



FIRST INTEGRATED CAPITAL MANAGEMENT LIMITED

(Member of the Nigerian Stock Exchange)

Office: 27, Amore Street, off Toyin Street, Ikeja Lagos.

P. O Box 55203, Juli-Ikeja. **Tel:** 0812-880-6668, 0806-387-7276

E-mail: info@ficml.com, ficml@yahoo.com **Website:** www.ficml.com

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CONFIDENTIAL: Please note that information supplied is strictly being kept

CUSTOMER'S INFORMATION SHEET – ESTATE ACCOUNT

NAME OF ESTATE:

ADDRESS:

STATE: **LGA:**

EMAIL: **COUNTRY:**

ESTATE'S BANK ACCOUNT DETAILS:

BANK NAME: **BANK ACCT. NAME:**

BANK ACCT NUMBER: **BVN:**
[BVN OF ADMINISTRATORS]

SORT CODE:

DATE OF BANK ACCT CREATION:

ADMINISTRATOR(S)/EXECUTOR(S):

1. **NAME [Full Name]:**

ADDRESS:

RELATIONSHIP: **TEL.:**

2. **NAME [Full Name]:**

ADDRESS:

RELATIONSHIP: **TEL.:**

3. **NAME [Full Name]:**

ADDRESS:

RELATIONSHIP: **TEL.:**

S/N	SIGNATORIES (FULL NAMES)	RELATIONSHIP	SIGNATURE

CSCS DETAILS

Existing CSCS Account? YES / NO

If YES **CSCS NUMBER:** **CLEARING HOUSE NUMBER:**

MANDATE FOR MANAGED PORTFOLIO

I. Broker's Discretion

I/We _____ hereby authorize First Integrated Capital Management Limited to constantly review and trade in the shares in my/our portfolio using their best judgment.

II. Non - Discretionary

I/We _____ hereby authorize First Integrated Capital Management Limited to constantly review and advise me/us and get my/our consent or instruction before trading in the shares in my/our portfolio.

III. No Review or Trading of Shares

I/We _____ do not want the shares in my/our portfolio to be reviewed or traded on by First Integrated Capital Management Limited.

DECLARATION

I (We) confirm that the information provided for opening an account with First Integrated Capital Management Limited is True. I (We) agreed to the Terms and Conditions for the Opening of the Account, as stated above. FICM Ltd will not be held liable for any misjudgment.

SIGNATURE(S):

[Signature box]

[Signature box]

DATE:

CUSTOMER'S COMPLAINT MANAGEMENT PROCEDURE

In order to make the good intentions of the company apparent, Customers are encouraged to voice their dissatisfaction, by inserting in all transaction media; FICM's complaints telephone lines which are open 24 hours a day.

- ✓ All customers' complaints, which must be in writing, are to be addressed to Complaints Processing Unit in Compliance Department, FICM Ltd., Head Office for resolution.
- ✓ Each complaint is logged and time-stamped immediately on receipt by the relevant officer. All complaints are sorted and categorized appropriately for resolution.
- ✓ Relevant Officer acknowledges receipt of the complaint in writing through the same medium in which the complaint was received. Complaint Unit Head talks to the customer, by phone or in person (if possible) within 24hours of receipt to inform him/her that his/her complaint is being investigated and that he/she will get a feedback within a stipulated time.
- ✓ The Unit Head assigns each complaint to an officer who must resolve it within 24 hours of receipt. Any such complaint not resolved within the stipulated time must be referred to Head of Compliance Department who must get the complaint resolved within 24 hours from the moment he is made aware of it.
- ✓ Any complaint not resolved within 48 hours of receipt must be referred to the Managing Director for urgent resolution. There must be a weekly report of complaint data to top management for review.
- ✓ Complaint data should be used to analyze complaint trends and develop corrective measures for complaint prevention Render a monthly report to management to monitor the efficiency and effectiveness of the complaint management system and enable appropriate review of same.
- ✓ When a complaint has been resolved, follow up with the customer to find out if he/she is satisfied with the resolution.

FOR OFFICE USE ONLY

DOCUMENT POSTED/SIGHTED (Tick as appropriate):

- Information and Identification for Directors/Signatories e.g. National ID or International Passport or Driver's License Proof of Address - Utility Bill
- Board Resolution appointing FICM Ltd. as Broker Board Resolution nominating Signatories to the Account Certificate of Incorporation
- Memorandum and Article of Association MEMAT Others (Specify) _____

Remarks.....

FICM Relationship Officer's Name: Signature.....

FICM Approving Officer's Name: Signature.....

RC 333881



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REQUIREMENTS FOR ESTATE ACCOUNT

1. Passport photographs of Administrators.
2. Means of Identification of the Administrators e.g. National ID or International Passport or Driver's License or Voter's Card.
3. Proof of Address - Utility Bill (recent NEPA Bill or LAWMA Bill)
(Estate's Utility Bill and Administrators Utility Bill)
4. Admor Letter of Authority to Stockbroker and Registrars' Department.
5. Probate/Letter of Administrator.
6. Death Certificate.
7. Newspaper Publication or Gazette.
8. Certificate(s), Dividend Warrant(s) and other Documents that proves the shares are owned by the deceased.