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Resident

7

☐

Title	Mr	Mrs	Ms	Rev	Dr	Other	
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Last Name

Initials

Names denoted by

[illegible][illegible][illegible][illegible][illegible]

Address

(Correspondence) _____

[illegible]

NIC/PP No.

Date of Issue

Nationality

Date of Birth

[illegible][illegible]

Mobile No.

Email

Please ✓

Employed ☐

Self Employed ☐

[illegible]

Name of the Business / Organization

Telephone

[illegible][illegible]

2. Operating Instructions Please ✓

Primary Applicant☐1st Joint Holder☐2nd Joint Holder☐

Either party☐Other

3. Mailing Instructions Please ✓

Confirmations & Statements will be emailed to the above mentioned email address

Email☐Post☐

4. Bank Details & Payment Instructions

Bank	Branch	Account Type	Account No.

Payment Instructions- maturity proceeds/ interest Please ✓

SLIPS/ RTGS transfer to any of the above bank A/cs☐Other (please specify).....☐

Transfer of funds for settlement between Capital Alliance Ltd and Capital Alliance Securities (Pvt) Ltd☐

5. Documents Provided Please ✓

For KYC

National Identity Card☐

Passport☐

Driving License (An Affidavit is required confirming the fact that both NIC/ Passport are not available.)☐

For Proof of Residency

National Identity Card☐

Bank/ Credit card Statement☐

Telephone Bill☐

Electricity/Water Bill☐

Registered Lease Agreement☐

Gramasevaka Certificate certified by the Divisional Secretary☐

Letter issued by superintendent of a plantation estate in respect of estate workers who have no other documentary proof.☐

Any Other Document (Please Specify).....☐

These documents should be within (3) months as of the date of submission of the CDS Account opening form.

6. Status of Residency Address: (Premises) Please ✓

Owner☐With parents☐Lease / Rent☐

Friend's / Relative's☐Board / Lodging☐Official☐

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7.

Dual citizenship Details

Please ✓

Country 1

:

☐

Passport No.

:

☐

Country 2

:

☐

Passport No.

:

☐

Country 3

:

☐

Passport No.

:

☐

8.

Are you a US person under the Foreign Account Tax Compliance Act (FATCA) of the US?

Please ✓

Yes (If yes, FATCA declaration has to be submitted along with application form)

☐

No (In the event if I/We become a US person under FATCA of US, I/ We do hereby undertake to inform the said fact to the Participant immediately)

☐

9.

Expected Value of Investment per annum

Please ✓

Less than Rs. 100,000

☐

Rs 1,000,000 to Rs 2,000,000

☐

Rs 4,000,000 to Rs 5,000,000

☐

Rs 100,000 to Rs 500,000

☐

Rs 2,000,000 to Rs 3,000,000

☐

Rs 5,000,000 to Rs 10,000,000

☐

Rs 500,000 to Rs 1,000,000

☐

Rs 3,000,000 to Rs 4,000,000

☐

Over Rs 10,000,000

☐

10.

Source of funds

Please ✓

Salary / Profit Income

☐

Contract Proceeds

☐

Family Remittance

☐

Investment Proceeds / Savings

☐

Sales of Property/Assets

☐

Export proceeds

☐

Sales and Business Turnover

☐

Commission Income

☐

Membership contribution

☐

Others (Specify)

11.

Politically Exposed Persons (PEPs)

Please ✓

Are you individuals who are or have been entrusted domestically by a with prominent public functions? For example, Heads of State or of government, senior politicians, senior government, judicial or military officials, senior executives of state-owned corporations, important political party officials. If “Yes” please explain.	<input type="checkbox"/>
Are you individuals who are or have been entrusted with prominent public functions by a foreign country? For example, Heads of State or of government, senior politicians, senior government, judicial or military officials, senior executives of state-owned corporations, important political party officials. If “Yes” please	<input type="checkbox"/>
Are you individuals who are related to a PEP either directly (consanguinity) or through marriage or similar (civil) forms of partnership? If “Yes” please explain the relationship	<input type="checkbox"/>
Are you individuals who are closely connected to a PEP, either socially or professionally? If “Yes” please explain the relationship	<input type="checkbox"/>

I/We hereby declare that the information given is true and correct and agree to give notice in writing of any change of particulars given. I/We hereby give consent to open a CDS Account/FIS Account/PWM Account/UT Fund Account*

12. Risk Categorization (Office use only) Please ✓

Low☐

Medium☐

High☐

13. Name of the person(s) authorized to give instructions to the # Participant

(Please Attach a duly certified copy of Power of Attorney – if applicable)

14. Other remarks / notes (if any)

FOR OFFICE USE ONLY

Customer came in person to open the account

Yes☐

No☐

I hereby confirm that to the best of my knowledge and belief the information given herein by the applicant is true and correct, the applicant is financially stable to maintain a;

CDS Account	<input type="checkbox"/>	Inv. Advisor	<input type="text"/>	Signature	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
FIS Account	<input type="checkbox"/>	Dealer	<input type="text"/>	Signature	
PWM Account	<input type="checkbox"/>	Fund Manager	<input type="text"/>	Signature	
UT Fund Account	<input type="checkbox"/>	Fund Manager	<input type="text"/>	Signature	

* Please ✓

Date

D

D

M

M

Y

Y

Y

Y

Introducer

Signature

Date

		Signature	Approved by	Date	Signature	System Updated by	Date
CDS Account	<input type="checkbox"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>		<input type="text"/>
FIS Account	<input type="checkbox"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>		<input type="text"/>
PWM Account	<input type="checkbox"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>		<input type="text"/>
UT Fund Account	<input type="checkbox"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>		<input type="text"/>

* Please ✓

Other Details/Remarks/Notes (if any) :

UNDER THE FOREIGN ACCOUNT TAX COMPLIANCE ACT (“FATCA”) THE FOLLOWING CRITERIA MAY CLASSIFY A CUSTOMER AS A “US PERSON”

A Citizen of USA (Including an individual born in the US but resident in another country, who has not renounced US citizenship)

A lawful resident of the US (Including a US Green card holder)

A person residing in the US

A person spends approximately 180 days within 3years (not continuously) in the US

US corporations, estates and trusts

Any entity that has a linkage or ownership to US or US territories

Other places (Please specify):

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