

Obtaining an Investor Number is simple. And there's no cost.  
Simply follow these 3 EASY STEPS:

1. Complete the Investor Number Request Form, print and sign it.
2. Gather together the following supporting documents:

#### Individual/Joint Account:

- >> True copy of a valid Passport.
- >> True copy of UAE Family Book/Marsoom for UAE Nationals only.
- >> True copy of National ID (For UAE Nationals & Residents).
- >> True copy of Residential Visa (For UAE Residents).

Plus specific documentation depending on:

If a **Joint Account**, attach a letter addressed to DFM signed by both partners confirming the account type, whether it will be managed by either both partners or any of the partners, ("and" / "or") A/C.

If a **Minor** (below 21 years):

- The signature of the guardian (the Father) is necessary on the application.
- In the case of a guardian other than the Father, a true copy of guardianship order issued by the court shall be provided.

If a **Representative**:

- A true copy of a duly authenticated and valid Power of Attorney must be provided with a copy of representative's ID.
- A Power of Attorney issued from other countries must be authenticated by the official authorities and the UAE embassy in those countries.

#### Company/Institution/Brokerage Firm/Government/Bank/Fund:

- >> A True copy of a valid Memorandum of Association, Trade License and Commercial Register.
- >> Authorized signatory letter issued by the company, duly authenticated.
- >> True copy of the authorized signatory valid Passport and National ID.

Plus specific documentation depending on:

If a **Fund**, a duly authenticated license letter from the Central Bank must be provided for the funds in the UAE. For funds outside the UAE, the authenticated documents from the official authorities must be attached.

If a **Bank**, a duly authenticated license letter from the Central Bank must be provided for the banks in the UAE. For banks outside the UAE, the authenticated documents from the official authorities must be attached.

If a **Brokerage Firm**, a true copy of Brokerage License from the UAE Securities Commodities Authority (SCA) or the Dubai Financial Services Authority (DFSA).

If a **Sole Proprietorship**, attach an undertaking letter addressed to DFM stating that an Investor Number will not be opened under his/her personal name.

**Companies and Institutions licensed outside the UAE** must authenticate official documents: Trade License, Commercial Register and Memorandum of Association, by the UAE Ministry of Foreign Affairs or the UAE embassy in those countries.

If a **Representative**:

- A true copy of a duly authenticated and valid Power of Attorney must be provided with a copy of representative's ID.
- A Power of Attorney issued from other countries must be authenticated by the official authorities and the UAE embassy in those countries.

3. Submit the completed form (Step 1) and supporting documents (Step 2) using one of the options below:

- A. CSD desk on the DFM Trading Floor:** Dubai Financial Market, Ground Floor, Dubai World Trade Centre, Dubai. Your Investor Number will be processed on the same day. The CSD desk is open from 8.00am to 2.00pm, Sunday to Thursday. Tel: +971 4 305 5555.
- B. Your Broker:** Submit the completed Investor Data Entry form and supporting documents to your broker and they will obtain an Investor Number on your behalf from DFM.
- C. By Email:** Scan the signed form (which should be authenticated by a licensed broker or an accredited bank) with supporting documents and email to client@dfm.ae.

Your new Investor Number will be sent by SMS once processed.

If you already have shares with your broker and wish to move them to your new Investor Number, you can simply instruct your broker to transfer them. There is no transfer fee (for a limited period only).

Application Date: \_\_\_/\_\_\_/\_\_\_

## Individual / Joint Account

Full Name (as in Passport): \_\_\_\_\_

Mother's Name (as in Passport): \_\_\_\_\_

Nationality: \_\_\_\_\_

Passport No.:

National ID No.:

Residence Visa No. (non UAE):

Date of Birth: \_\_\_/\_\_\_/\_\_\_ Minor (under 21):  Yes  No

For UAE Nationals only

UAE Family Book No.:  Family No.:

City No.:  Passport File No.:

Gender:  Male  Female

Full Name of Guardian / Representative (if any): \_\_\_\_\_ Investor number (if any):

## Company / Sole Proprietorship

Commercial Name as on Trade License: \_\_\_\_\_

Trade License No.:  Commercial Registration No.:

Type of Company: \_\_\_\_\_

Full Name of the Authorized Signatory: \_\_\_\_\_

Full Name of the Owner / Authorized Person: \_\_\_\_\_

Companies and Institutions licensed outside the UAE must authenticate official documents by the official authorities and the UAE embassy in those countries.

## Contact Details

Address: \_\_\_\_\_

P.O.Box/Postal Code:  Zip:

City: \_\_\_\_\_ Country: \_\_\_\_\_

Mobile Phone No.:  Fax No.:

Office Phone No.:  Residence Phone No.:

Email:

## Receive Cash Dividends (Select one option only)

**Bank Transfer** (available for all investors)

- Bank account details required of the shareholder only.
- Attach Bank Account details certified by the bank, through an official statement or letter from the bank within the last 3 months only.
- Bank transfers to a non-AED bank account in UAE or a bank account outside the UAE may be subjected to applicable fees and/or foreign exchange conversion rates which may be deducted from the cash dividend amount by the transferring bank and/or the receiving bank.

Account Holder Name/Investor: \_\_\_\_\_

Bank Account No. (AED)  Bank Account No. (other currency)

IBAN:  SWIFT ID:

Bank Name: \_\_\_\_\_ Branch Name: \_\_\_\_\_

City: \_\_\_\_\_ Country: \_\_\_\_\_

**IVESTOR Card** (available for individual investors & sole proprietorships only)

- 50 AED IVESTOR Card Issuance Fees.
- Cards will be delivered by courier.
- The investor should obtain an IVESTOR card before the dividends are distributed.
- Card issuance is Subject to IVESTOR Terms & Conditions.

## Services (it is required to tick on the services below for activation)

Register for eStockPortfolio (online access to view your investment details) Email:

I would like to receive my 'Daily Trades Report' via (Please tick any one):  Email  SMS  Fax (Your email will be your username)

I would like to receive my 'Annual Securities Statement' by (Please tick any one):  Email  Mail  Fax

• Login at [www.dfm.ae](http://www.dfm.ae) & register for eServices to view your statements online and submit forms.

## Acknowledgment

I, the undersigned, hereby undertake, as an investor, Agent or Guardian, full legal and financial liability for the accuracy of completing the information based on the choice of cash dividend distribution mechanism I would like to receive any due dividend which are approved for distribution by the DFM and NASDAQ Dubai listed companies. I agree and I am in my full legal capacity, to release DFM and NASDAQ Dubai from any liability that may arise from any deficiency or error in providing any of the data or information set forth in the application. I therefore wave irreversibly my right to claim from DFM or NASDAQ Dubai any material, compensation or otherwise to meet any claims.

Entity Stamp Certifying the Signature

Authorized Signature

- Completed form should be submitted to your respective broker or sent to Client Services Affairs Department, CSD, Dubai Financial Market, Trading Floor, Dubai World Trade Center.
- Please attach a valid copy of your Passport/National ID (UAE Nationals/Residence)/Family book (UAE Nationals)/Residential Visa.
- In the case of a Representative or Guardian (other than Father), please attach a copy of the Power of Attorney or custody documents authenticated by a notary public. Power of Attorney issued from other countries must be authenticated by the official authorities and the UAE embassy in those countries.

## FOR DFM USE ONLY

Investor Number

