

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

1. Complete the Investor Data Entry Application form, print and sign it. (Click here for the form)
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 (if available).
- » True copy of Residential Visa (if available).

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.
- D. By Fax:** Send the signed form (which should be authenticated by a licensed broker or an accredited bank) and supporting documents to fax number +971 4 305 5189 or 5190.

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).

If you require further assistance in acquiring an Investor Number, please contact:
Dubai Financial Market – Clearing, Settlement & Depository (CSD): Tel: +971 4 305 5555 or email: client@dfm.ae.

طلب إدخال بيانات مستثمر Investor Data Entry Application

غير مواطن Expatriate مواطن National

Application Date تاريخ الطلب Investor Number رقم المستثمر

حساب مؤسسة Institution حساب مشترك Joint A/C حكومة Government شركة Company شخص Individual

Individual / Joint A/C شخص / حساب مشترك

Full Name as per passport الإسم كاملاً حسب جواز السفر

Passport File No. رقم الإضبارة Passport No. رقم جواز السفر

Family No. رقم الأسرة City No. رقم البلدة UAE Family Book No. رقم خلاصة القيد

Residence Visa No. رقم الإقامة National Identification No. رقم الهوية الوطنية

Minor Yes نعم No لا Gender Female أنثى Male ذكر الجنس Date of Birth تاريخ الميلاد

If minor, name of Guardian / Representative إذا كان قاصر، اسم الوصي/ الوكيل

Mothers Name اسم الأم Guardian Investor No. رقم المستثمر للوصي

Country Code رمز الدولة Nationality الجنسية

Government / Institution / Company حكومة / حساب مؤسسة / شركة

Name as on Trade License الاسم حسب الرخصة التجارية

Name of the owner(s) إسم المالك (الملاك)

Commercial Registration No. رقم السجل التجاري Trade License No. رقم الرخصة التجارية

Type of Company نوع الشركة

Name of the authorized signatory اسم المفوض بالتوقيع

Address العنوان

Country الدولة City المدينة

Post Box ص.ب. Zip Code الرمز البريدي

Residence Phone هاتف (المنزل) Office Phone هاتف (العمل)

Fax فاكس Mobile Phone هاتف (النقال)

E-mail البريد الإلكتروني

Authorized Signature التوقيع المعتمد

أقر أنا الموقع أدناه بأن جميع البيانات المدونة في هذا الطلب والمستندات المرفقة صحيحة ودقيقة.
I the undersigning confirm that the data contained and attached documentation are accurate and correct.

Representative/ Guardian الوكيل/ الوصي

المستثمر Investor

- The above signature authorizes the use and/or disclosure of your personal information to the issuer or its agent for the purposes of paying cash dividends or taking other corporate actions. If you do not wish your personal information to be used or disclosed for these purposes, please call: +971 4 305 5555 or email: client@dfm.ae.
- Signature must be authorized by an accredited bank, licensed broker or DFM CSD (where the investor must appear in person for signature or else his/her passport must be presented if the passport shows his/her official signature).
- The above signature shall be authorized on all transactions of the investor at DFM.
- The authorizing party shall be held liable for the signature authorization, therefore the investor's identity must be confirmed prior to authorization.

- التوقيع الوارد أعلاه يعد تفويضاً باستخدام و/أو الإفصاح عن بياناتك الشخصية إلى المصدر أو وكيله لأغراض دفع توزيعات الأرباح النقدية أو اتخاذ أي إجراءات مؤسسية أخرى. في حال فضلت عدم استخدام أو الكشف عن بياناتك الشخصية لتلك الأغراض، يرجى الاتصال على الهاتف: +971 4 305 5555 أو البريد الإلكتروني: client@dfm.ae
- يجب أن يكون التوقيع مصدقاً من قبل بنك معتمد، أو شركة وساطة مرخصة في السوق، أو دائرة التقاضي والتسوية والإيداع (يشترط حضور المستثمر شخصياً للتوقيع)
- في حالة عدم حضور المستثمر شخصياً للتوقيع، فإنه يجب إبراز جواز السفر الأصلي الخاص بالمستثمر بشرط أن يكون موقعاً فيه.
- سيتم اعتماد التوقيع المبين أعلاه على كافة تعاملات المستثمر لدى سوق دبي المالي.
- تتحمل الجهة التي تصدق على توقيع المستثمر المسؤولية الكاملة تجاه التصديق، إذ يجب التأكد من هوية المستثمر وتوقيعه قبل التصديق.