

NSB FUND MANAGEMENT COMPANY LIMITED

Declaration of Beneficial Ownership

Details of Beneficial Ownership required in terms of Extraordinary Gazette Number 1951/13 dated 27th January 2016, Customer Due Diligence (CDD) Rules No 01 of 2016

In order to meet our customer identification requirements under the Sri Lanka AML/CTF legislation, we seek your assistance in completing the attached AML/KYC questionnaire. We request you to complete all sections of the questionnaire, detailing appropriate responses where required.

A. COMPANY DETAILS		
01	Full Legal Name	
02	Company Registration Number	

B. OWNERSHIP DETAILS					
01	Legal form of the entity		Public company <input type="checkbox"/> State Owned Company <input type="checkbox"/> Private company <input type="checkbox"/> Other (Please Specify) <input type="checkbox"/> _____		
02	The Stock Exchange the Entity has listed shares :				
03	Details of major Shareholders with a shareholding greater than 10% (Please specify all the information)				
	Name:		Percentage of Ownership		
04	Details of major beneficial owners* with a shareholding greater than 10% (Please specify all the information / or grounds for being a beneficial owner for legal arrangement)				
	Full Name	ID/PPT Number	Permanent Address	Check Politically Exposed Person (PEP) if <input type="checkbox"/>	Percentage of Ownership / or Grounds for Being a Beneficial Owner(1=Equity (indicate %),2=Effective Control, 3=Person on Whose Behalf Account is Operated)
				<input type="checkbox"/>	
				<input type="checkbox"/>	
				<input type="checkbox"/>	
				<input type="checkbox"/>	
				<input type="checkbox"/>	
Name of the persons who submits information:					
Position(Directors/Company secretary):					
Telephone:					
Email:					
Signature:					
Date:					

Verification of Beneficial Ownership	
Authorized Financial Institution Official	
Name :	
Title :	
Date :	
Signature and Seal: (by signing, you attest that you have identified the Customer whose signature is on this form and have witnessed said signature)	

Note : ("Beneficial owner" means a natural person who ultimately owns or controls a customer or the person on whose behalf the transaction is being conducted and includes the person who exercise ultimate effective control over a person or a legal arrangements)

Check list

In addition to completing this questionnaire, please attach the following documentation when returning the completed document.

Copies of Identification Documents of Beneficial Owners ☐

(PEP)

Politically exposed person" means an individual who is entrusted with prominent public functions either domestically or by a foreign country, or in an international organization and includes a Head of a State or a Government, a politician, a senior government officer, judicial officer or military officer, a senior executive of a State owned Corporation, Government or autonomous body but does not include middle rank or junior rank individuals