



**9. Contact Details**

**Primary Holder**

**Joint Holder 01**

**Joint Holder 02**

Fixed Line

Mobile Number

Email Address

**10. Income Tax Number**  
(if applicable)

**11. Employment and Occupation**

Employed  Unemployed

Proprietor/  
Business Owner  Retired

Employed  Unemployed

Proprietor/  
Business Owner  Retired

Employed  Unemployed

Proprietor/  
Business Owner  Retired

Other \_\_\_\_\_

Other \_\_\_\_\_

Other \_\_\_\_\_

Designation/  
Occupation

Name of Employer

Nature of Business

Address of Employer

Telephone No.

Email Address

**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 5,000,000 - LKR 10,000,000

Over LKR 10,000,000

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 5,000,000 - LKR 10,000,000

Over LKR 10,000,000

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 5,000,000 - LKR 10,000,000

Over LKR 10,000,000

**13. Sources of Funds**

Salary/Profit Income

Investment Proceeds/Savings

Sales & Business Turnover

Contract Proceeds

Family Remittances

Donations/Charities (Local/Foreign)

Sale of Property & Assets

Gifts

Commission Income

Membership contribution

Export Proceeds

Others \_\_\_\_\_

Salary/Profit Income

Investment Proceeds/Savings

Sales & Business Turnover

Contract Proceeds

Family Remittances

Donations/Charities (Local/Foreign)

Sale of Property & Assets

Gifts

Commission Income

Membership contribution

Export Proceeds

Others \_\_\_\_\_

Salary/Profit Income

Investment Proceeds/Savings

Sales & Business Turnover

Contract Proceeds

Family Remittances

Donations/Charities (Local/Foreign)

Sale of Property & Assets

Gifts

Commission Income

Membership contribution

Export Proceeds

Others \_\_\_\_\_

**14. Purpose of Opening the Account**

Savings/Investments

Equity/Debt Security Transactions

Other \_\_\_\_\_

Savings/Investments

Equity/Debt Security Transactions

Other \_\_\_\_\_

Savings/Investments

Equity/Debt Security Transactions

Other \_\_\_\_\_

**Primary Holder**

**Joint Holder 01**

**Joint Holder 02**

**15. Are you a Politically Exposed Person (PEP)?**

Yes

No

Yes

No

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)

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)

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 US 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 Account/s 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. Names of Person(s) Authorized to Give Instructions

Signing Instructions	Primary Holder <input type="checkbox"/>	Either Party <input type="checkbox"/>	All parties <input type="checkbox"/>
Name of Portfolio Manager			
Name of Trustee/Custodian			

### 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

**If "Yes" please complete below;**

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.

_____ Primary Holder Signature <div style="border: 1px solid black; display: inline-block; padding: 2px;">                     D D M M Y Y Y Y                 </div>	_____ 01 <sup>st</sup> Joint Holder Signature <div style="border: 1px solid black; display: inline-block; padding: 2px;">                     D D M M Y Y Y Y                 </div>	_____ 02 <sup>nd</sup> Joint Holder Signature <div style="border: 1px solid black; display: inline-block; padding: 2px;">                     D D M M Y Y Y Y                 </div>
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**Consent to obtain verification of the client's identity with the Department of Registration of Persons**

I hereby give consent to the verification of my identity and authentication of any data or document furnished by me/us to you, including the particulars contained in my/our National Identity Card with the Department of the Registration of Persons by the Capital Alliance Group

_____ Primary Holder Signature <div style="border: 1px solid black; display: inline-block; padding: 2px;">                     D D M M Y Y Y Y                 </div>	_____ 01 <sup>st</sup> Joint Holder Signature <div style="border: 1px solid black; display: inline-block; padding: 2px;">                     D D M M Y Y Y Y                 </div>	_____ 02 <sup>nd</sup> Joint Holder Signature <div style="border: 1px solid black; display: inline-block; padding: 2px;">                     D D M M Y Y Y Y                 </div>
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**Email Indemnity for Instructions Given by Clients**

I/We the undersigned ("Client") hereby request Capital Alliance PLC, 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 for, 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.

E-Mail Address

_____ Primary Holder Signature <div style="border: 1px solid black; display: inline-block; padding: 2px;">                     D D M M Y Y Y Y                 </div>	_____ 01 <sup>st</sup> Joint Holder Signature <div style="border: 1px solid black; display: inline-block; padding: 2px;">                     D D M M Y Y Y Y                 </div>	_____ 02 <sup>nd</sup> Joint Holder Signature <div style="border: 1px solid black; display: inline-block; padding: 2px;">                     D D M M Y Y Y Y                 </div>
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**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 UUnit 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)*

_____ Primary Holder Signature <div style="border: 1px solid black; display: inline-block; padding: 2px;">                     D D M M Y Y Y Y                 </div>	_____ 01 <sup>st</sup> Joint Holder Signature <div style="border: 1px solid black; display: inline-block; padding: 2px;">                     D D M M Y Y Y Y                 </div>	_____ 02 <sup>nd</sup> Joint Holder Signature <div style="border: 1px solid black; display: inline-block; padding: 2px;">                     D D M M Y Y Y Y                 </div>
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