



**2. Operating Instructions** Please ✓

Primary Applicant  1st Joint Holder  2nd Joint Holder   
 Either party  Other  (Attach Power of Attorney)

**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

**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 <input type="checkbox"/>	Rs 1,000,000 to Rs 2,000,000 <input type="checkbox"/>	Rs 4,000,000 to Rs 5,000,000 <input type="checkbox"/>
Rs 100,000 to Rs 500,000 <input type="checkbox"/>	Rs 2,000,000 to Rs 3,000,000 <input type="checkbox"/>	Rs 5,000,000 to Rs 10,000,000 <input type="checkbox"/>
Rs 500,000 to Rs 1,000,000 <input type="checkbox"/>	Rs 3,000,000 to Rs 4,000,000 <input type="checkbox"/>	Over Rs 10,000,000 <input type="checkbox"/>

**10. Source of funds** Please ✓

Salary / Profit Income <input type="checkbox"/>	Contract Proceeds <input type="checkbox"/>	Family Remittance <input type="checkbox"/>
Investment Proceeds / Savings <input type="checkbox"/>	Sales of Property/Assets <input type="checkbox"/>	Export proceeds <input type="checkbox"/>
Sales and Business Turnover <input type="checkbox"/>	Commission Income <input type="checkbox"/>	Membership contribution <input type="checkbox"/>
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\*

.....  
Signature – Primary Holder

Date 

D	D	M	M	Y	Y	Y	Y
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**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)

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**14. Other remarks / notes (if any)**

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**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"/>
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

.....	.....	.....			
Introducer	Signature	Date			
	Approved by	System Updated by			
	Signature	Signature			
	Date	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)** : .....

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**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): .....