

Account Opening Form for Non Individuals



Level 2, NDB Capital Building,
No. 35, Bauddhaloka Mawatha, Colombo 04.
Tel (+94 1) 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)

Basic Account Information

Nature of the entity : Please tick ()

Limited Liability Company Public Limited Company Global & Regional Fund Local Fund

Statutory Body A Body established under an Act of Parliament Other : (Please specify)

Status : Please tick () Local Foreign

a) Whether Listed on CSE : Please Tick () Yes No

b) Whether Listed on other Stock Exchange : Please Tick () Yes No

If Listed Please specify :

c) Name of the Parent Company :

d) Name of the Subsidiary / Subsidiaries :

Does the Company, the parent company or any subsidiary of the Company maintain a CDS account with NDBS? Yes No

If Yes A/c No/s :

Company Details

Name of the Company				
Registered Address				
Correspondence Address				
Company Registration No.	Date of Incorporation	Place		
Telephone No.	Fax No.			
E mail				

Details of Persons Authorized to operate the Account

Name of the Person	Contact Number	E-mail Address	Capacity	Signature

Details of Key Contact Person

Name of the Key Contact Person			
Telephone No	(Office)	(Res.)	Mobile No.
E mail Address			Fax No.

Other Details

a) Nature of Business (Product / Service Provided) :

b) Expected Value of Investment per annum : Please tick ()

Less than Rs. 100,000 Rs. 100,000 to Rs. 500,000 Rs. 500,000 to Rs. 1,000,000

Rs. 1,000,000 to Rs. 2,000,000 Rs. 2,000,000 to Rs. 3,000,000 Rs. 3,000,000 to Rs. 4,000,000

Rs. 4,000,000 to Rs. 5,000,000 Rs. 5,000,000 to Rs. 10,000,000 Over Rs. 10,000,000

Source of funds : Please tick ()

Business Ownership Investments Sales and Business Turnover Contract

Proceeds Sale of Property / Assets Gift Commission Income Export Proceeds

Investment Proceeds / Savings Profits / Revenue Donations/Charities (Local / Foreign) Other (Specify)

Other Connected Business / Professional Activities & Business Interest

Other Details / Remarks / Notes : (If any)

2. Operating Instructions

2.1 Instructions for Settlements

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

d. 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.

Authorised Signatory - Name: Signature: Date:

Name: 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 / We 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.

Authorised Signatory – Name: Signature: Date:

Name: 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	

Please Enclose:

1. Details of Directors (Name/s, Addresses, and Occupations) & Details of top 10 shareholders (Name and addresses, Percentages) have to be provided on a separate Company letterhead duly certified by the Company Secretary.
2. Certified copy of NIC or valid passport of Directors (should be certified by Attorney-at-law)
3. Certified copy of Memorandum & Articles of Association and commencement of business (If applicable)
4. Certified copy of Certificate of Incorporation
5. Board resolution (Only if the 'Certification of Resolution' on CDS account opening form is not filled)
6. If an authorized person is signing the CDS application form on behalf of the Applicant Company, a copy of NIC or Passport of the authorized person should be forwarded.
7. Directors Individual KYC Forms
8. For FATCA purpose please provide the following details of the major share holders (With more than 10 % voting rights):
 - i. Name
 - ii. NIC/Passport no.
 - iii. Designation
 - iv. Shares Held (In Percentage)
 - v. Nationality//Multiple Nationality/Citizenship/Resident Status (Please include all relevant information)
 - vi. Contact Number
 - vii. Residential address
 - viii. Signature

If Foreign Company, provide the following details in addition to the above:

- I. IIA account details with documentary evidence.
- II. Certified copy of Certificate of Commence Business (where relevant)
- III. Certified copy of “Good Standing” issued by the Registrar of Companies/applicable authority where the Company is incorporated

Please Note:

- * When filling the application forms please avoid using correction fluid.
- * Documents mentioned in 1, 2, 3 above are not required if it is a listed company.
- * All supporting documents should be certified as true copy of original, by a Solicitor, Attorney-at-law, Notary Public, practicing in the relevant country.
- * Two Director signature’s with company embossed seal required on CDS 2, CDS (A), NBS 1
- * Internet Trading Agreement (If Requesting for Internet Trading Facility)

- If Clubs/Societies/Charities/NGO’s - Should provide details of office bearers, Administrators, members of the governing body or committee or any other person who has control or influence over the operations of the entity.
- In case of NGO - Registration certificate from the Ministry of Social Services
- In the case of Trust - Clearance Certificate from the relevant line Ministry (if applicable) should also be provided.
- Nominees and fiduciary account details of all trustees, settlers/grantors and beneficiaries should be provided.

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.

	Done (YES/NO)	Checked by	Signature	Date
World check				
LTL check				