

Know Your Client Form 1
(Application form for Agents only)

Application No:.....

Dealing Company's Name with Logo

Affix a recent
passport size
color photo

Sign Across the
photo graph

In an effort to serve you (our client) better, we would like to know the following about you to enable us help you make informed investment decisions. The information provided will be kept private and confidential. Please fill this form (All information is applicable from sections 1, 2,.....and ... is mandatory)

Applicant's Information

1. Name of Applicant- Mr/Mrs (As appearing in supporting identification document):

First Name:-----
Middle Name: -----
Last Name: -----

2. Date of Birth: dd/mm/year Marital Status No. of Children/ Dependents

3. Status (please tick in appropriate box): Resident Non Resident

4. Nationality: -----

5. Proof of Identity to be provided by applicant. Please Submit copy of any valid documents.

(Please fill in appropriate box) NIC No. Passport No.

6. Present Address: -----

State..... Country..... Postal Code

7. Permanent Address: -----

State..... Country..... Postal Code

8. Contact Details:

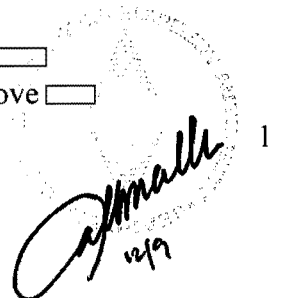
Tel (Office no) ----- Tel (Home) -----
Mobile ----- Fax:-----
E-mail -----

9. Proof of present address to be provided by applicant. Please provide any one of following latest documents and tick the attached document

Latest land Line Tel Bill Latest Mobile Phone Bill Latest Electricity Bill Latest Water Bill
Latest Bank Pass Book Latest Bank Account Statement Latest MSD Account Statement
Rental Agreement of residence Any other proof of current address

10. Monthly Income (Please tick the relevant box)

Up to MRF 5,000 MRF 5,001 to MRF 10,000 MRF 10,001 to MRF 20,000
MRF 20,001 to MRF 30,000 MRF 30,001 to MRF 50,000 MRF 50,001 & above



A handwritten signature in black ink is written over a circular stamp. The signature appears to be 'Ajmal' with the number '419' written below it. The stamp is partially obscured by the signature.

11. Occupation Details (Please tick the relevant box)

Private Sector Service Public/Government Sector Service Politically Exposed Person Retired
Business Professional Housewife Student Other (Please specify) -----

12. Name and Nature of the Business?

13. Are you politically exposed person? Yes (Attached supporting documents) No

14. Bank Account Details

- Type of Account : -----
- Account name : -----
- Account number: -----
- Bank name: -----

15. Security Deposit Account no:-----

16. Your Annual Gross Income:
MRF.

17. Your Annual Net Income
MRF.....

18. What investment time horizon is most appropriate for your investment programme?

- Less than 1 year
- 1 yr – 3yrs
- 4yrs – 10yrs
- More than 10 yrs

19. What Is The Projected Use Of The Money In Your Investment Programme?

(Rank the following according to order of importance on scale of 1 to 5, with 1 being the most important)

- (1) To fund retirement.....
- (2) To finance college education of children.....
- (3) To fund the purchase of a home (improvements).....
- (4) To build wealth.....
- (5) Other (please explain).....

20. What Is Your Overall Knowledge Of Investment?

- Low: I have very little investment experience outside of bank savings
- Medium: I have some experience investing in shares and bonds
- High: I have been an active participant in the stock market



21. What Is Your Investment Objective?

Different types of investments generate returns in different ways. Aggressive investments such as shares tend to generate returns through dividend payments and capital gains. How would you characterize your investment objective for this portfolio?

- Emphasis on income generating investments
- Emphasis on income generating investment and some capital growth

22. What Is Your Attitude Towards Risks?

The process of investing requires careful consideration of risk. There is a trade-off between the risk associated with an investment and its expected return over time. Typically, one must endure greater risk in order to pursue higher returns. Each investor has different attitude towards risks. Which statement describes your attitude towards risks?

- I cannot accept any loss of principal
- Conservative: I am more concerned with preserving the value of my account then maximizing capital growth, and can tolerate some decline in value through market cycle
- Moderate: I am comfortable with fluctuations in my portfolio, and the possibility of large declines in value, in order to grow my portfolio over time.
- Aggressive: I am comfortable taking on high levels if risk, and the possibility of large fluctuations and substantial declines in the value of my portfolio, in pursuit of higher level of appreciation in my portfolio over time.

23. Is There Any Additional Information You Would Like Us To Know About You?

24. Settlement Instructions

Cheques:

- Collected by client
- Account Transfer

I hereby declare that the information given in this application is true and correct.

1. Client's Name:..... Signature.....
 2. Date:.....

Witnesses

1. Name:..... Name:.....
 Address:..... Address:.....

Signature:..... Signature:.....



FOR OFFICE USE ONLY

ALL RELEVANT DOCUMENTS ATTACHED
[YES / NO]

Introduced By.....

Approved By.....

Designation.....

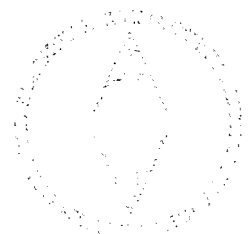
Date.....

Signature.....

Check List

Please ensure the following while submitting KYC application form

- KYC form is complete
- KYC form is signed by the applicant as well as witnesses
- Signature with KYC must match with that on the identity proof submitted
- Photograph is pasted on the form and the investor has signed across the photograph
- Photo copy of Identity card/Passport
- Photo copy of Birth Certificate for minor (under the age of 18 years)
- Power of Attorney (if represent an agent)
- Address mention in the form is matching with the address proof submitted
- Documentation for Politically exposed person
- Supporting documents providing evidence of current work place



Know Your Client Form 2
(Application Form for Corporate Entity Only)

Application No:.....

Dealing Company's Name with Logo

In an effort to serve you (our client) better, we would like to know the following about you to enable us help you make informed investment decisions. The information provided will be kept private and confidential. Please fill this form (All information is applicable from section A from 1-13 is mandatory)

A. Applicant's Information

1. Name of the Applicant Company/Partnerships/NGO (As appearing in Certificate of registration)

2. Date of Incorporation/ Registration: dd/mm/year

3. Country of Registration (please tick) Maldives Others, Please specify -----

4. Registration No: -----

5. Tax Number (if any):- -----

6. Address

i. Business address of Correspondence

State..... Country..... Postal Code

Tel (Office) ----- Tel (Home) -----

Fax:----- E-mail -----

Website -----

ii. Registered Address: -----

State..... Country..... Postal Code

i. Contact Details:

Tel (Office) ----- Tel (Home) -----

Fax:----- E-mail -----

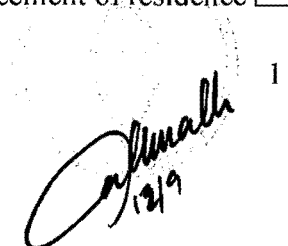
Website -----

iii. Proof of present address to be provided by applicant. Please provide any one of following latest documents and tick the attached document

Latest land Line Tel Bill Latest Electricity Bill Latest Water Bill Latest Bank Pass Book

Latest Bank Account Statement Latest MSD Account Statement Rental Agreement of residence

Any other proof of current address


1

7. Turnover

8. Authorized Share Capital of the business

9. Paid up share capital

10. Nature of the Company

Public Limited (Listed/ Unlisted) Private Limited

Type of Business

11. Bank Account Details

- Type of Account : -----
- Account name : -----
- Account number: -----
- Bank name: -----

11. Security Deposit Account no:-----

9. What investment time horizon is most appropriate for your investment programme?

- Less than 1 year
- 1 yr – 3yrs
- 4yrs – 10yrs
- More than 10 yrs

10. What is the projected use of the money in your investment programme?

(Rank the following according to order of importance on scale of 1 to 5, with 1 being the most important)

- (1) To fund the mergers and acquisition.....
- (2) To build wealth.....
- (3) Diversify into new market segments
- (3) Other (please explain).....

11. What is your overall knowledge of investment?

- Low: We have very little investment experience outside of bank savings
- Medium: We have some experience investing in shares and bonds
- High: We have been an active investor in the stock market

12. What is your investment objective?

Different types of investments generate returns in different ways. Aggressive investments such as shares tend to generate returns through dividend payments and capital gains. How would you characterize your investment objective for this portfolio?



- Emphasis on income generating investments
- Emphasis on income generating investment and some capital growth

13. What is your attitude towards risks?

The process of investing requires careful consideration of risk. There is a trade-off between the risk associated with an investment and its expected return over time. Typically, one must endure greater risk in order to pursue higher returns. Each investor has different attitude towards risks. Which statement describes your attitude towards risks?

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- Conservative: We are more concerned with preserving the value of our account than maximizing capital growth, and can tolerate some decline in value through market cycle
- Moderate: We are comfortable with fluctuations in my portfolio, and the possibility of large declines in value, in order to grow our portfolio over time.
- Aggressive: We are comfortable taking on high levels of risk, and the possibility of large fluctuations and substantial declines in the value of our portfolio, in pursuit of higher level of appreciation in my portfolio over time.

14. Is There any additional information that we need to know about your company?

15. Settlement Instructions

Cheques

- Collected by client
- Account Transfer

I hereby declare that the information given in this application is true and correct.

Name of Authorized Person:..... Signature.....

Date:.....

*Note: - (Authorized person should submit the **Agent Form** along with the corporate form)*

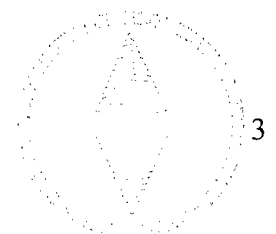
Witnesses

1. Name:.....
 Address:.....

Name:.....
 Address:.....

Signature:.....

Signature:.....



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ALL RELEVANT DOCUMENTS ATTACHED
[YES / NO]

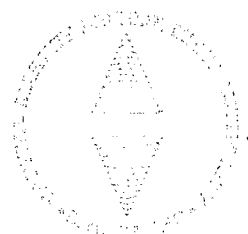
Introduced By.....
Approved By.....
Designation.....
Date.....

Signature.....

Check List

Please ensure the following while submitting KYC application form

- KYC form is complete
- KYC form is signed by the applicant as well as witnesses
- Copy of Certificate of Incorporation, MOA, AOA
- Certificate of Registration of NGO
- Board Resolution stating the appointment of an agent to represent the company and a statement giving approval to deal with the brokerage firm.
- Power of Attorney
- Signature with KYC must match with that on the identity proof submitted
- Address mention in the form is matching with the address proof submitted
- Shareholding details of the partners and shareholder who acquires more than 5 percent of the total company's capital.
- Agent Form



Know Your Client Form 1
(Application form for individual only)

Application No:.....

Dealing Company's Name with Logo

Affix a recent passport size color photo
Sign Across the photo graph

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4. Nationality: -----

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(Please fill in appropriate box) NIC No. Passport No.

6. Present Address: -----

State..... Country..... Postal Code

7. Permanent Address: -----

State..... Country..... Postal Code

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[Handwritten Signature]
12/19

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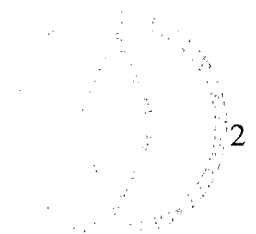
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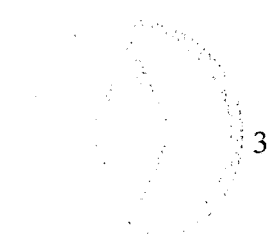
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