

Know Your Customer (KYC) Profile Form(For Non-Personal Customers)

Mandatory "Know Your Customer" (KYC) information required by the FTR Act No. 6 of 2006.



Fully owned subsidiary of National Savings Bank
No. 400, Galle Road, Colombo 03

For Office Use Only

| | |
|---------------------|--|
| Date | |
| A/C No | |
| Division | |
| Officer's Signature | |
| Manager's Signature | |

Section A – Basic information of the Organization

✓ Tick the appropriate boxes

1.Name of the Organization:

2.Business Registration No:

3.Nature & Purpose of Business /Organization:

- | | |
|---|--|
| <input type="checkbox"/> Manufacturing | <input type="checkbox"/> Import /Export |
| <input type="checkbox"/> Finance/Insurance | <input type="checkbox"/> Wholesale |
| <input type="checkbox"/> Constructions | <input type="checkbox"/> Communications |
| <input type="checkbox"/> Retail | <input type="checkbox"/> Real State |
| <input type="checkbox"/> Transport | <input type="checkbox"/> Public service |
| <input type="checkbox"/> Restaurant | <input type="checkbox"/> Gem and Jewelry |
| <input type="checkbox"/> Hotel/Boarding House | <input type="checkbox"/> Others (specify)..... |
| <input type="checkbox"/> Casino/ Gambling house/Night Clubs | |
| <input type="checkbox"/> Personal & Household Services | |

4.Do you have an investment account at NSB FMC: ☐ Yes ☐ No

5.Local Address:

6.Foreign Address (if any):

7.Countries involved in the Business (if any):

8.Purpose of Opening the Account:

- | | | |
|-------------------------------------|---|---|
| <input type="checkbox"/> Business | <input type="checkbox"/> Social & Charity | <input type="checkbox"/> Others (Specify) |
| <input type="checkbox"/> Investment | <input type="checkbox"/> Trust | <input type="checkbox"/> Trading |

9. Source of Funds: [Expected source and nature of credits into the account]

- | | | |
|--|---|---|
| <input type="checkbox"/> Sales and Business Turnover | <input type="checkbox"/> Contract Proceeds | <input type="checkbox"/> Investment Proceeds |
| <input type="checkbox"/> Commission Income | <input type="checkbox"/> Donations/Charities | <input type="checkbox"/> Membership Contributions |
| <input type="checkbox"/> Export Proceeds | (Local/Foreign) | <input type="checkbox"/> |
| | <input type="checkbox"/> Profit/Professional Income | |

10. Anticipated Volumes: [The expected/usual average deposit volume into the account in Rs]

- | | |
|--|---|
| <input type="checkbox"/> Less than Rs.1,000,000 | <input type="checkbox"/> Rs 25,000,000-50,000,000 |
| <input type="checkbox"/> Rs.1,000,000 to Rs.5,000,000 | <input type="checkbox"/> Rs 50,000,000-100,000,000 |
| <input type="checkbox"/> Rs.5,000,000 to Rs.10,000,000 | <input type="checkbox"/> Rs 100,000,000-250,000,000 |
| <input type="checkbox"/> Rs 10,000,000-25,000,000 | <input type="checkbox"/> Above Rs 250,000,000.00 |

11.Expected Mode of Transactions/ Delivery Channels:

- | | | |
|---------------------------------|---|---|
| <input type="checkbox"/> Cash | <input type="checkbox"/> Standing Orders | <input type="checkbox"/> Foreign Remittance |
| <input type="checkbox"/> Cheque | <input type="checkbox"/> SLIPS/ TT/ Wire Transfer /RTGS | <input type="checkbox"/> All mode of forms |

12. Other Connected Businesses / Professional Activities / Expected Type of Counterparties:

(Indicate in brief; Major Customers/Suppliers and Other Connected Parties) (if applicable). (if applicable):

13. Assets owned by the Business / Organization and the value

| | |
|---------------------|-----|
| Property / Premises | Rs. |
| Motor Vehicles | Rs. |
| Financial Assets | Rs. |
| Investments | Rs. |
| Others (Specify) | Rs. |

14. Does the business / entity have any foreign investors? ((i.e. a Foreign Citizen / Dual Citizen/ Non-Resident)) ☐ Yes ☐ No

| Name | Country | Percentage of Investment |
|------|---------|--------------------------|
| | | |
| | | |
| | | |
| | | |

Section B -Mandatory checks (Office Use Only)**1. Customer Type:**

- | | | | |
|---|--|--|--|
| <input type="checkbox"/> Proprietorship | <input type="checkbox"/> Public Company | <input type="checkbox"/> Clubs/ Societies | <input type="checkbox"/> Trust/Charities |
| <input type="checkbox"/> Partnership | <input type="checkbox"/> Private Company | <input type="checkbox"/> Govt/Institute/Bank | <input type="checkbox"/> NGOs/NPOs |

2. Required documents in the case of Corporations/Limited Liability Company (Photocopy of the above document should be obtained and certified by the Manager or relevant officer of NSBFMC as original seen) –check the non personal KYC for details

Required documents in the case of Clubs, Societies, Charities, Associations, Trust and Non-Governmental Organizations

- | | |
|---|--|
| <input type="checkbox"/> Copy of the Registration Document/ Constitution Charter etc... | <input type="checkbox"/> Committee or Board Resolution authorizing the account opening |
| <input type="checkbox"/> The source and level of income/funding | <input type="checkbox"/> KYC for all related parties |
| <input type="checkbox"/> Other connected institutions/associates/organizations | <input type="checkbox"/> Trust Deed (For Trust Accounts Only) |
| <input type="checkbox"/> Ministry approval (for NGOs/NPOs/Charities) | |

Copies shall be certified by the Manager or Authorized Officer

3. Are the Office Bearers / Directors (including family and close associates) Politically Exposed person (PEP)? ☐ Yes ☐ No

If answer is “YES” have you filled PEP Declaration form? ☐ Yes ☐ No

Individuals in Sri Lanka or abroad who are or have been entrusted with prominent public function such as Head of State or of Government, Senior Politicians, Senior Government, Judicial or Military Officials, Senior Executives of State owned Corporations, important Political Party Officials, excluding middle ranking or junior officials in the foregoing categories

4. Does the organization has any linkage ownership with U.S.? ☐ Yes ☐ No

If answer is “YES” have you filled FATCA Declaration form? ☐ Yes ☐ No

“A citizen of U.S.A. (including an individual born in the U.S. but resident in another country, who has not renounced U.S. citizenship). A lawful resident of the U.S. (including a U.S. Green Card Holder), A person residing in the U.S., A person who spends a certain number of days in the U.S. each year, U.S. corporations estates and trusts, any entity that has a linkage ownership to U.S. or to U.S territories Non-U.S. entities that have at least one U.S. person as a "substantial beneficial owner”

Note: In the event of any changes to the above stated information must be duly notified to NSB Fund Management Company Limited, No. 400, Galle Road, Colombo 03.

| | |
|---------------------------------|---|
| <p>.....</p> <p>Date</p> | <p>.....</p> <p>Customer's Signature</p> |
|---------------------------------|---|

Does the customer appear in a Suspected Terrorist List (Sanction List -UNSCR 1373/1267 or any other Alert List : (Online Screening (Sanctioned lists issued under UNSCR)

☐ Yes ☐ No ☐ If Yes (Specify)

To be completed by Customer Support Investment Assistant conducting the abovementioned checks

Signature :

Name :

Date:

Customer came in person to open the account ☐ Yes ☐ No

I hereby confirm that to the best of my knowledge and belief the information given herein by the applicant is true and correct, the applicant is financially stable to maintain a;

FMC Account

☐ Yes

☐ No

.....
Investment Assistant

.....
Date

Verified by
Signature
Name
Date

Approved by
.....
.....
.....

System updated by
.....
.....
.....

Customer Risk Profile



NIC / Passport No / Business Registration No:

Final Risk Rating

Middle Office Review

Date

Risk Officer Approval

Date

Required Documents in the case of Proprietorship/Partnership :

- Copy of the Business Registration
- Individual KYC for all related parties & copies of NICs
- Partnership deed/agreement if available

Required Documents in the case of Limited Liability Company :

- Certificate of Incorporation

- Copy of Articles of Association
- Copy of Board Resolution regarding the conduct of the account
- List of major shareholders with equity interest of more than ten percent
- Copy of certificate to commence business (for public companies)
- Copy of Export Development Board approved letter (If applicable)
- Copy of Board of Investment agreement
- Copy of form 01/ form 40
- Individual KYC for all related parties & copies of NICs
- Form 15 – Annual Return latest
- Copy of form 20 (If applicable)
- Copy of form 44 (If applicable)
- Copy of form 45 (If applicable)
- Form 13 -Address change
- List of subsidiaries and affiliates
- Latest Audited Accounts (If available)
- Copy of the Bank Account Number & Name verification

Required Documents in the case of

Clubs, Societies, Charities, Associations, Trust and Non-Governmental Organizations:

- Copy of the Registration Document/ Constitution Charter etc...
- Committee or Board Resolution authorizing the account opening
- Individual KYC for all related parties & copies of NICs (If applicable)
- Other connected Institutions/Associates/Organizations
- Trust Deed (For Trust Accounts Only)
- Ten Major members list
- Copies shall be certified by the Company Secretary
- Latest Audited(If available) / Non Audited Accounts
- Copy of the Bank Account Number & Name verification