



ASIA SECURITIES

INTEGRITY | INSIGHT | INNOVATION

WEALTH MANAGEMENT

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

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THE INFORMATION AS APPLICABLE IN SECTION A & B BELOW IS MANDATORY,
(EXCEPT FIELDS B.2 TO B.6) FOR ALL CORPORATE & INSTITUTIONS.

A. ORGANIZATION DETAILS

A.1 NAME			
A.2 REGISTRATION NUMBER			
A.3 REGISTERED ADDRESS			
A.4 CORRESPONDENCE ADDRESS			
A.5 TELEPHONE	GEN	DIR	FAX
A.6 EMAIL OF A KEY CONTACT (ACCOUNTANT / FINANCE MGR)			
A.7 IF INCORPORATED ABROAD OR OFFSHORE SUBSIDIARY FOREIGN CORPORATE	PLACE OF INC	DATE OF INC	PARENT/GROUP NAME

A.8 FORM OF BUSINESS INCORPORATION : PLEASE TICK (✓)

<input type="checkbox"/> LIMITED LIABILITY COMPANY	<input type="checkbox"/> NON-PROFIT INSTITUTION/CHARITY	<input type="checkbox"/> PUBLIC LIMITED COMPANY
<input type="checkbox"/> STATUTORY BODY / UNDER PARLIAMENT ACT	<input type="checkbox"/> SOLE PROPRIETORSHIP/ PARTNERSHIP	<input type="checkbox"/> LOCAL / GLOBAL FUND
<input type="checkbox"/> OTHER (SPECIFY)		

A.9 STATUS : PLEASE TICK (✓)

☐ LOCAL ☐ FOREIGN

A.10 DIRECTOR / AUTHORIZED SIGNATORY DETAILS

	NAME	NIC/PP NO	DESIGNATION
1			
2			
3			
4			
5			
6			

A.11 PLEASE SUBMIT THE FOLLOWING DOCUMENTS AND TICK AGAINST THE DOCUMENT ATTACHED

DOCUMENT	SOURCE	✓
BUSINESS REGISTRATION DOCUMENTS	For companies (ROC) form 01, Sole Proprietor/Partnership registration, if NGO registration with dept. of external resources etc.	
REGISTERED ADDRESS VERIFICATION	ROC form 01 or form 15	
CORRESPONDENCE ADDRESS VERIFICATION	Tenancy rent or lease agreement or alternatively two authorized signatory confirming the corresponding address on a letter head.	
LIST OF DIRECTORS WITH THEIR RESPECTIVE STAKE HOLDING & ID	ROC form 15 and 20, M&A etc. For ID & Address - NIC, Driving License, Passport etc.	
LIST OF TOP 10 SHAREHOLDERS	A formal letter signed by the company secretary	
ORGANIZATIONAL OBJECTIVE, PURPOSES AND AUTHORITY LEVELS	Memorandum & Articles of Association or related incorporation documents (MOU & Agreement for NGOs)	
SIGNING POWERS	Board resolution (BR) or power of attorney (POA)	

B. PRIME BUSINESS INFORMATION

B.1 NATURE OF BUSINESS
(PRODUCT / SERVICES)

B.2 INDUSTRY & SECTOR CLASSIFICATION

B.3 BUSINESS VINTAGE
(AGE OF BUSINESS SINCE INC)

B.4 TOP MANAGEMENT AVERAGE
YEARS OF EXPERIENCE

B.5 OTHER CONNECTED BUSINESS /
PROFESSIONAL ACTIVITIES

B.6 FINANCIAL PARTICULARS

DETAILS	CURRENT YEAR Rs.'000	PREVIOUS YEAR Rs.'000
ANNUAL TURNOVER		
NET PROFIT / LOSS		
PAID UP CAPITAL + CASH RESERVES		

B7. EXPECTED VALUE OF INVESTMENT PER ANNUM: PLEASE TICK(✓)

- ☐ LESS THAN RS 100,000
 ☐ RS. 100,000 TO 500,000
 ☐ RS. 500,000 TO 1,000,000
 ☐ RS. 1,000,000 TO 2,000,000
☐ RS. 3,000,000 TO 4,000,000
 ☐ RS. 4,000,000 TO 5,000,000
 ☐ RS. 5000,000 TO 10,000,000
 ☐ OVER RS. 10,000,000

B8. SOURCE OF FUNDS: PLEASE TICK (✓)

- ☐ SALES/BUSINESS TURNOVER
 ☐ INVESTMENTS/SAVINGS
 ☐ CONTRACT PROCEEDS
 ☐ SALE OF PROPERTY/ASSETS
☐ ANCILLARY/OTHER INCOME
 ☐ EXPORT PROCEEDS
 ☐ MEMBERSHIP/DONATION/CHARITY
☐ OTHER (SPECIFY)

C.OTHER DETAILS / DISCLOSURES

C.1 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)
☐ NO (IN THE EVENT IF I BECOME A US PERSON UNDER FATCA OF US, I DO HEREBY UNDERTAKE TO INFORM THE SAID FACT TO A-SEC WEALTH IMMEDIATELY)

C.2 DO YOU HAVE PERSONS WHO ARE OR HAVE BEEN ENTRUSTED DOMESTICALLY/INTERNATIONALLY WITH A PROMINENT PUBLIC FUNCTION (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, MEMBERS OF SENIOR MANAGEMENT OR INDIVIDUALS WHO HAVE BEEN ENTRUSTED WITH EQUIVALENT FUNCTIONS, I.E. DIRECTORS, DEPUTY DIRECTORS AND MEMBERS OF THE BOARD OR EQUIVALENT FUNCTIONS).

IF "YES" PLEASE CLARIFY

SIGNATURE OF THE DIRECTOR/AUTHORIZED PERSON/S	COMPANY SEAL
DATE	[DD / MM / YYYY]

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