively, original documents of the above may be produced which shall be copied and certified by MSL or its appointed representatives.
- 3.6 Wherever applicable, MSL should be contacted separately for documents to be submitted by non-individuals.
- 3.7 All boxes ticked shall have to be validated by the holder’s initial/s. In addition, all pages, including any Annex, should be initialed, except pages that are signed.

SECTION 4 - TERMS AND CONDITIONS

- 4.1 Words denoting the singular number shall include the plural number also and vice versa and words importing the masculine gender include the feminine gender and vice versa.
- 4.2 The holder fully understands the risks involved in dealings in securities exchanges and the financial instruments he is investing.
- 4.3 Before making any decision to subscribe to any securities, the holder is strongly advised to take appropriate advice from a suitably qualified professional or financial adviser.
- 4.4 The terms and conditions herein are not exhaustive and should be read together with the general terms and conditions for the provision of services by MSL.

SECTION 5 - DATA COLLECTION AND PROTECTION

- 5.1 The Investor acknowledges, understands and agrees that the Relevant Functionary shall, for the performance of its obligations hereunder, collect and, where necessary or required, process, personal information which the Investor hereby voluntarily discloses to it (the “**Personal Data**”). The consent may at any time be withdrawn, but, notwithstanding the foregoing, any Personal Data processed by the Relevant Functionary (or such other Person to whom the Personal Data has been disclosed in compliance with this paragraph) prior to the consent being withdrawn shall at all times be authorised and be lawful.
- 5.2 The Relevant Functionary undertakes to treat the Personal Data confidentially and securely in line with the provisions of the Data Protection Act 2017, as amended from time to time.
- 5.3 The Investor has the right of access to, the possibility of correction of and destruction of, the Personal Data which is in the custody or control of the Relevant Functionary. The Personal Data will be stored for a minimum period of seven years, unless destroyed earlier by the Relevant Functionary at the request of the Investor. Save as otherwise herein provided, the Relevant Functionary warrants not to reveal or otherwise disclose the Personal Data to any external body, unless (i) the Relevant Functionary has obtained the express consent of such Investor, or (ii) it is under either a legal obligation or any other duty to do so, or (iii) where the Personal Data is disclosed to any agent, third party service provider, professional adviser or any other person under a duty of confidentiality to the Relevant Functionary’s group (its affiliates, parent company and ultimate holding company), as well as to certain service providers within the Relevant Functionary’s group.
- 5.4 It is drawn to the attention of the Investor that the foregoing disclosures may require that the Personal Data, subject to the applicable laws, be transferred to parties located in countries which do not offer the same level of data protection as the Republic of Mauritius.
- 5.5 The following paragraph shall apply to non-individual investors only:
Where personal information relating to the officers, employees and directors of any Investor is, or is required to be, collected by the Relevant Functionary, the Investor expressly shall procure to do all such things that may be required by the Relevant Functionary to ensure that its officers, employees and directors are made aware of the data protection provisions herein and that such officers, employees and directors give their consent with regards to the collection, processing and transfer of such personal information by the Relevant Functionary.

Any Investor has the right to lodge a complaint with the Data Protection Commissioner for breach of the Data Protection Act 2017 by the Relevant Functionary.

SECTION 6 - DECLARATIONS

- 6.1 The holder hereby certifies that the monies being invested are not derived from any illegal or criminal activity and that the registration herein are not designed to conceal such proceeds so as to avoid prosecution for any offence.
- 6.2 In accordance with anti-money laundering requirements, the holder hereby consents that MSL may record, exchange, analyze and use relevant information about the holder and his relationships with any affiliate in its group for the purposes of making reasonable and legal verifications on the information disclosed herein.
- 6.3 The holder hereby authorizes MSL and the issuer(s) of the securities subscribed herein (collectively referred to as the "Recipient") to provide whenever required to do so under applicable laws, to any relevant tax authorities or any other party authorized to audit or conduct a similar control of the holder for tax purposes, any relevant information that the Recipient may have in its possession.
- 6.4 The holder hereby acknowledges having read, understood and agreed to the terms and conditions contained in this Registration Form, the annexes, the relevant Constitutive Documents and the FIAMLA and invests in the Instrument(s) in accordance with the same.
- 6.5 The holder declares that all the information supplied in this Registration Form and all relevant and requested documents are true, correct and complete and undertakes to indemnify the Recipient in the event of any misstatement in this form. The holder further undertakes to promptly notify MSL, in a form acceptable to it, of any change in the same. The holder irrevocably and unconditionally authorizes MSL to update its existing records accordingly.
- 6.6 The holder hereby appoints MSL as his broker to trade on the Stock Exchange of Mauritius.
- 6.7 The holder may, from time to time, instruct MCB Stockbrokers Ltd to buy or sell unlisted financial products, including but not limited to fixed income, structured products and mutual funds. The holder hereby irrevocably and unconditionally authorizes MSL to act upon instructions received using any non-face-to-face communications (including but not limited to post, telephone, email, fax, etc.) and agrees to the terms and conditions of the Indemnity in Annex I of this client registration form.
- 6.8 With respect to MCB account provided in Section 2A, the holder irrevocably and unconditionally authorizes MSL to give instructions to The Mauritius Commercial Bank Limited for the debit and credit of the bank account for trade and fees settlement.
- 6.9 Where the holder has provided an email address, the holder hereby accepts to receive contract notes, account statements and/or such other related documents by email.
- 6.10 Where the holder has opt to register for SEM iNet, the holder hereby authorizes MSL to sign the applicable registration forms.
- 6.11 Where the holder has provided custodian details above, the holder hereby expressly authorize MSL to query the account balance (both in cash and equities) from the custodian.
- 6.12 The holder, representatives and authorized parties appointed pursuant to Annex II (if any) (collectively the "Parties") acknowledge having received the general terms of business for the provision of services by MSL (the "General Terms of Business") and agree to be bound by same. Any changes made to the General Terms of Business will be posted on the following website (<http://www.mcbstockbrokers.mu>) at least five business days before becoming effective. The Parties acknowledge that it is their responsibility to check on a regular basis this website. Such changes shall be deemed to be incorporated in these terms and conditions and Parties hereby agree to be bound by the amended General Terms of Business.
- 6.13 By signing this registration form, the holder expressly authorizes MSL to open a CDS account in accordance with applicable procedures, including signature of CDS deposit forms on the holder's behalf. MSL shall be entitled to use information provided in Section 1 in connection thereto. The holder undertakes to provide any other documentation as may be requested by MCB Stockbrokers Ltd.

Signature: _____
 Name: _____
 Capacity: _____
 Date: _____

Signature: _____
 Name: _____
 Capacity: _____

FOR OFFICE USE ONLY	
Received by: _____	Branch / Region: _____
Verified by: _____	Includes: <input type="checkbox"/> Annex II
Reference No: _____	
Date: _____	Signature: _____

ANNEX I - INDEMNITY RELATING TO NON-FACE-TO-FACE COMMUNICATIONS (the "Indemnity")

In consideration of MSL accepting to act upon instructions (the "Instructions") with regards to the investments made herein by electronic means (email, fax, etc.) or any other non-face-to face communications (e.g. post, telephone), the holder agrees to the following provisions of this Indemnity:

- 1 Instructions by email must originate from the email address(es) as mentioned in the Registration Form or as may be notified by the holder to MSL in writing from time to time;
- 2 The recording of telephone conversations between the holder and MSL with or without the use of a warning tone and such recording shall be the sole property of MSL;
- 3 The holder has been informed and is perfectly aware of and accepts the risks inherent to providing Instructions by electronic or any other non-face-to-face transmission method, including without limitation to delays and errors in transmission or payment, incomprehension, absence of confidentiality, transmission by unauthorized persons, hijacking, embezzlement and misappropriation of information and resulting loss caused thereby;
- 4 The holder assumes full responsibility for all actions taken by MSL, in accordance with the Instructions purporting or appearing on their face to have been received from the holder or his authorized representatives. The holder agrees that if any Instructions purport or appear on their face to have been signed by the holder or his authorized representatives, such Instructions may be treated by MSL as if it has been duly signed by the holder or the authorized representatives of the holder with the authority and on behalf of the holder, notwithstanding that it may later be established that such Instructions were not so signed. The copy or recording of the Instructions (as the case may be) shall constitute the irrevocable evidence of the Instruction;
- 5 In acting on the Instructions, MSL shall be deemed to have acted properly and to have fully performed all obligations owed to the holder, notwithstanding that such Instructions may have been initiated, sent or otherwise communicated in error or fraudulently, and the holder shall be bound by any Instructions on which the Relevant Functionary may act if MSL has in good faith acted in the belief that such Instructions were given by the holder;
- 6 MSL may, in its absolute discretion, decline to act on or in accordance with the whole or any part of an instruction pending further enquiry or further confirmation (whether written or otherwise from the holder), provided that MSL shall not be under any obligation to so decline in any case and MSL shall in no event or circumstances be liable in any respect for not so declining;
- 7 Save for provisions relating to Instructions, this Indemnity is in addition to and is not intended to replace, limit or affect MSL's current standard terms and conditions and/or any legally binding agreements between the parties hereto. In the event of any conflict relating to the Instructions, this Indemnity shall take precedence;
- 8 The holder shall keep MSL fully indemnified from and against all actions, proceedings, claims and demands which may be brought or made against MSL and all losses, costs, charges and expenses, howsoever arising and which MSL may incur or sustain or for which MSL becomes liable by reason of MSL having acted in accordance with the whole or any part of any Instruction or having exercised (or failed to exercise) the discretion conferred upon MSL in connection with the terms and conditions laid down in this Registration Form;
- 9 The holder releases MSL from any liability or claim for failure to act or execute any Instructions due to any reason beyond MSL's control;
- 10 Where this Indemnity relates to one or more joint account, the obligations of the signatories shall apply jointly and severally;
- 11 This Indemnity may be terminated by either party by giving five days' prior written notice to the other party. Termination of this Indemnity shall not relieve any of the holder's pre-existing liability incurred herein prior to such termination; and
- 12 This Indemnity shall be construed and governed in accordance with the laws of Mauritius.

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ANNEX II - SECOND JOINT HOLDER, REPRESENTATIVES AND AUTHORIZED PARTIES

To be filled-in when: (1) There is a second joint holder, or (2) The holder is a minor represented by his parents or legal guardian, or (3) The holder wishes to appoint an individual as third party representative, or (4) The holder wishes to appoint a corporate as authorized third party.

REPRESENTATIVE / JOINT HOLDER DETAILS (INDIVIDUAL)

	REPRESENTATIVE I / JOINT HOLDER II	REPRESENTATIVE II
CIR:	_____	_____
Title:	_____	_____
Surname:	_____	_____
First name(s):	_____	_____
Maiden name:	_____	_____
Marital status:	_____	_____
Date of birth:	_____	_____
NIC:	_____	_____
Nationality:	_____	_____
Passport number:	_____	_____
Passport expiry date:	_____	_____
Passport country:	_____	_____
Permanent residential address:	_____	_____
Mailing address (if different):	_____	_____
Telephone (Home):	_____	_____
(Office):	_____	_____
(Mobile):	_____	_____
Email address:	_____	_____
Occupation:	_____	_____
Employer's name and address:	_____	_____
Source of funds:	_____	_____
Business Sector:	_____	_____
	<small>(self-employed only)</small>	<small>(self-employed only)</small>

AUTHORIZED PARTY (CORPORATE)

Name of entity: _____ Type: _____

BRN: _____ Registration No.: _____ Registration Date: _____

Registered office: _____

Mailing address: (if different) _____

Telephone number: _____ Fax: _____

E-mail address: _____

Signature:	_____	_____
Name:	_____	_____
Capacity:	_____	_____
	<small>(e.g. joint holder, representative, parent, guardian, etc.)</small>	<small>(e.g. representative, parent, guardian, etc.)</small>
Date:	_____	_____

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