...……………….……........... SECURITIES LTD.

SEC.2

NEW APPLICATION FORM

1. a) **Name:** Mr/Miss/Mrs.. b) **Nationality** .... **ID No**................................ **c) Home Address:** **Gewog**.................... **Dungkhag** .... **Dzongkhag**... **P.O Box No** .... **d) Insurance No**...	**Account No**............................ **Business**................................. **Tel No**....................................

2. **Special Instruction** : a) **Cash Account:** (i) -Transfer to clients's custodian & deliver. (ii) Transfer to firm and & hold. (iii) -Free credit balance - forward to client b) Delivery of Securities to custodian........... (c) -Mailing of confirmation.......................

3. **Client's Employee :** a) Name... (b) Type of business......................................
c) Address .... (d) Clients Occupation ....

4. a) **Is client a senior officer or Director of a company whose shares are traded on the RSEB** ? Yes..... No..... b) Is he himself or as part of a group in a control position of any such company ?Yes......No...... c) If "Yes" to either (a) or (b), attach details.

5. If client is married please mention spouse's : a) Name.. (b) Employer.................................... c) Occupation.. (d) Type of business........…………………

6. **How long have you known the client?** ....through: a) Advertising lead.... (b) Phone in..... (c) Personal contact..... (d) walk in........ Have you personally met the client ? Yes...No.... Referral by............(Name) (if customer givesAcct. No.)

7. **Has Salesman/Broker direct or indirect interest in the account other than on interest in commission charged ?** Yes........ No............. (If "yes", give details below)...

8. **Type of Account requested :** (please tick) a) Cash......... (b) Margin short............ (c)Safekeeping.......... (d) Margin long.......... e) D.A.P............. (f)Foreign Funds.................. (g) Others :specify below..

9. a) **Does anyone other than the person(s) in 1 (a) have any authority over or any financial interest in the account ?** Yes..... No .... **(b)** Is the client a Corporation, Trust, Partnership etc? Yes.... No..... **c)** Is this a discretionary or managed account? Yes.... No.... (If "yes" to (a), (b) or (c) attach necessary documentation ....

10.**i) General Documents:**

	Attached	Obtaining		Attached	Obtaining
a) Client's Agreement	....	....	(b) Margin Agreement	....	....
c) Agreement	....	....	(d) Guarantee	....	....

ii) Trading Authorization documents:

	Attached	Obtaining		Attached	Obtaining
a) For an Individual (full)	....	....	(b) Account (Ltd).	....	....
c) Partnership,Trust (full)	....	....	d) For a Corporation (full)	....	....
e) Discretionary Authority	....	....			

11. Evaluation of **(a) Client's Age:** If under legal age .... attach guarantee .... Legal Age to 30.... 31-40..... 41-60 ..... 61-65.... over 65......... (please tick) b) Client's networth: Nu 20M....... Nu.40M........ Nu.100M....... Nu 200M....... Over Nu 200M.......... Earning per year......... c) Investment: Excellent....... Fair....... Knowledge: Good....... Nil....... **(d) Client's Objectives** : Mutual Funds......... % Income .... % Long Term growth .... % Short Term Trading .... % Venture Situation ....%

12. **Bank reference** : Name.. Bank credit check acceptable ? Yes..... No .... Branch............. or credit Bureau check acceptable ? Yes ...... No .... Refer to............ Above credit check considered unnecessary.... Explain in (14)

13. a) **Deposit and/or Securities received** .... **(b) Initial Order**: (i)Buy .... solicited .... Amount .... (ii) Sell .... Unsolicited .... Description............................

14. **Broker's comments** .... **Date of approval**...
Branch Manager's approval....................................... **Broker's Signature**..
Partner's director's acceptance..................................

15 Notes: