



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
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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	

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

☐ LESS THAN RS. 100,000

☐ RS. 100,000 TO RS. 500,000

☐ RS. 500,000 TO 1MN

☐ RS. 1MN TO RS. 3MN

☐ RS. 3MN TO RS. 5MN

☐ RS. OVER RS. 10MN

4. SOURCE OF FUND. PLEASE TICK (✓)

☐ BUSINESS TURNOVER & COMMISSION

☐ CONTRACT PROCEEDS

☐ GIFT/FAMILY REMITTANCES

☐ INVESTMENT PROCEEDS/SAVINGS

☐ SALES OF PROPERTY ASSETS

☐ MEMBERSHIP CONTRIBUTION

☐ SALARY/PROFIT INCOME

☐ DONATIONS/CHARITIES

☐ OTHER(SPECIFY)

5. OTHER CONNECTED BUSINESS/PROFESSIONAL ACTIVITIES AND BUSINESS INTERESTS

6. 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]

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