

Know Your Client Form 1
(Application form for Individual only)

Application No:



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In an effort to serve you (our client) better, we would like to know the following about you to enable us help you make informed investment decisions. The information provided will be kept private and confidential. Please fill this form (All information is applicable from sections 1,2,.....and ... is mandatory)

Applicant's Information

1. Name of Applicant- *Mr/Mrs* (As appearing in supporting identification document):

First Name: -----

Middle Name: -----

Last Name: -----

2. Date of Birth: / / Marital Status: No. of Children/ Dependents:

3. Status (please tick in appropriate box): Resident Non Resident

4. Nationality: -----

5. Proof of Identity to be provided by applicant. Please Submit copy of any valid documents. (Please fill in appropriate box) NIC No.: Passport No.:

6. Present Address: -----

State..... Country..... Postal Code

7. Permanent Address: -----

State..... Country..... Postal Code

8. Contact Details:

Tel (Office no): ----- Tel (Home): -----

Mobile: ----- Fax: -----

E-mail: -----

9. Proof of present address to be provided by applicant. Please provide anyone of following latest documents and tick the attached document:

Latest land Line Tel Bill Latest Mobile Phone Bill Latest electricity Bill Latest Water Bill
Latest Bank Pass Book Latest Bank Account Statement Latest MSD Account Statement
Rental Agreement of residence Any other proof of current address

10. Monthly Income (Please tick the relevant box):

Up to MRF 5,000 MRF 5,001 to MRF 10,000 MRF 10,001 to MRF 20,000 MRF 20,001 to MRF 30,000 MRF 30,001 to MRF 50,000 MRF 50,001 & above

11. Occupation Details (Please tick the relevant box):

Private Sector Services Public/Government Sector Service Politically Exposed Person

Retired Business Professional Housewife Student

Other (Please specify) -----

12. Name and Nature of the Business:.....

13. Are you politically exposed person? Yes (Attached supporting documents) No

14. Bank Account Details

- Type of Account: -----
- Account name: -----
- Account number: -----
- Bank name: -----

15. Security Deposit Account no: -----

16. Your Annual Gross Income: MRF.....

17. Your Annual Net Income: MRF.....

18. What investment time horizon is most appropriate for your investment programme?

- Less than 1 year
- 1 yr - 3yrs
- 4yrs - 10 yrs
- More than 10 yrs

19. What Is The Projected Use Of The Money In Your Investment Programme?

(Rank the following according to order of importance on scale of 1 to 5, with 1 being the most important)

(1) To fund retirement:

(2) To finance college education of children:

(3) To fund the purchase of a home (improvements):

(4) To build wealth:

(5) Other (please explain):

20. What Is Your Overall Knowledge Of Investment?

- Low: I have very little investment experience outside of bank savings
- Medium: I have some experience investing in shares and bonds
- High: I have been an active participant in the stock market

21. What Is Your Investment Objective?

Different types of investments generate returns in different ways. Aggressive investments such as shares tend to generate returns through dividend payments and capital gains. How would you characterize your investment objective for this portfolio?

- Emphasis on income generating investments
- Emphasis on income generating investment and some capital growth

22. What Is Your Attitude Towards Risks?

The process of investing requires careful consideration of risk. There is a trade-off between the risk associated with an investment and its expected return over time. Typically, one must endure greater risk in order to pursue higher returns. Each investor has different attitude towards risks. Which statement describes your attitude towards risks?

- I cannot accept any loss of principal
- Conservative: I am more concerned with preserving the value of my account then maximizing capital growth, and can tolerate some decline in value through market cycle
- Moderate: I am comfortable with fluctuations in my portfolio, and the possibility of large declines in value, in order to grow my portfolio over time.
- Aggressive: I am comfortable taking on high levels if risk, and the possibility of large fluctuations and substantial declines in the value of my portfolio, in pursuit of higher level of appreciation in my portfolio over time.

23. Is There Any Additional Information You Would Like Us To Know About You?

24. Settlement Instructions:

- Cheques: Collected by client
 Account transfer

I hereby declare that the information given in this application is true and correct.

1. Client's Name: Signature.....
 2. Date:

Witnesses

- | | |
|------------------|------------------|
| 1. Name: | Name: |
| Address: | Address: |
| Signature: | Signature: |

FOR OFFICE USE ONLY

ALL RELEVANT DOCUMENTS ATTACHED [YES / NO]

Introduced By:

Approved By:

Designation:

Date:

Signature.....

Check List

Please ensure the following while submitting KYC application form :

- KYC form is complete
- KYC form is signed by the applicant as well as witnesses
- Signature with KYC must match with that on the identity proof submitted
- Photograph is pasted on the form and the investor has signed across the photograph
- Photo copy of Identity card/Passport
- Photo copy of Birth Certificate for minor (under the age of **18** years)
- Power of Attorney (if represent an agent)
- Address mention in the form is matching with the address proof submitted
- Documentation for Politically exposed person
- Supporting documents providing evidence of current work place