



# 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  
T: +94 11 772 2020 | F: +94 11 237 2280 / +94 11 237 2263 | wealthoperations@asiasecurities.lk | www.asiasecurities.lk

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		
INCOME TAX FILE NO (TIN)		

### 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. PURPOSE OF OPENING THE ACCOUNT

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

- |  |   |   |
|--|---|---|
| <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 1MN |
| <input type="checkbox"/> RS. 1MN TO RS. 3MN    | <input type="checkbox"/> RS. 3MN TO RS. 5MN         | <input type="checkbox"/> RS. OVER RS. 10MN  |

### 5. SOURCE OF FUND. PLEASE TICK (✓)

- |   |   |  |
|---|---|--|
| <input type="checkbox"/> BUSINESS TURNOVER & COMMISSION | <input type="checkbox"/> CONTRACT PROCEEDS        | <input type="checkbox"/> GIFT/FAMILY REMITTANCES |
| <input type="checkbox"/> INVESTMENT PROCEEDS/SAVINGS    | <input type="checkbox"/> SALES OF PROPERTY ASSETS | <input type="checkbox"/> MEMBERSHIP CONTRIBUTION |
| <input type="checkbox"/> SALARY/PROFIT INCOME           | <input type="checkbox"/> DONATIONS/CHARITIES      | <input type="checkbox"/> OTHER(SPECIFY)          |

### 6. OTHER CONNECTED BUSINESS/PROFESSIONAL ACTIVITIES AND BUSINESS INTERESTS

### 7. 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 ]

**Asia Securities Wealth Management (Pvt) Limited**

4th Floor, Lee Hedges Tower, 349, Galle Road, Colombo 3

T: +94 11 772 2020 | F: +94 11 237 2280 / +94 11 237 2263 | wealthoperations@asiasecurities.lk | www.asiasecurities.lk