



ASIA SECURITIES

INTEGRITY | INSIGHT | INNOVATION
WEALTH MANAGEMENT

ASIA SECURITIES WEALTH MANAGEMENT (PVT) LTD (KYC) PROFILE - FOR INDIVIDUALS ONLY

Asia Securities Wealth Management (Pvt) Limited | 4th Floor, Lee Hedges Tower, 349, Galle Road, Colombo 3
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ALL THE INFORMATION AS APPLICABLE IN SECTION A, B AND C BELOW ARE MANDATORY AND SEPARATE KYCS ARE REQUIRED FOR EACH JOINT ACCOUNT HOLDER.

SECTION A – BASIC ACCOUNT INFORMATION

CLIENT TYPE	<input type="checkbox"/> INDIVIDUAL	<input type="checkbox"/> JOINT
NAME IN FULL (APPLICANT / JOINT PERSON)		
NIC OR PASSPORT (PLEASE ATTACH A COPY)		
PERMANENT ADDRESS		
CORRESPONDENCE ADDRESS		

SECTION B - ADDRESS, CONTACT DETAILS OF THE APPLICANT & CITIZENSHIP

1. PROOF OF RESIDENCY DOCUMENT PROVIDED BY THE APPLICANT
(Please submit any one of the following document and tick (✓) against the document attached.)

- | | |
|--|---|
| <input type="checkbox"/> NATIONAL IDENTITY CARD | <input type="checkbox"/> ELECTRICITY /WATER* |
| <input type="checkbox"/> TELEPHONE /MOBILE PHONE BILL* | <input type="checkbox"/> INCOME TAX RECEIPT/ASSESSMENT NOTICE* |
| <input type="checkbox"/> BANK ACCOUNT STATEMENT/CREDIT CARD STATEMENT* | <input type="checkbox"/> GRAMA-SEVAKA CERTIFICATE* |
| <input type="checkbox"/> VALID TENANCY AGREEMENT | <input type="checkbox"/> REGISTERED LEASE/SALE AGREEMENT OF RESIDENCE |
| <input type="checkbox"/> LETTER ISSUED BY THE SUPERINTENDENT OF A PLANTATION ESTATE IN RESPECT OF ESTATE WORKERS WHO HAVE NO OTHER DOCUMENTARY PROOF* | |
| <input type="checkbox"/> OTHER NOTICES/LETTERS ISSUED BY THE GOVERNMENT AUTHORITIES AND INSTITUTIONS WHICH WILL BE DEEMED AS ACCEPTABLE TO ASIA SECURITIES WEALTH MANAGEMENT (PVT) LIMITED (PLEASE SPECIFY)* | |

*These documents should be within three months as on the date of the opening of account

2. STATUS OF RESIDENCY ADDRESS (PREMISES)

- | | | | |
|-----------------------------------|---|---|--|
| <input type="checkbox"/> OWNER | <input type="checkbox"/> PARENT'S OTHER | <input type="checkbox"/> LEASE/RENT | <input type="checkbox"/> FRIENDS/RELATIVES |
| <input type="checkbox"/> OFFICIAL | <input type="checkbox"/> BOARD/LODGING | <input type="checkbox"/> OTHER PLACE - (PLEASE SPECIFY) | |

3. CONTACT DETAILS

TEL (OFFICE)		MOBILE NO	
TEL (RES)		FAX NO	
E-MAIL			

4. CITIZENSHIP AND FATCA DETAILS

- | | |
|---|--|
| <input type="checkbox"/> SRI LANKAN | <input type="checkbox"/> SRI LANKAN WITH FOREIGN CITIZENSHIP |
| <input type="checkbox"/> SRI LANKAN WITH DUAL (PLEASE SPECIFY THE COUNTRY OF CITIZENSHIP) | _____ |
| <input type="checkbox"/> FOREIGN NATIONALITY (PLEASE SPECIFY THE COUNTRY) | _____ |

ARE YOU A US PERSON UNDER THE FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) OF THE US?

- | | |
|--|---|
| <input type="checkbox"/> YES (IF YES, FATCA DECLARATION HAS TO BE SUBMITTED) | <input type="checkbox"/> NO (IN THE EVENT I BECOME A US PERSON UNDER FATCA OF US, I HEREBY UNDERTAKE TO INFORM THE SAID FACT TO ASIA SECURITIES WEALTH MANAGEMENT (PVT) LTD IMMEDIATELY.) |
|--|---|

SECTION C-OTHER DETAILS

1. EMPLOYMENT DETAILS

OCCUPATION

NAME OF THE ORGANIZATION

REGISTERED ADDRESS OF THE ORGANIZATION

TELEPHONE / FAX / EMAIL

2. SELF EMPLOYED/PROFESSIONALS

NATURE OF BUSINESS / PROFESSION

REGISTERED ADDRESS

3. EXPECTED VALUE OF INVESTMENT PER ANNUM: PLEASE TICK(✓)

LESS THAN RS. 100,000

RS. 100,000 TO RS. 500,000

RS. 500,000 TO 1MN

RS. 1MN TO RS. 3MN

RS. 3MN TO RS. 5MN

RS. OVER RS. 10MN

4. SOURCE OF FUND. PLEASE TICK (✓)

BUSINESS TURNOVER & COMMISSION

CONTRACT PROCEEDS

GIFT/FAMILY REMITTANCES

INVESTMENT PROCEEDS/SAVINGS

SALES OF PROPERTY ASSETS

MEMBERSHIP CONTRIBUTION

SALARY/PROFIT INCOME

DONATIONS/CHARITIES

OTHER(SPECIFY)

5. OTHER CONNECTED BUSINESS/PROFESSIONAL ACTIVITIES AND BUSINESS INTERESTS

6. OTHER DETAILS/REMARKS/NOTES: (IF ANY)

ARE YOU AN INDIVIDUAL WHO IS OR HAS BEEN ENTRUSTED WITH PROMINENT PUBLIC FUNCTIONS, DOMESTICALLY OR 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, OR IMPORTANT POLITICAL PARTY OFFICIALS. IF "YES" PLEASE EXPLAIN.

ARE YOU AN INDIVIDUAL WHO IS RELATED TO A POLITICALLY EXPOSED PERSON (PEP) EITHER DIRECTLY (CONSANGUINITY) OR THROUGH MARRIAGE OR SIMILAR (CIVIL) FORMS OF PARTNERSHIP?

IF "YES" PLEASE EXPLAIN THE RELATIONSHIP.

SIGNATURE(S) OF THE APPLICANT(S)/AUTHORIZED PERSON(S)

DATE

[DD / MM / YYYY]

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