

CUSTOMER DETAILS

Company Name	<input type="text"/>		
RC/ Registration Number	<input type="text"/>	Date of Inc	<input type="text"/>
Place of Incorporation	<input type="text"/>	Business Type	<input type="text"/>
Business Sector	<input type="text"/>	Phone Number	<input type="text"/>
TIN	<input type="text"/>	SCUML Number	<input type="text"/>
FAX Number	<input type="text"/>	Legal Entity Type	<input type="text"/>
Website	<input type="text"/>		
Email Address	<input type="text"/>		
Office Address	<input type="text"/>		
State	<input type="text"/>	City	<input type="text"/>
Country	<input type="text"/>	Annual Turnover	<input type="text"/>
Postal Address	<input type="text"/>		
Contact Person	<input type="text"/>		
Contact Person Address	<input type="text"/>		
Relationship with Contact	<input type="text"/>	Contact's Email Address	<input type="text"/>

BANK ACCOUNT DETAILS

Bank Name	<input type="text"/>	Bank Account Number	<input type="text"/>
Bank Account Name	<input type="text"/>		
BVN	<input type="text"/>		

INVESTMENT DETAILS

Services Required: Phoenix Discretionary Portfolio (PDP) Phoenix Educational Plan (PEP) Phoenix Dollar Note (PDN) Phoenix Income Note (PIN) Phoenix Treasury Portfolio (PTP) Phoenix Target Account (PTA)

(Please tick as appropriate)

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<small>(Investment Amount)</small>	<small>(Investment Amount)</small>	<small>(Investment Amount)</small>	<small>(Investment Amount)</small>	<small>(Investment Amount)</small>	<small>(Investment Amount)</small>

*It is advisable to consult your financial advisor, accountant and/or solicitor to ensure proper understanding of the investment before subscribing to any of our funds.

Total Investment Amount: If Others, please state

Referral Code:

SIGNATORY MANDATE

EITHER TO SIGN BOTH TO SIGN SOLE SIGNATORY

	<input type="text"/> <i>Attach Passport Photograph</i>		<input type="text"/> <i>Attach Passport Photograph</i>
Signatory (1)		Signatory (2)	
First Name	<input type="text"/>	First Name	<input type="text"/>
Other Name	<input type="text"/>	Other Name	<input type="text"/>
Surname	<input type="text"/>	Surname	<input type="text"/>
Date of Birth	<input type="text"/>	Date of Birth	<input type="text"/>
Class of Signatory	<input type="text"/>	Class of Signatory	<input type="text"/>
Residential address	<input type="text"/>	Residential address	<input type="text"/>
Occupation	<input type="text"/>	Occupation	<input type="text"/>
Email Address	<input type="text"/>	Email Address	<input type="text"/>
ID Card type	<input type="text"/>	ID Card type	<input type="text"/>
ID Card number	<input type="text"/>	ID Card number	<input type="text"/>
	<small>(<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>) (<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>)</small>		<small>(<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>) (<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>)</small>
Mobile Number	<input type="text"/>	Mobile Number	<input type="text"/>
BVN	<input type="text"/>	BVN	<input type="text"/>
National ID Card No (NIMC)	<input type="text"/>	National ID Card No (NIMC)	<input type="text"/>
Are you a PEP?	<input type="checkbox"/> YES <input type="checkbox"/> NO	Are you a PEP?	<input type="checkbox"/> YES <input type="checkbox"/> NO
If Yes, give details	<input type="text"/>	If Yes, give details	<input type="text"/>

CUSTOMER NAME	DATE	SIGNATURE

Please ensure two authorised signatories execute, state their designation.

DIRECTORS' DETAILS

	<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;"> Attach Passport Photograph </div>		<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;"> Attach Passport Photograph </div>
Director(1)		Director(2)	
First Name	<input type="text"/>	First Name	<input type="text"/>
Other Name	<input type="text"/>	Other Name	<input type="text"/>
Surname	<input type="text"/>	Surname	<input type="text"/>
Date of Birth	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Date of Birth	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Class of Signatory	<input type="text"/>	Class of Signatory	<input type="text"/>
<small>(For Class A signatories, individual signing authority is permitted, whereas for Class B signatories, joint signing authority is required)</small>		<small>(For Class A signatories, individual signing authority is permitted, whereas for Class B signatories, joint signing authority is required)</small>	
Residential address	<input type="text"/> <input type="text"/>	Residential address	<input type="text"/> <input type="text"/>
Occupation	<input type="text"/>	Occupation	<input type="text"/>
Email Address	<input type="text"/>	Email Address	<input type="text"/>
ID Card type	<input type="text"/>	ID Card type	<input type="text"/>
ID Card number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> (Issue date) (Expiry date)	ID Card number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> (Issue date) (Expiry date)
Mobile Number	<input type="text"/>	Mobile Number	<input type="text"/>
BVN	<input type="text"/>	BVN	<input type="text"/>
National ID Card No (NIMC)	<input type="text"/>	National ID Card No (NIMC)	<input type="text"/>
Are you a PEP?	<input type="checkbox"/> YES <input type="checkbox"/> NO	Are you a PEP?	<input type="checkbox"/> YES <input type="checkbox"/> NO
If Yes, give details	<input type="text"/>	If Yes, give details	<input type="text"/>

Politically Exposed Person (PEP) is someone who is or has been entrusted with a prominent public position or function (e.g President/Head of Government, Governor, Government Officials, Politicians, Military Officers, Senior Executive Officers of State Owned Parastatals, Political Party Officials, etc) in Nigeria or foreign countries including family members or close associates.

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HOW DID YOU HEAR ABOUT US?

- Online/Website
 Networking/Referral
 Radio
 Billboard
 Newspaper AD
 SMS
 TV
 Sponsored Event
 Campaign Promo
 Investment Rep
 Social Media
 Direct Marketing Mail/Email
 Others (Please Specify)

INVESTMENT OBJECTIVE

- Capital Preservation
 Income
 Income & Growth
 Growth

CHECKLIST OF REQUIREMENTS - (For Official Use)

- Memorandum and articles of association
 Form CAC 7
 Form CAC 2
 Status Report
 Certificate of incorporation/registration
 Board Resolution
 Company Utility bill: PHCN/Waste disposal/Tenancy agreement
 Utility Bill of Signatories
 SCUML Certificate of Registration
 Utility Bill of Directors

Account Officer's Name

Signature

CLIENT SERVICES AGREEMENT

This Client Services Agreement is made this ____ day of _____, year _____ BETWEEN

(name of Client) of (address) hereinafter referred to as "the Client" which expression shall where the context so admits includes his/her/its successors-in-title, representatives, heirs, and assigns) of the one part.

AND

FCSL Phoenix Funds Limited a Company incorporated under the laws of the Federal Republic of Nigeria with RC Number 1806589 and having its registered office at No. 15, Ribadu Road, Lagos, Nigeria (hereinafter called "FCSL Phoenix" which expression shall where the context so admits includes its successors-in-title, legal representatives and assigns) of the other part.

WHEREAS

- The Client wishes to open an investment Account (the account) on its behalf.
- FCSL Phoenix is willing to establish such an investment/fund management relationship with the Client under the terms and conditions set forth herein.

NOW IT IS HEREBY MUTUALLY AGREED as follows:

1. Account Opening: We/I authorise the Company to open an account in our/my legal name and to conduct all necessary Know Your Customer (KYC) checks in compliance with regulatory standards prior to opening the account and as may be required.

2. Electronic Transaction

2.1. In consideration of FCSL Phoenix (company) accepting to honour and act upon instructions communicated to the company via letters, telephone (SMS and WhatsApp messages), Emails, or other electronic means of communication, we/I hereby state and declare as follows:

- That the company is authorised to accept and act upon any document, instructions, or mandate (which may include funds transfer) communicated by way of letters, telephone (SMS and WhatsApp messages), Email, or any other electronic means. We/I do not require that such communication should be confirmed in writing or by other electronic means.
- We/I, being aware that investment in the capital market is high risk and volatile hereby undertake not to hold the company liable and indemnify the company against any direct, indirect, incidental, special, or consequential damage/loss which may occur as a result of the company accepting or acting upon such instructions, mandate or document given to the company by us/me.
- We/I shall not have a claim or redress against the company in the event that we/I suffer any loss as a result of the company acting on any instructions/mandate communicated by us/me by the above-mentioned means.
- In addition to the foregoing, we/I hereby irrevocably release the company from any liability that may arise as a result of the company not receiving any letter, telephone message (SMS or WhatsApp message), Email, facsimile transmission, or communication by any other electronic means revoking/cancelling or otherwise contradicting a previous instruction or mandate sent by us/me to the Company. We/I further release the company from any liability that may occur in the event that the above-listed means of communication is interrupted, incomplete, replicated, delayed, changed, altered, illegible, or otherwise mutilated for any reason.
- The company reserves the right to exercise its discretion in determining whether or not to act on any communication or instruction received from us/me by letter, messages, Email, or any other electronic means provided the decision of the company not to so act is communicated to us/me by the company. Furthermore, the company reserves the right to request verification of instructions and/or documents communicated by us/me by the above-mentioned means.
- We/I hereby approve all that the company does on our/my behalf by virtue of the instructions/mandate communicated to the company provided that the company acts bonafide.
- We/I agree that a delay or omission from the company in exercising any right or remedy in respect of this indemnity shall not be interpreted as a waiver of the right. The rights and remedies contained in this indemnity are cumulative and not exclusive of any right or remedy provided by the law.

2.2. Access to Online Withdrawal Services

The online withdrawal service enables Clients to redeem their investments over the electronic platform provided by FCSL Phoenix. For Joint account holders: Please note that by executing this form, you have both given consent to FCSL Phoenix to effect:

- all withdrawal requests initiated by either party via the electronic platform
- the transfer of online withdrawal to the bank account details provided on this form without further recourse to any of the joint account holders. For this purpose, the bank account details shall either be a joint bank account in the name of the joint account holders or the individual bank account of either of the joint account holders. Please note that online withdrawal is processed within two (2) business days, and
- Where this investment is used as collateral securing a facility/loan by either of the joint account holders, a lien would be placed on the account as stated in the confirmed accepted facility/loan offer letter without further recourse to any of the joint account holders

3. Safe Operation of Account

- We/I agree to safely operate the account
- We/I agree to assume full responsibility and ensure safe custody of all print and electronic correspondence issued to/by FCSL Phoenix regarding the account.
- We/I agree to notify FCSL Phoenix immediately whenever We/I know or have any reason to suspect that an unauthorised person has access to any print or electronic correspondence issued to or by FCSL Phoenix regarding the account.
- We/I agree to indemnify FCSL Phoenix against any loss, damage, or liability resulting from my/our non-compliance to the above.

4. Instructions

We/I authorise FCSL Phoenix to honor all written instructions issued on the Account provided such orders are executed in accordance with the Account mandate.

We/I agree that FCSL Phoenix may refuse to act on an instruction if:

- It doubts the authenticity of the instruction or does not consider it to be sufficiently clear.
- It believes that doing so might cause a breach of any law, regulation, code, order, or contractual obligation binding on FCSL Phoenix and us/I.

5. Third-Party Enquiries

We/I agree and authorise FCSL Phoenix without reservation to make third-party enquiries about my person or business now or at any time in the future prior to considering any request of mine for investment services or credit facilities. I further agree and authorise FCSL Phoenix without reservation to make third-party enquiries about my person/business now or at any time in the future in order to satisfy all required Know Your Customer ("KYC") obligations statutorily required from time to time from Financial Institutions in the Federal Republic of Nigeria.

6. Variation

We/I agree that FCSL Phoenix in its sole discretion may at any time suspend or vary the terms and conditions of the operation of the Account. FCSL Phoenix will however promptly notify us/me of any suspension of service, changes regarding the operation of the Account of applicable charges and tariffs payable by us/me.

7. Law

The terms and conditions agreed between me/our organisation and FCSL Phoenix shall be read and interpreted in accordance with the laws of the Federal Republic of Nigeria.

8. Termination

We/I agree that FCSL Phoenix shall terminate the operation of the Account upon receipt of any written instruction. Either we/I or FCSL Phoenix may terminate the operation of the Account upon receipt of 72 hours prior written notice.

9. Privacy and Data Protection

- You consent to us collecting your personal information from you and where lawful and reasonable, from public sources for credit, fraud, and compliance purposes, as well as the purposes set out below.
- If you give us Personal Information about or on behalf of another person (including, but not limited to, account signatories, shareholders, principal executive officers, trustees, and beneficiaries), you confirm that you are authorised to: (a) give us the Personal Information; (b) consent on their behalf to the Processing of their personal information, specifically any cross-border transfer of personal information into and outside the country where the products or services are provided; and (c) receive any privacy notices on their behalf.
- You consent to us processing your personal information:
 - to provide products and services to you in terms of this agreement and any other products and services for which you may apply
 - to carry out statistical and other analyses to identify potential markets and trends, evaluate and improve our business (this includes improving existing and developing new products and services)
 - in countries outside the country where the products or services are provided. These countries may not have the same data protection laws as the country where the products or services are provided. Where we can, we will ask the receiving party to agree to our privacy policies
 - By sharing your personal information with our third-party service providers, locally and outside the country where the products or services are provided. We ask people who provide services to us to agree to our privacy policies if they need access to any Personal Information to carry out their services; and the Group.
- You consent to the processing of personal data in line with FCSL's Data Privacy Policy available on the company's websites or on request.

10. Consent

We/I understand that as part of FCSL Phoenix services, the Company would like to give us/me information about products and services offered by FCSL. We/I consent that FCSL Phoenix may;

- Send other companies' products, services, and special offers to us/me.
- Contact us for research purposes
- Market products, services, and special offers to us/me.
- Share our/my personal information within FCSL for marketing purposes, and that FCSL may then market its products, services, and special offers to us/me.

11. Contact

We/I agree that FCSL Phoenix will use the address and any other information provided on the Account documentation to contact us/me. We/I agree to immediately inform FCSL Phoenix of any changes or additions to those details. All notices and correspondences required to be provided by FCSL Phoenix to me will be forwarded to the provided address and or email until FCSL Phoenix receives a written notification of any change of address or email.

12. Customer Know Your Customer (KYC) Policy

We/I acknowledge and accept that the following KYC documentation has been provided, (or will be provided prior to updating the Account) to our/my relationship manager or other representative of FCSL Phoenix:

- Duly completed and executed account update form (ensuring to fill out all parts of the form and writing non-applicable where necessary);
- One (1) clear passport-size photograph with full name and signature clearly written on the reverse side;
- A sighted, Notarised, or Certified copy of the means of identification;
- A sighted, Notarised, or Certified copy of the proof of residential address/ letter of introduction from a relevant Diplomatic Mission/ International Organization certifying the accredited status of the potential client;
- A sighted, Notarised, or Certified copy of the valid residence permit of a resident non-Nigerian.

12.1 We/I understand and agree that if ALL of the relevant and applicable KYC documents indicated above together with the duly completed and signed application form are not provided to FCSL Phoenix after six (6) months of the receipt of payment by client, FCSL Phoenix shall:

- In the case of payments made electronically into FCSL Phoenix Account (s), return all funds paid into its account (s) into the same account from which the funds originated without any obligation to pay any interests/ rental income on the funds returned; and
- We shall not hold FCSL Phoenix liable for any diminution, loss of interest or transfer charges in the event that my/our funds are returned

ii. In the case of payments made by cheque or cash deposits over the counter, issue cheques in the name of the issuer of the cheque, or the name of the depositor (where the depositor is the client or person intending to open an account) as the case may be, which cheque shall be retained in FCSL Phoenix possession until picked up by me.

12.2 We/I understand and agree that no account shall be opened where incomplete KYC documentation has been provided by me. For the avoidance of doubt, the Account shall only be opened, upon receipt of COMPLETE KYC documentation.

13. Fees and Charges

We/I agree that in consideration of FCSL Phoenix issuing or accepting third-party Bank cheques, bank drafts, and/or other negotiable instruments We/I agree that FCSL Phoenix shall set-off against the account any pre-advised charge(s), tariff (s), deductions, or costs associated with the operation of the account by me.

13.1 The fees chargeable by FCSL Phoenix and payable by Client are as set out in the individual product paper.

14. Indemnity for Third-Party Instruments

To the fullest extent permitted by the law, and notwithstanding any other provision of this Agreement, the FCSL Phoenix is prohibited from disclaiming responsibility for losses of investments due to breach of the terms of this agreement, fraud, bad faith, gross negligence, or willful default arising from its acts or omission or those of its agents appointed by it in the course of performing its services to the Client. The Client shall indemnify and save harmless the Fund/Portfolio Manager from and against any and all claims, liabilities, damages, losses, costs, and expenses, that are incurred by the Fund/Portfolio Manager in the course of carrying out its responsibilities hereunder, provided that it shall be entitled to indemnification hereunder only if it acted in good faith and in a manner reasonably believed to be in the best interests of the Client.

15. Right of Set-off

We/I agree that in addition to any general lien or similar right to which FCSL Phoenix may be entitled by law, FCSL Phoenix may at any time and without prior notice to me combine or consolidate all or any of my accounts and hold it harmless from and against all other account or in any other respect whether such liabilities be actual or contingent, primary or collateral and several or joint.

16. Liability clause in respect of default by the Fund / Portfolio Manager

To the fullest extent permitted by the law, and notwithstanding any other provision of this Agreement, the FCSL Phoenix is prohibited from disclaiming responsibility for losses of investments due to breach of the terms of this agreement, fraud, bad faith, gross negligence, or willful default arising from its acts or omission or those of its agents appointed by it in the course of performing its services to the Client. The Client shall indemnify and save harmless the Fund/Portfolio Manager from and against any and all claims, liabilities, damages, losses, costs, and expenses, that are incurred by the Fund/Portfolio Manager in the course of carrying out its responsibilities hereunder, provided that it shall be entitled to indemnification hereunder only if it acted in good faith and in a manner reasonably believed to be in the best interests of the Client.

17. Investment Risk Warning

We/I agree that FCSL Phoenix shall have no responsibility or any liability to me for any diminution of my investment due to any future governmental order, levy, law, tax, embargo, moratorium imposes or depreciation of funds due to inflation or the unavailability of funds due to an exchange restriction on convertibility, requisitions, involuntary transfers, seizure of any character, exercise of military or usurped powers, or other similar causes beyond the control of FCSL Phoenix and that any or all funds standing to the credit of the account will be payable only in such local currencies as may then be as in circulation in the Federal Republic of Nigeria.

17.1 We/I by entering into this agreement hereby understand(s) the risks inherent in an investment of this nature and that the value of investments may fall as well as rise and the past performance of investments is not a guide to future performance.

18. Acceptable Funds Transfer Instructions

We/I agree that all instructions on the account shall be duly signed according to the account mandate. We/I hereby acknowledge that the use of facsimile, untested telexes, photocopied letters, electronic mails (on the letterhead or otherwise) or other unsecured means of communication to convey instructions for funds transfer of any or any other such instructions not backed by a duly signed original letter from me, whatever the case may be, is associated with additional risks of fraud exposure.

We/I shall execute an indemnity form in consideration of FCSL Phoenix agreeing to accept and act upon any such instructions, communication, and documents by facsimile, untested telexes, electronic mails, or photocopied letters issued according to the account mandate unaccompanied by an original copy of my duly signed letter, irrevocably undertaking to indemnify FCSL Phoenix and hold it harmless from and against all cost (including but without limitation to legal fees and expenses, claims, losses, liabilities and damages).

FCSL Phoenix shall have absolute in considering to act or not to act upon documentation received by facsimile, untested telex, electronic mail or photocopied letter unaccompanied by a duly signed original copy of a letter issued by me and / or to request verification of documents received by such means.

19. Disruption of Service

We/I agree that FCSL Phoenix shall have no liability for failure to provide any agreed services due to reasons beyond its reasonable control. These reasons include but are not limited to industrial action, riots, civil commotion, political unrest, armed insurrection or pandemic.

20. Regulatory Disclosure

We/I agree and authorise FCSL Phoenix to disclose any or all of its information in compliance with any regulatory disclosure obligations statutorily imposed from time to time on Financial Institutions operating in the Federal Republic of Nigeria.

21. Other Terms and Conditions

The other terms and conditions as it relate to investment objective, risk profile, and performance benchmark is as set out in the product papers.

DECLARATION

- We/I hereby declare that I am of legal age
- That the information I have given is correct to the best of my knowledge and belief, and I will inform FCSL Phoenix Funds Limited of any change in the information given in this form within 20 working days of such change.
- We/I hereby affirm that the funds and sources of all funds and or assets are legitimate and not directly or indirectly the proceeds of any unlawful activity.
- We/I understand that as with stock market investments, the value of my/our investment(s) in equity- based funds may go up or down and that past performance is not necessarily an indication of future performance.
- We/I agree to conform with the minimum holding period(s) of the investments, failing which I accept any loss, cost and charge that may arise as a result of my/our premature redemption.
- That the Fund Certificate/Statement in respect of this investment may be sent by email, at my/our risk, to the address given above.
- To be bound by the Terms and Conditions contained herein.

NB: Kindly read the product paper for your intended fund(s) before executing this agreement.

Check that all sections of the form have been completed accurately.

Fund Name	Account	Asset Allocation	Minimum Investment	Initial Investment	Additional Investment	Minimum Holding Period
Phoenix Discretionary Investment		Equities, bonds & other Fixed income instruments	N50,000,000		Allowed	12 months
Phoenix Educational Plan		100% # money market instruments		Silver Plan (naira)- N250,000 Gold Plan (naira)- 3,000,000 Silver Plan (dollar)- \$5,000 Gold Plan (dollar)- \$20,000	Allowed	12 months
Phoenix Note	Dollar	100% Fixed income instruments	\$5,000		\$100	180days
Phoenix Income Note		100% # Money Market Instruments	N100,000			30 days
Phoenix Account	Target	100% money market instruments	N500,000			180 days
Phoenix Treasury Portfolio		100% treasury bill	N1,000,000			90days

In witness of which the parties hereto have executed this Agreement the day and year first above written.

By the within-named Client;

Name:

Signature:

Date:

Name:

Signature:

Date:

Signed by the within-named Fund Manager, FCSL Phoenix Funds Limited:

Name:

Signature:

Date:

Name:

Signature:

Date: