



# LANKA SECURITIES (PVT) LTD

A JOINT VENTURE STOCKBROKING FIRM BETWEEN FIRST CAPITAL SECURITIES CORP. LTD (PAKISTAN), BANK OF CEYLON & MERCHANT BANK OF SRI LANKA

## Know Your Customer (KYC) Profile

For Non Individuals

(This information is sought under the Prevention of Money Laundering Act No. 6, Financial Transaction Reporting Act No. 6 of 2006 and the rules for the Securities Industry Issued by the Financial Intelligence Unit of the Central Bank of Sri Lanka)

**PLEASE READ CAREFULLY THE COVENANTS & UNDERTAKING OVERLEAF AND COMPLETE THE FORM IN BLOCK LETTERS**

IA Code :    Reference No. :

CDS Account No. :      /   /

Please tick the appropriate box/boxes.

01	Status	<input type="checkbox"/> Local	<input type="checkbox"/> Foreign			
02	Name of Company					
03	Registered Address					
04	Correspondence Address					
05	Nature of Entity	<input type="checkbox"/> Limited Liability Company <input type="checkbox"/> Public Limited Company <input type="checkbox"/> Global & Regional Fund <input type="checkbox"/> Local Fund <input type="checkbox"/> Statutory Body <input type="checkbox"/> A Body Established Under An Act of Parliament <input type="checkbox"/> Other (Please Specify):.....				
06	a) Whether Listed on CSE b) Whether Listed on Other Stock Exchange If Listed Please Specify :.....	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	07	Registration No:	
					Place of Incorporation:	
					Date:	
08	Name of the key contact person					
	Contact Details	Residence	Office	Mobile	Fax	E-mail
09	Nature of Business (Product / Service provider) :					
10	Expected Value on Investment per Annum	<input type="checkbox"/> Less than Rs. 100,000 <input type="checkbox"/> Rs. 100,000 to Rs. 500,000 <input type="checkbox"/> Rs. 500,000 to Rs. 1,000,000 <input type="checkbox"/> Rs. 1,000,000 to Rs. 2,000,000 <input type="checkbox"/> Rs. 2,000,000 to Rs. 3,000,000 <input type="checkbox"/> Rs. 3,000,000 to Rs. 4,000,000 <input type="checkbox"/> Rs. 4,000,000 to Rs. 5,000,000 <input type="checkbox"/> Rs. 5,000,000 to Rs. 10,000,000 <input type="checkbox"/> Over Rs. 10,000,000				
11	Source of Funds	<input type="checkbox"/> Business Ownership <input type="checkbox"/> Sales & Business Turnover <input type="checkbox"/> Contract Proceeds <input type="checkbox"/> Investment Proceeds/Savings <input type="checkbox"/> Sale of Property/Assets <input type="checkbox"/> Membership Contribution <input type="checkbox"/> Salary/Profit Income <input type="checkbox"/> Family Remittance <input type="checkbox"/> Export Proceeds <input type="checkbox"/> Commission Income <input type="checkbox"/> Donations Charities ( local / foreign ) <input type="checkbox"/> Gift <input type="checkbox"/> Others (Specify):.....				
12	Other Connected Business / Professional Activities & Business Interest					
13	Other Details / Remarks/Notes (if any)					
14	Name of Person/s Authorized to Give Instructions					
15	උපදෙස් Instructions for අත්සන්කරුවන්	<input type="checkbox"/> විකුණුම් ලද මතකයේ රැඳවීම Hold Sales Proceeds විකුණුමට පෙරුද්දක පැහැදිලිව පෙන්වීම		<input type="checkbox"/> ආණ්ඩු මගින් පවුල් කන්පතු Direct Deposit Via Slips ආණ්ඩු මගින් පවුල් කන්පතු		<input type="checkbox"/> විද්‍යුත් තැපෑල, ලිපිනය, සහ මාසික වාර්තා මගින් from Email, Contracts, & Monthly Statement ලබාගැනීම සඳහා පිළියෙල කළ යුතු වන්න
<b>Bank Account Details</b>						
16	Bank	Branch	Account No.	Account Type		
				Current	Savings	SIERA RANSI
<b>Authorized Signatories Details</b>						
17	Name of the Person			Capacity		
	1.					
	2.					
	3.					
18	Signature/s					

<b>For Office Use Only</b>		
IA's signature:	Date:	Approved by:

Please Turn Overleaf

Dear Sir/Madam,

**Covenants and Undertakings**

I/we hereby;

1. Request you to open an account in my/our name;
2. Undertake to abide by all laws relating to my/our trading activities with you including without limitation the Rules and Regulations of the Colombo Stock Exchange (CSE) now in force or from time to time amended, revised or supplemented;
3. Declare that all particulars and information given in this application form are true and correct and that I/ we have not withheld any material fact or information to you. I/we hereby authorise you to verify at any time and from time to time all or any of the particulars and/or information furnished herein in such manner as you shall deem fit,
4. Undertake to furnish you with such additional particulars and information as you may require at any time and from time to time,
5. Declare and agree that my/our application herein is subject to your approval and are absolutely entitled to reject my/our application or impose such conditions or restrictions as you may deem fit without giving any reasons thereof; In the event an account is being opened pursuant to the application herein, I/we hereby further agree to the following;
6. I/we undertake to make immediate payment for securities purchased by me/us and /or on my/our behalf when the same is due and you shall be entitled to apply such payment in any manner as you may in your absolute discretion decide,
7. I/we undertake to pay any security deposit required by me/us in relation to my/our, account including without limitation deposit for purchase contracts made/transacted by me/us and/or on my/our behalf;
8. I/we undertake to deliver to you promptly any transfer deeds and certificates or documents of title of securities before you sell on my/our behalf;
9. I/we authorise you to sell out or buy in such securities as may be required to clear my/our position with you;
10. I/we agree to pay to you all charges that may be imposed by you in relation to any debit balance outstanding in my/our account with you including without limitation your costs of funds, handling fee and service charges;
11. I/we authorise you to deal, in any manner as you shall fit, with all or any of the securities purchased for or under my/our account for which I/we have not remitted payment;
12. I/we hereby irrevocably authorise and empower you to sell and dispose of in your absolute discretion any shares which may be deposited by me/us or purchased by you in my/our name and held in my/our name in the Central Depository Systems (Pvt) Ltd. (CDS), without, my/our being accountable for the selection of the security for the purpose in the event of I/we defaulting in the payment of any purchase price including transaction fees and penalties applicable payable to you or to any other Broker in relation to the purchase of any Securities on my/our behalf to the extent of the cover contemplated in the Conditions of Sale prescribed by the CSE. You are specifically authorised to instruct the CDS in relation to the sale of my/our Securities registered in the CDS without any further or other authority and to deal with and sign all documents for me/us and on my/our behalf and to receive the purchase price and to appropriate the purchase price, transaction fees and penalties applicable or any part thereof in the settlement of the monies due to you in the event of my/our default as aforesaid. In the event Broker is empowered to make investment decisions in the secondary market for and on behalf of me/us on discretionary basis the said authority for same will be given in writing by me/us in the prescribe form;
13. I/we declare that all orders made by me/us through the telephone shall not be revoked or withdrawn by me/us and shall therefore be confirmed;
14. I/we declare and agree that you may at any time and at your absolute discretion suspend or close my/our account with or without giving any reason therefor;

15. I/we declare that I/we have received the most recent trading guidelines issued by you and have read and understood the said trading guidelines and agree that I/we will not make any claims against you in the event I/ we suffer loss or damage as a consequence of my/our failure to observe or comply with the trading guidelines now existing or such other trading guidelines issued by you from time to time;
16. I/we agree that I/we will have no claim whatsoever against you for any payments in respect of securities sold by me/us or for delivery of certificates or documents of title of securities purchased by me/us in the event I/we had authorised my/our Dealer Representative or any other person to collect payments and/or transfer deeds and certificates or documents of titles of securities on my/our behalf from you;
17. I/we agree to at all times fully and effectively indemnify you and keep you fully and effectively indemnified against all actions, suits, proceedings, claims, demands, losses, charges penalties, fees, fines, costs, debts, interests, legal fees (on a full indemnity basis) and expenses whatsoever made, taken, brought, instituted, imposed, suffered, incurred, prosecuted or payable in any way howsoever (including without limitation negligence on your part or the part of your agents employees or servants) against or by you and any person arising out of or incidental to all matters relating to my/our account with you including without limitation the agreements, undertakings and covenants herein. Your right of indemnity conferred herein shall continue in full force and effect and shall continue to subsist hereafter notwithstanding the suspension, termination or closure of my/ our account with you;
18. I/we will forthwith notify you in writing of any change of address and or any material changes on my/our part. Should I/we fail to notify you or should you fail to receive my/our notification, any notice sent by you to the address last known to you shall be deemed to be sufficiently given. Any notice given by you shall be deemed effected upon the expiry of three (3) days after the same is sent by ordinary post;
19. Failure or delay on your part to insist in any one or more instances upon the performance of any provisions contained herein shall not be construed as a waiver or relinquishment of any of your right to future performance of such provision and my/our obligation in respect of such future performance shall continue in full force and effect;
20. In the event that anyone or more of the provisions contained herein or its performance shall for any reason be held to be unenforceable, illegal or otherwise invalid in any respect, under the law governing the terms herein (being the law of Sri Lanka) such unenforceability, illegality or invalidity shall not affect any other provisions herein and the provisions herein shall then be construed as such unenforceable, illegal or invalid provisions had never been contained herein.
21. **RISK DISCLOSURE STATEMENT; The prices of securities fluctuate, sometimes drastically. The price of a security may move up or down, and may even become valueless. It is likely that losses may be incurred rather than profit made as a result of buying and selling securities.**

Read & understood all of the above. The aforesaid risk disclosure statement was explained to me/us by the Investment Advisor. There are no matters arising therefrom.

Signature of Applicant/s

- (i) .....
- (ii) .....
- (iii) ..... Date :.....

The aforesaid Risk Disclosure Statement was explained to the securities account holder/s. There were no matters arising therefrom.

Name of the IA : .....

Signature : ..... Date : .....