سـوق أبوظبـي للأوراق الماليـة
Abu Dhabi Securities Exchange



INVESTOR SERVICE GUIDE

Branches and Customer Service Department

Empowering The UAE's Economy

adx.ae

OVERVIEW

Abu Dhabi Securities Exchange (ADX) was established on November 15 of the year 2000 by Local Law No. (3) Of 2000, the provisions of which vest the market with a legal entity of autonomous status, independent finance and management.

The Law also provides ADX with the necessary supervisory and executive powers to exercise its functions.

On 17th March 2020, ADX was converted from a "Public Entity" to a "Public Joint Stock Company PJSC" pursuant to law No. (8) of 2020.

ADX is part of ADQ, one of the region's largest holding companies with a broad portfolio of major enterprises spanning key sectors of Abu Dhabi's diversified economy.

"Your Market of Choice

CONTENTS

3 Investor Service Charter
4 Investor Journey as to ADX Services
5 Investor Number Issuance
7 Update of Investor Details
8 To Whom It May Concern Letter Request
9 Security Off Market Transfer Request / Family Transfer
10 Security Off Market Transfer Request / Judicial Order
11 Investor Report Request
12 Security Off Market Transfer Request / Inheritance Transfer Request
13 Off Market Ownership Transfer Request
14 Security Off Market Transfer Request / Ownership Transfer
15 Pledge and Un-Pledge Request
16 Security Transfer for Dual Listed Companiest

Investor Service Charter

ADX has a profound keenness on delivering the best services with the required and distinguished quality to obtain confidence and meet needs of investors in general.

ADX Expectations towards Investors

- To receive and treat you with utmost care and meet your ambitions respectfully.
- To receive distinguished, high-quality service and fair, equal treatment.
- To serve you professionally through trained and qualified investor service staff.
- To streamline procedures and improve your experience with us.
- To provide online channels through its platforms that suit you around the clock for delivery of services.
- ADX welcomes suggestions, comments and complaints about the provided services through several platforms that enable you to participate in the continuous development of its services.

Investors' duties towards ADX

- To appreciate the efforts of our employees and treat them with mutual respect and appreciation.
- Provide all the requirements and required documents according to the procedures, so that we can provide you with our services quickly.
- Respond to us to reply to the inquiries of the investor service team to provide a better service on a timely basis.
- Provide feedback about our daily services.

Investor Service Centers:

Abu Dhabi, Al Ain and Sharjah

Official Working Hours :

7:00 AM to 16:00 PM

Contact Number:

800239 or +97126277777

P.O. Box 565000

Email : Callcenter@adx.ae

INVESTOR SERVICE

Regional Investor Service Section is responsible for receiving applications from ADX shareholders such as investors, brokers, mortgagors, listed companies, and official registrars.

Through three branches located across the United Arab Emirates, shareholders can easily contact ADX customer service office, where they are welcomed and provided with the services through a specialized staff from the Clearing, Settlement and Depository Department.

Various types of services can be provided, including, but not limited to: Issue an investor number; carry out off market securities transfer (family transfers); and issue various investor reports, such as investor balance reports, trading report, and a report on off market securities transfers.

In addition, the Regional Branches Section shares with the Depository and Registration Section in the Clearing Department the responsibility for issuing investor numbers and off market transfers in collaboration with the Settlement and Payments Section.

Investor Journey as to ADX Services

1. Get the service Through different channels available in ADX
2. Choose the type of service available for investors to submit applications
3. Submit the application Attach required documents and pay fees if any
4. End of the process Final approval from ADX and getting the service required

Services provided to individual and corporate investors



Investor Number Issuance

It is an investor identification number through which all transactions and procedures related to securities, individuals or companies, government agencies, investment portfolios, are carried out.

Service	Investors Individual or Corporate
Service Procedures	An investor number service is provided through the channels approved by ADX, together with the required papers and documents. • The applicant or his legal representative must be present in person when submitting a transaction for issuing an investor number or using the smart application. • If the applicant is less than 21 years old, his/her legal guardian must submit the application on his/her behalf, in the absence of a maturity certificate issued by the court, whether by attendance or through the ADX smart application.
Service Application Submission Channels	• Through the ADX-licensed brokerage firms . • Through ADX application SAHMI, only for individuals. • Personal Presence: You can download the form via ADX website and fill it in personally in the Customer Service located in the ground floor at ADX headquarter or any of the branches Sharjah or Al Ain.



Service	Investors - Individual or Corporate
The required documents were submitted through the Investor Service Office directly or through authorized members Note: If the powers of attorney are issued outside the State, they must be attested by (the ministry of foreign affairs of the country issuing the power of attorney, the UAE embassy in the country issuing the power of attorney, and the UAE Ministry of Foreign Affairs).	**Individuals:** In case of personal presence: In person, or through his/her legal representative, the following documents shall be provided: A copy of the family book - passport - ID card / A copy of the guardianship declaration for the individuals under ٢١ years./ A copy of ID card for non-resident expatriates / A copy of the original power of attorney /International Bank Account Number (IBAN) **Corporate Applicants:** A copy of the trade license, commercial register and memorandum of association./ A letter of the authorized signatories before ADX. / A copy of the authorized signatory's ID Card / International Bank Account Number (IBAN) **Governmental Agencies:** A copy of an Emiri decree or decision./ A letter of the authorized signatories before ADX. A copy of the authorized signatory's valid ID card / International Bank Account Number (IBAN) **Investment Portfolios:** Central Bank's letter of approval of the portfolio›s activity commencement./The trade license of the portfolio issuer. /A list of the names and signatures of the portfolio authorized officials, clarifying the powers./ A copy of the authorized signatory's ID Card./ Prospectus./ International Bank Account Number (IBAN) **Free Zones:** A copy of the company›s memorandum of association and its amendments./A license issued by the Zone. /A letter of authorized signatories. A copy of the authorized signatory's ID Card / International Bank Account Number (IBAN) Message
Service Completion Time	It depends on the type of service used, as most applications are answered within maximum one day.
Beneficiary Category	Investors in general.
Fees	Nil.

Services provided to individual and corporate investors

Update of Investor Details

An investor details update service is provided through the channels approved by ADX.

Service	Investors - Individual or Corporate
Service Procedures	• An investor number service is provided through the channels approved by ADX by submitting the required papers and documents. • The applicant or his legal representative must be present in person when submitting a transaction for issuing an investor number or using the smart application. • If the applicant is less than 21 years old, his/her legal guardian must submit the application on his/her behalf, in the absence of a maturity certificate issued by the court, whether by attendance or through the ADX smart application.
Service Application Submission Channels	• Through the ADX-licensed brokerage firms . • Through ADX application SAHMI, only for individuals. • Personal Presence: You can download the form via ADX website and fill it in personally in the Customer Service located in the ground floor at ADX headquarter or any of the branches Sharjah or Al Ain
The required documents were submitted through the Investor Service Office directly or through authorized members **Note:** If the powers of attorney are issued outside the State, they must be attested by (the ministry of foreign affairs of the country issuing the power of attorney, the UAE embassy in the country issuing the power of attorney, and the UAE Ministry of Foreign Affairs).	**Individuals**: A copy of the family book - passport - ID card / A copy of the guardianship declaration for the individuals under 21 years. /A copy of ID card for non-resident expatriates / A copy of the original power of attorney /International Bank Account Number (IBAN) **Corporate Applicants:** A copy of the trade license, commercial register and memorandum of association. / A letter of the authorized signatories before ADX. / A copy of the authorized signatory's ID Card / International Bank Account Number (IBAN) **Governmental Agencies:** A copy of an Emiri decree or decision. A letter of the authorized signatories before ADX/ A copy of the authorized signatory's valid ID card / International Bank Account Number (IBAN) **Sole Proprietorships:** A copy of valid trade license. A copy of the owner's ID card./ Fill in the application for sole proprietorships declaration, to sell the shares when the permissible percentage of ownership is exceeded./A letter of the authorized signatories before ADX./International Bank Account Number (IBAN) **Investment Portfolios:** Central Bank's letter of approval of the portfolio›s activity commencement./ The trade license of the portfolio issuer. / A list of the names and signatures of the portfolio authorized officials, clarifying the powers. / A copy of the authorized signatory's ID Card. / Prospectus./ International Bank Account Number (IBAN) **Free Zones:** A copy of the company›s memorandum of association and its amendments./ A license issued by the Zone. / A letter of authorized signatories. A copy of the authorized signatory's ID Card / International Bank Account Number (IBAN).
Service Completion Time	It depends on the type of service used, as most applications are answered within maximum one day.
Beneficiary Category	Investors in general.
Fees:	Nil.

Services provided to individual and corporate investors

To Whom It May Concern Letter Request

Through this service, an investor can apply for an official letter containing information related to their ownership of the ADX-listed securities.

Service	Investors - Individual or Corporate
Service Procedures	Fill in an application for issuing To Whom It May Concern certificate at ADX or one of its branches or through its online channels.
Service Application Submission Channels	• Through the ADX-licensed brokerage firms. • Through ADX application SAHMI, only for individuals. • Personal Presence: You can download the form via ADX website and fill it in personally in the Customer Service located in the ground floor at ADX headquarter or any of the branches Sharjah or Al Ain.
The required documents were submitted through the Investor Service Office directly or through authorized members	Fill in To Whom It May Concern application form - the required documents and the original must be reviewed. Ensure that the investor's details, including ID card details + International Bank Account Number (IBAN) details are updated. A copy of ID card. A copy of the power of attorney (the original shall be submitted for review), if any.
Service Completion Time	It depends on the type of service used, as most applications are answered within maximum one day.
Beneficiary Category	Investors in general.
Fees:	AED 100 per application plus VAT (5%)

Services provided to individual and corporate investors

Security Off Market Transfer Request
Family Transfer

Through this service, an investor can carry out off market securities transfer, provided that the transfer complies with the laws and procedures of ADX and is made for fees. (family, inheritance, founders, etc.).

Service	Investors - Individual or Corporate
Service Procedures	Through this service, an investor can transfer his/her securities to one of his/her family members, up to the second degree of kinship.
Service Application Submission Channels	• Through the ADX-licensed brokerage firms. • Through ADX application SAHMI, only for individuals. • Personal Presence: You can download the form via ADX website and fill it in personally in the Customer Service located in the ground floor at ADX headquarter or any of the branches Sharjah or Al Ain.
The required documents were submitted through the Investor Service Office directly or through authorized members	Fill in security transfer application form - the required documents, and the original must be reviewed. • A copy of the family book for UAE nationals (the original shall be submitted for review). • A copy of a valid ID card for UAE citizens and residents (the original shall be submitted for review). • A copy of ID card for expatriates (the original shall be submitted for review). • A copy of the power of attorney (the original shall be submitted for review), if any. • Note: If the powers of attorney or decree of distribution are issued outside the State, they must be attested by (the ministry of foreign affairs of the country issuing the power of attorney, the UAE embassy in the country issuing the power of attorney, and the UAE Ministry of Foreign Affairs). **Note: Make sure that the investor's details, including ID card details + International Bank Account Number (IBAN) details are updated.**
Service Completion Time	It depends on the type of service used, as most applications are answered within one day, if all requirements are met.
Beneficiary Category	Investors in general.
Fees:	0.20% of the market value of the shares on the previous trading day, at a minimum of AED 25 from one party, in addition to the value added tax (5%).

Services provided to individual and corporate investors

Security Off Market Transfer Request
Judicial Order

Through this service, an investor can carry out off market securities transfer, provided that the transfer complies with the laws and procedures of ADX and against fees.

Service	Investors - UAE and GCC citizens, expatriates
Service Procedures	A transfer order issued by the court or the competent authorities to ADX.
Service Application Submission Channels	• Through the ADX-licensed brokerage firms. • Through ADX application SAHMI, only for individuals. • Personal Presence: You can download the form via ADX website and fill it in personally in the Customer Service located in the ground floor at ADX headquarter or any of the branches Sharjah or Al Ain.
Required Documents	Fill in security transfer application form - the required documents, and the original must be reviewed. • A copy of a valid ID card for UAE citizens and residents (the original shall be submitted for review). • A copy of ID card for expatriates (the original shall be submitted for review). • A copy of the court judgement. **Note: Make sure that the investor's details, including ID card details + International Bank Account Number (IBAN) details are updated.**
Service Completion Time	It depends on the type of service used, as most applications are answered within one day, if all requirements are met.
Beneficiary Category	Investors in general.
Fees	0.20% of the market value of the shares on the previous trading day, at a minimum of AED 25 from one party, in addition to the value added tax (5%).

Services provided to individual and corporate investors

Investor Report Request

Through this service, an investor can obtain an account statement, trading statement, or any other entries related to his/her ADX-listed securities.

Service	Investors - Individual or Corporate
Service Procedures	Fill in an application for a security report on ADX or one of its branches, or through online channels.
Service Application Submission Channels	• Through the ADX-licensed brokerage firms. • Through ADX application SAHMI, only for individuals. • Personal Presence: You can download the form via ADX website and fill it in personally in the Customer Service located in the ground floor at ADX headquarter or any
The required documents were submitted through the Investor Service Office directly or through authorized members	Fill in a security report application form or apply for the same through the online service. • A copy of a valid ID card for UAE citizens and residents (the original shall be submitted for review). • A copy of the passport for expatriates (the original shall be submitted for review). • A copy of the power of attorney (the original shall be submitted for review), if any. • If the applicant is less than 21 years old, his legal guardian must submit the application on his behalf, in the absence of a maturity certificate issued by the court. **Note: Make sure that the investor's details, including ID card details + International Bank Account Number (IBAN) details are updated.**
Service Completion Time	It depends on the type of service used, as most applications are answered within maximum one day.
Beneficiary Category	Investors in general.
Fees	**Printed Version:** AED 10 for the first ten pages, adding AED 5 per page, in addition to VAT (5%). Degital Version: AED 100 - the electronic calculator in addition to VAT (5%).

Services provided to individual and corporate investors

Security Off Market Transfer Request
Inheritance Transfer Request

Through this service, the legal portions related to the estate of the deceased are distributed to his/her legal heirs.

Service	Investors - UAE and GCC citizens, expatriates
Service Application Submission Channels	• Through the ADX-licensed brokerage firms. • Through ADX application SAHMI, only for individuals. • Personal Presence: You can download the form via ADX website and fill it in personally in the Customer Service located in the ground floor at ADX headquarter or any
Required Documents	Fill in security transfer application form - the required documents, and the original must be reviewed. • A copy of the family book for UAE nationals (the original shall be submitted for review). • A copy of a valid ID card for UAE citizens and residents (the original shall be submitted for review). • A copy of ID card for expatriates (the original shall be submitted for review). • A copy of the power of attorney (the original shall be submitted for review), if any. • Note: If the powers of attorney or decree of distribution are issued outside the State, they must be attested by (the ministry of foreign affairs of the country issuing the power of attorney, the UAE embassy in the country issuing the power of attorney, and the UAE Ministry of Foreign Affairs). **Note: Make sure that the investor's details, including ID card details + International Bank Account Number (IBAN) details are updated.**
Service Completion Time	It depends on the type of service used, as most applications are answered within one day, if all requirements are met.
Beneficiary Category	Investors in general.
Fees	0.20% of the market value of the shares on the previous trading day, at a minimum of AED 25 from one party, in addition to the value added tax (5%).

Services provided to individual and corporate investors

Off Market Ownership Transfer Request

Through this service, the investor, if a partner, can transfer his/her securities to the account of another company and vice versa, provided that he is a partner in this company.

Service	Investors - Individual or Corporate
Service Procedures	Fill in off market security transfer application form via ADX or any of its branches.
Service Application Submission Channels	• Through the ADX-licensed brokerage firms. • Through ADX application SAHMI, only for individuals. • Personal Presence: You can download the form via ADX website and fill it in personally in the Customer Service located in the ground floor at ADX headquarter or any
Required Documents	Fill in security transfer application form - the required documents, and the original must be reviewed. • A copy of a valid ID card for UAE citizens and residents (the original shall be submitted for review). • A copy of the court judgement. • A copy of the trade license, commercial register and memorandum of association. • A letter of the authorized signatories before ADX. **Remark: Make sure that the investor's details, including ID card details + International Bank Account Number (IBAN) details, are updated.**
Service Completion Time	It depends on the type of service used, as most applications are answered within one day, if all requirements are met.
Beneficiary Category	Investors in general.
Fees:	0.004% of the market value of the shares on the previous trading day, with at a minimum AED 50 from one party, in addition to the value added tax (5%).

Services provided to individual and corporate investors

Security Off Market Transfer Request
Ownership Transfer

Through this service, an investor can transfer the securities of his/her sole proprietorship to his/her own account and vice versa.

Service	Investors - Individual or Corporate
Service Procedures	Fill in off market security transfer application form via ADX or any of its branches.
Service Application Submission Channels	• Through the ADX-licensed brokerage firms. • Through ADX application SAHMI, only for individuals. • Personal Presence: You can download the form via ADX website and fill it in personally in the Customer Service located in the ground floor at ADX headquarter or any
Required Documents	Fill in security transfer application form - the required documents, and the original must be reviewed. • A copy of a valid ID card for UAE citizens and residents (the original shall be submitted for review). • A copy of the court judgement. • A copy of the trade license, commercial register and memorandum of association. • A letter of the authorized signatories before ADX. **Note: Make sure that the investor's details, including ID card details + International Bank Account Number (IBAN) details are updated.**
Service Completion Time	It depends on the type of service used, as most applications are answered within one day, if all requirements are met.
Beneficiary Category	Investors in general.
Fees	0.20% of the market value of the shares on the previous trading day, at a minimum of AED 25 from one party, in addition to the value added tax (5%).

Services provided to the Mortgagors

Pledge and Un-Pledge Request

Through this service, an investor and the mortgagor can submit a mortgage/ mortgage redemption application to ADX.

Customers	Investors - Individual or Corporate
Service Procedures	Fill in pledge / un-pledge application via ADX or any of its branches.
Service Application Submission Channels	• Through the ADX-licensed Pledgee. • Personal attendance: The application is available in the branches of the Abu Dhabi Securities Exchange and is filled out by the current entity, approved and sent to the nearest branch of the market for necessary action. (Abu Dhabi HO ، Sharjah and Al Ain).
Required Documents	Fill in the mortgage/ mortgage redemption application form. • A copy of a valid ID card for UAE citizens and residents. • The application is approved by the authorized persons only of the mortgagors and those registered with the Clearing Department as per the procedures. The seal of the mortgagor shall be affixed on the original application and electronic copy. **Note: Make sure that the investor's details, including ID card details + International Bank Account Number (IBAN) details are updated.**
Service Completion Time	It depends on the type of service used, as most applications are answered within maximum one day.
Beneficiary Category	Investors in general.
Fees:	**Mortgage transactions fees:** 0.20% of the market value of the shares on the previous trading day, at a minimum of AED 100 from one party, in addition to the value added tax (5%). **Mortgage redemption transactions fees:** AED 100/ application in addition to the value added tax (5%).

Services provided regarding External Transfer in the Markets

Security Transfer for Dual Listed Companies

Through this service, an investor can transfer his/her securities in a company listed between two different financial markets such as (Ooredoo, Sudatel "Saudi Telecom Company", Oman Company and Emirates Investment Holding Company), from one market to another.

Customers	Investors - Individual or Corporate
Service Procedures	The securities, required to be transferred, must be deposited in the investor's clearing account. The applicant or his/her legal representative must be present when submitting a transaction for issuing an investor number. If the applicant is less than 21 years old, his/her legal guardian must submit the application on his/her behalf, in the absence of a maturity certificate issued by the court. Make sure that the investor's details, including ID card details + International Bank Account Number (IBAN) details are updated.
Service Application Submission Channels	• Through the ADX-licensed brokerage firms. • Through ADX application SAHMI, only for individuals. • Personal Presence: You can download the form via ADX website and fill it in personally in the Customer Service located in the ground floor at ADX headquarter or any
Required Documents	Fill in an external transfer application form • Original certificate or a shareholder's statement of account from the external market. • A copy of valid UAE ID Card (the original must be submitted for review) • A copy of valid passport (the original must be submitted for review) • A copy of valid UAE residence (the original must be submitted for review) • A copy of the original power of attorney (if any) (the original shall be submitted for review). **Note: Make sure that the investor's details, including ID card details + International Bank Account Number (IBAN) details are updated.**
Service Completion Time	One working week.
Beneficiary Category	Investors in general.
Fees	AED 50 per application plus VAT (5%)



Thank you for choosing Abu Dhabi Securities Exchange (ADX)
Your Market of Choice

P.O.BOX: 54500, Abu Dhabi, UAE
T: +971 2 627 7777 **F:** +971 2 612 8728

adx_ae