

Account Opening Form for Individuals



Level 2, NDB Capital Building, No. 135, Bauddhaloka Mawatha, Colombo 04. Tel (+94 11) 2131000 Fax: 2314180

1. Know Your Customer (KYC) Profile

(This information is sought under the Prevention of Money Laundering Act No. 5 of 2006, 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)

Personal

| | | | | | | | | | | | | | | | | | | | | | | | |
|--|---|---|---|---|--------|---|---|--|-------------|--|--|------------------------------|--------------------|--|--|-----------------------------|--------|--|--|--|--|--|--|
| Full Name (Mr./Mrs./Miss./Rev.) | | | | | | | | | | | | | | | | | | | | | | | |
| Permanent Address | | | | | | | | | | | | | | | | | | | | | | | |
| Correspondence Address | | | | | | | | | | | | | | | | | | | | | | | |
| Date of Birth | D | D | M | M | Y | Y | Y | Y | Nationality | | | | NIC / Passport No. | | | | | | | | | | |
| Contact Details | Residence | | | | Mobile | | | | Office | | | | Fax | | | | E mail | | | | | | |
| | | | | | | | | | | | | | | | | | | | | | | | |
| Country of Birth | | | | | | | | Do you hold Multiple Nationality/ Citizenship/Resident/Permanent Resident Status <input type="checkbox"/> Yes <input type="checkbox"/> No | | | | | | | | | | | | | | | |
| If yes, please give the name/s of the country/countries | 1)..... | | | | | | | Country of Residence | | | | | | | | | | | | | | | |
| | 2) | | | | | | | | | | | | | | | | | | | | | | |
| | 3) | | | | | | | | | | | | | | | | | | | | | | |
| Proof of Residency (Please submit two copies of any one of the stated documents and tick (✓) against the document attached) | <input type="checkbox"/> NIC <input type="checkbox"/> *Telephone Bill <input type="checkbox"/> *Bank Account Statement / Credit card statement <input type="checkbox"/> Valid Tenancy Agreement <input type="checkbox"/> Registered Lease or Sale Agreement of Residency <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 Government authorities and institutions which will be deemed as acceptable to the CDS. (Please specify :)..... * These documents should be within three months as of the date of submission of the CDS account opening forms. | | | | | | | | | | | | | | | | | | | | | | |
| Status of Residency Address | <input type="checkbox"/> Owner <input type="checkbox"/> Lease/Rent <input type="checkbox"/> Friends/Relatives <input type="checkbox"/> Parent's <input type="checkbox"/> Official <input type="checkbox"/> Board/Lodging <input type="checkbox"/> Other Place-Specify..... | | | | | | | | | | | | | | | | | | | | | | |
| Are you or any member of your immediate family, a Political Exposed Person (PEP)? | | | | | | | | | | | | <input type="checkbox"/> Yes | | | | <input type="checkbox"/> No | | | | | | | |
| If "Yes" Please Specify : | | | | | | | | | | | | | | | | | | | | | | | |

Employment

| | | Account Holder | Spouse |
|---------------------------------|--|----------------|------------------------------|
| Employees | a) Occupation | | NIC No. <input type="text"/> |
| | b) Name of the Organization | | |
| | c) Address & Telephone No. of the Organization | | |
| Self Employed/ Professionals | a) Nature of Business / Profession | | |
| | b) Registered Address & Telephone No. | | |

Other Details

| | | | |
|--|---|--|---|
| Expected Value of Transactions Per Annum: Please tick (✓) | <input type="checkbox"/> Less than Rs. 100,000 <input type="checkbox"/> Rs. 1,000,000 to Rs. 2,000,000 <input type="checkbox"/> Rs. 4,000,000 to Rs. 5,000,000 | <input type="checkbox"/> Rs. 100,000 to Rs. 500,000 <input type="checkbox"/> Rs. 2,000,000 to Rs. 3,000,000 <input type="checkbox"/> Rs. 5,000,000 to Rs. 10,000,000 | <input type="checkbox"/> Rs. 500,000 to Rs. 1,000,000 <input type="checkbox"/> Rs. 3,000,000 to Rs. 4,000,000 <input type="checkbox"/> Over Rs. 10,000,000 |
| Source of Funds | <input type="checkbox"/> Sales & Business Turnover <input type="checkbox"/> Sale of Property / Assets <input type="checkbox"/> Commission Income <input type="checkbox"/> Salary / Profit Income | <input type="checkbox"/> Contract Proceeds <input type="checkbox"/> Gift <input type="checkbox"/> Family Remittances <input type="checkbox"/> Donations Charities (Local / Foreign) | <input type="checkbox"/> Investment Proceeds / Savings <input type="checkbox"/> Membership Contribution <input type="checkbox"/> Export Proceeds <input type="checkbox"/> Other (Specify)..... |
| Other Connected Business / Professional activities & Business interest | | | |
| Other Details/ Remarks / Notes : (if any) | | | |

Bank Account Details

| Bank | Branch | Account Number | Account Type |
|------|--------|----------------|--------------|
| | | | |
| | | | |

Other CDS Account Details

- Are you an existing customer of NDBS? Yes No If 'Yes' account No/s: (Individual)
If 'Yes' account No/s: (Joint/s)
- Does your spouse maintain a CDS account with NDBS? Yes No If 'Yes' account No/s:
- Does any Company over which you/your spouse/you joint accounts exercise control, maintain a CDS account/s with NDBS?
Yes No If 'Yes' account No/s :

You are deemed to exercise "Control" over a company, if you/your spouse, severally or jointly;

- Hold, directly or indirectly, more than 50% of the shares of the Company
- Have the power to appoint, or cause to be appointed, a majority of the directors of the company or,
- Have the power to make, or cause to be made, decisions in respect of the business or administration of the company and to give effect to, or cause them to be given effect to, such decisions.

Declaration on Foreign Account Tax Compliance Act (FATCA) of USA

- Do you fall within the definition of a "US Person" as defined in the Foreign Account Tax Compliance Act?

Yes No

If 'Yes' Tax Identification Number (TIN) / Social Security Number:

2. Operating Instructions

2.1 Instructions for Settlements

- a. Sales / Purchase separate b. Payment through IIA A/c

- c. 1) Hold sales proceeds for future settlements (Don't Pay): Yes No

- 2) i. Set off only past due purchases: Yes No

- ii. Set off future purchases (Not due purchases): Yes No

I hereby authorize NDB Securities (Private) Limited (NDBS) to hold sales proceeds (don't pay) / set off past due purchases / future (not due) purchases against the sales proceeds flowing from share transactions carried out in my CDS Account with NDBS to meet the settlement of future purchases made by me.

I hereby acknowledge that NDBS adopts a first-in first-out basis of the settlement of outstanding dues, both from and to me, and that NDBS reconciles my account and sends a statement of accounts at the end of each calendar month, indicating the transactions for which the settlement is outstanding.

Client Signature:

Date:

2.2 Electronic Communication (Accepted at Client's risk)

(a) Trade Instructions by:

(I) Facsimile Yes No If "Yes", Fax No:

(II) E-mail Yes No If "Yes", E-mail Address:

(III) Telephone Yes No

(b) Trade Confirmations

I wish to receive the following documents via email:

Statement of Accounts Confirmation of Trades Other Statutory Communication

Portfolio Statements Contract Notes

- (a) Unless instructed by the Client to NDBS in writing to the contrary NDBS is authorized to act on the instructions given by the Client or its Authorised Signatories transmitted through a machine or a pre designated email address/ email addresses.
- (b) The Client shall release NDBS and indemnify and hold NDBS harmless from and against all actions, suits, proceedings, costs, claims demands, charges, expenses, losses and liabilities however arising in consequence of or in any way related to:
- (i) NDBS having acted in good faith in accordance with the written facsimile of the Client or its Authorised Signatories or email instructions sent from the pre designated email address/email addresses,
 - (ii) NDBS having refrained from acting in accordance with the written, telephone, facsimile or email instruction(s) of the Client or the Authorised Signatories of the Client by reason of failure of actual transmission thereof to NDBS or receipt by NDBS for reasons beyond NDBS direct control or,

NDBS shall take reasonable steps to verify the identity of the persons giving the instructions purportedly on behalf of the Client and any transactions made pursuant to the instructions shall be binding on the Client whether made with or without the authority, knowledge or consent of the Client.

- (c) Any facsimile instruction or order bearing a signature which reasonably appears to NDBS to be in compliance with the specimen signature of the Client or the Authorised Signatory/ies of the Client submitted to NDBS shall be conclusively presumed for NDBS' benefit to be the Client's instruction or order.
- (d) NDBS will take reasonable measures to verify the authenticity of the facsimile or email instructions received from the Client. However, NDBS shall not be liable for any loss which the Client may suffer if NDBS acts on facsimile or email instructions or orders which turn out to be not the Client's instructions or orders or to be unauthorized by the Client but which the NDBS believed in good faith to be the Client's instructions or orders or to be authorized by the Client.
- (e) NDBS's authority to accept facsimile or email instructions or orders is a continuing authority and shall remain in force until written notice by the Client or the Authorised signatories of the Client terminating such authority is received by NDBS.
- (f) The Client acknowledges that facsimile transmissions or email instructions are not secure means of giving such instructions and orders and the Client is aware of the risks involved and that the request of the Client to NDBS to accept and act on such facsimile instructions or email instructions and orders is for the convenience of the Client and is solely at the Client's risk.

(c) SMS Alerts Service

NDBS SMS ALERTS is a messaging facility, which will dispatch information regarding your CDS account and transactions in your account via SMS to your mobile phone. Receiving SMS Alerts and information from NDB Securities (Private) Limited (NDBS) on your mobile devices, and your continued use of SMS Alert Service (the "Service") means that you agree to be bound by the following terms and conditions and hereby consent and authorize NDBS to send SMS Alerts to your mobile and to provide your mobile number to Third Party Service Provider(s) to the extent required to provide this Service to you. By requesting this Service, you certify that you are the account holder or you have the account holder's permission to do so.

This Service is made available for your personal-non-commercial use only. You may not send queries of any sort to NDBS SMS alert mobile number. The Service is currently provided as a free service and you are liable for any mobile phone charges that may incur as a result of using this Service. Please consult your mobile service carrier to determine the charges for receiving text messages. SMS Alerts usage is limited and any usage over 100 messages per month may lead to restricted use of SMS Alerts.

You must immediately notify us of any unauthorized uses of your mobile or loss of your mobile. It is your responsibility to promptly update any changes to your mobile number. We will not be liable for any acts or omission by you, including any damages of any kind incurred as a result of such acts or omissions. Further you agree that you will neither falsify your phone number nor spoof another individual's phone number. Timely delivery of messages is not guaranteed and your mobile phone carrier may further restrict/block your use of this Service. Before using information received from the Service, special attention should be given to the date and time of the information being displayed.

Although NDBS tries to provide accurate and timely information through this Service, there may be inadvertent technical or factual inaccuracies and typographical errors or may not function in the manner you anticipated. NDBS reserves the right to make changes and corrections at any time, without notice. To the extent permitted by law, we make no representations or warranties regarding the Service, or content that you receive from us, and disclaim any warranties or representations, express or implied, including, without limitation any warranties of merchantability, fitness for a particular purpose, reliability and security and you rely on the Service at your own risk.

Furthermore, NDBS is not responsible for circumstances beyond its control, including, without limitation, acts or omissions of others, atmospheric conditions or acts of god. NDBS will not be liable for any delays in the receipt of any SMS Alerts as delivery is subject to the effective transmission from your mobile phone service carrier. NDBS reserves the right to modify and terminate the Service at its sole discretion. Your use of this Service is governed by the laws of Sri Lanka.

You expressly allow us to use your mobile number to notify the following:

CDS Account Related

| | | |
|---------------------|------------------------------|------------------------------|
| CDS Account Opening | CDS Account Amendments | Share Lodgments |
| Share Transfers | Payment Received (receipts) | Debtor - Outstanding Balance |
| Settlement Cheques | Daily Sales/Purchase Summary | |

Online Trading Related

| | | |
|------------------------------|-----------------------------|---------------------------------|
| Online Trading User Creation | User ID Activate/Deactivate | Online Trading Login Successful |
| Order Placement | Order Partially Fills | Order Fully Fills |
| Order Cancelled | Order Rejected | Order Expired |

Market Related

| | |
|----------------|---------------|
| Market Updates | Announcements |
|----------------|---------------|

To stop receiving SMS Alerts, you must email operations@ndbs.lk or call +94112131000

Client Signature: Date:

2.3 Internet Trading

Yes No * If Yes, Email address to which password should be sent:

“NDB Securities (Private) Limited is a hundred percent owned subsidiary of NDB Capital Holdings Limited which specializes in Securities Trading transactions. As NDB Securities (Pvt) Ltd and NDB Capital Holdings Limited are two different entities, it is the responsibility of the Account Holder to liaise directly with NDB Securities (Pvt) Ltd and their representatives, pertaining to all Securities Trading”

| FOR OFFICE USE ONLY | All Relevant Documents Attached | | | | YES / NO |
|---------------------|---------------------------------|------------|-----------|------|----------|
| Checked By | | Signature | | Date | |
| Investment Advisor | | Signature | | Date | |
| Approved By | | Signature | | Date | |
| System Update By | | Signature | | Date | |
| | Done (YES/NO) | Checked By | Signature | Date | |
| World Check | | | | | |
| LTL Check | | | | | |

Please Enclose:
 * Two photocopies of NIC or passport
 * Two photocopies of any latest utility bill (Electricity, Water, Telephone bills etc), bank statement or such other proof (Which is not more than 3 months old)
 * IIA account details with proof (if Non-Resident)
 * Internet Trading Agreement (For Internet Trading Facility)

NDB Securities (Private) Limited is a member of the Colombo Stock Exchange, and is licensed by the Securities & Exchange Commission of Sri Lanka to operate as a Stock Broker.