

Client Code - CALS	
Client Code - UT	
Client Code - PWM	

Type of Account to be Opened

12. Expected Monthly Value of Investment

☐ Less than LKR 100,000

☐ LKR 100,000 - LKR 500,000

☐ LKR 500,000 - LKR 1,000,000

☐ LKR 1,000,000 - LKR 2,000,000

☐ LKR 2,000,000 - LKR 3,000,000

☐ LKR 3,000,000 - LKR 4,000,000

☐ LKR 4,000,000 - LKR 5,000,000

☐ LKR 5,000,000 - LKR 10,000,000

☐ Over LKR 10,000,000

13. Sources of Funds

☐ Salary/Profit Income

☐ Investment Proceeds/Savings

☐ Commission Income

☐ Sales & Business Turnover

☐ Contract Proceeds

☐ Membership contribution

☐ Sale of Property and Asset

☐ Donations / Charities (Local / Foreign)

☐ Export Proceeds

☐ Family Remittances

☐ Gifts

Others: _____

14. Purpose of Opening the Account

☐ Savings/Investments

☐ Equity/ Debt Security Transactions

Other: _____

15. Are you a Politically Exposed Person (PEP)? ☐ Yes ☐ No

Definition of a PEP

- i. An individual who is or has been entrusted domestically or by a foreign country with prominent public functions
- ii. An individual who is related to a PEP either directly (consanguinity) or through marriage or similar (civil) forms of partnership
- iii. An individual who is closely connected to a PEP, either socially or professionally

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

☐ Yes (If yes, FATCA declaration has to be submitted along with the 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)

Under the Foreign Account Tax Compliance Act ("FATCA") the following criteria may classify a customer as a "US Person"

- i. A Citizen of USA (including an individual born in the USA but resident of another country, who has not renounced US citizenship)
- ii. A lawful resident of the USA (including a US Greencard holder)
- iii. A person residing in the USA
- iv. A person spends approximately 180 days within 03 years (not continuously) in the USA
- v. US corporates, estates and trusts
- vi. Any entity that has a linkage or ownership to US or US territories

2. Bank Details

Account 01

Account Title : _____

Account No. : _____

Bank Name : _____

Branch Name : _____

Account 02

Account Title : _____

Account No. : _____

Bank Name : _____

Branch Name : _____

Account 03

Account Title : _____

Account No. : _____

Bank Name : _____

Branch Name : _____

*Provide proof of Bank Statements for verification.

Payment Instructions - Maturity Proceeds Interest

SLIPS/RTGS transfer to any of the above Bank Accounts

☐ Transfer of Funds for settlement between Capital Alliance Group Companies

3. Name of Person(s) Authorized to Give Instructions

Signing Instructions:

[illegible][illegible][illegible]

4. Consent & Declaration

Consent to hold sales proceeds and credit balances in the Account to recover future payments for stock purchases (Only applicable to clients of Capital Alliance Securities (Pvt) Ltd)

Do you wish to hold credit balances with CAL for future payment for stock purchases? ☐ Yes ☐ No

I, _____ (Name) and holder of NIC number _____ hereby authorize CAPITAL ALLIANCE SECURITIES (PVT) LTD to hold any credit balances in my account with them, and to recover future payments for stocks purchased on my behalf from such credit balances, unless otherwise specific instructions are given by me.

Client Signature	Date
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Consent to obtain verification of the client's identity with the Department of Registration of Persons

You consent to the verification of your identity and authentication of any data or document furnished by you to us (including but not limited to your name, address, date of birth, National Identity Card number and image) with the Department of the Registration of Persons via any IT system or facility maintained by the said Department.

Client Signature _____ Date _____

Email Indemnity for instructions given by Clients

I/We the undersigned ("Client") hereby request Capital Alliance Investments Limited and Capital Alliance Securities (Private) Limited (as applicable) ("Company") to accept and act upon my/our instructions sent via electronic mail address set out herein ("Instructions") with regard to any transaction notwithstanding the fact that the identity of the sender cannot be verified by the Company.

The Company shall not be liable to the Client or any third party, and the Client shall indemnify the Company at all times against, any loss, damage, claim, expense or liability, whether involving fraud or not, and whether arising in contract, tort or otherwise, howsoever in connection with any Instruction which appears to originate from the Client or its authorized representative. Client is responsible for ensuring sufficient safeguards are in place to prevent any unauthorized Instructions being sent from the client's systems.

Until such time as the Company acknowledges the Instructions by return mail, the instructions shall not be deemed delivered and the Company shall have no liability for errors delays or losses caused as a result thereof. The Company has absolute discretion to reject/not act on an instruction and request the Client to provide a written confirmation duly signed by the Client.

[illegible]

Client Signature

Date

Risk Disclosure

I/We hereby declare that I/We understand that my/our investments are subject to market and/or interest rate risks and volatility and the Capital Alliance Group shall not hold any responsibility or liability for the same.

[Terms & Conditions](#)

I/We hereby declare that the above information given by me/us 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/PWM Account/UT Fund Account and declare that I/we have read and understood the contents of the Unit Trust Terms & Conditions, Key Investor Information Document and Trust Deed of the respective funds/CAS Client Agreement/ Portfolio Management Agreement.

(Please strike off as applicable to the product subscribed to)

Client Signature

Date

5. Documentation

Documents Required for KYC Verification

1. A copy of the National Identity Card/Valid Passport Copy
2. A valid utility bill (within three months of issue) if the permanent address differs from the address stated in the NIC.
3. A valid bank statement proof (within 03 months of issue), with Name, Account and Bank Name and Branch clearly visible
4. A visa copy of Foreign Resident applicants
5. Dual citizenship certificate (if applicable)

Documents Provided for KYC Verification

Identification Documents

- ☐ National Identity Card
- ☐ Passport (for foreign individuals)
- ☐ Driving License
(an affidavit is required confirming that both NIC/Passport are not available)

Proof of Residenc

- ☐ National Identity Card
- ☐ Bank/Credit Card Statement
- ☐ Telephone Bill
- ☐ Electricity/Water Bill
- ☐ Gramasevaka certificate certified by the Divisional Secretariat

Any other document (please specify)

6. Office Use Only

I) Risk Catergorization

- a) Verification of Department of Registration of Persons ☐ Yes ☐ No
- b) Online screening ☐ Yes ☐ No

To be completed by Customer Support Executive conducting the abovementioned checks

Signature _____ Name _____ Date _____

II) Risk Profiling

- ☐ Low Risk ☐ **Medium Risk ☐ **High Risk

To be completed by the officer marking the risk categorization

Signature _____ Name _____ Date _____

III) Client Identity

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, and the applicant is financially stable to maintain a;

	Investment Advisor/Relationship Manager	Signature	Date
CDS Account	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>
PWM Account	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>
Unit Trust Account	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>

	Verified By	Approved By	System Updated By
Signature	<input type="text"/>	<input type="text"/>	<input type="text"/>
Name	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date	<input type="text"/>	<input type="text"/>	<input type="text"/>