

**OFFICE USE ONLY**

Account No.	
Agent	
Date Received	
Date Registered	
Check List	
Entered By	
Approved By	

SOFTLOGIC ASSET MANAGEMENT (PVT) LTD.  
Level 16, One Galle Face Tower, Colombo 2, Sri Lanka

Hotline : (+94) 011-2104304  
Whatsapp/ Viber : (+94) 076-4784171  
email : invest@softlogicinvest.lk

softlogic  
**INVEST**

## UNIT TRUST ACCOUNT OPENING FORM INDIVIDUAL / JOINT

### APPLICATION MUST BE FILLED IN BLOCK CAPITALS

Tick The Appropriate Box

Softlogic Money Market Fund       Softlogic Equity Fund       Softlogic Income Fund

Amount : \_\_\_\_\_  
(LKR)

Individual       Joint       Minor

### 01. ACCOUNT HOLDERS DETAILS

01. Title :  Mr.  Ms.  Other \_\_\_\_\_

02. Full Name (as specified in NIC/Passport) : \_\_\_\_\_  
Underline the Surname

04. Date of birth :

05. Gender : Male  Female

06. NIC/Passport no \_\_\_\_\_ :

### 02. CONTACT DETAILS

07. Address : \_\_\_\_\_  
\_\_\_\_\_

08. Address same as NIC?  Yes  No If NO, please submit billing proof \_\_\_\_\_  
\_\_\_\_\_

09. Mobile phone :

10. E-Mail : \_\_\_\_\_

### 03. FOR JOINT ACCOUNT / MINOR DETAILS

Following is Joint account holder information with right of survivorship and signing instructions as specified below

01. Signing instructions  Jointly  Anyone

02. Title :  Mr  Ms. Other  \_\_\_\_\_

03. Surname(as specified in NIC/Passport/Birth Certificate): \_\_\_\_\_

05. Other names: \_\_\_\_\_

06. Date of birth:

07. Gender :  Male  Female

08. NIC/Passport no : \_\_\_\_\_

09. Mobile :

"In case of a minor, please submit copy of birth certificate"

#### 04. REDEMPTION PAYOUT INSTRUCTIONS

Bank Name : \_\_\_\_\_ Branch : \_\_\_\_\_

Account No : 

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Account Holder's Name : \_\_\_\_\_

#### 05. EMPLOYMENT AND FINANCIAL INFORMATION

##### PRIMARY

Confirmed employment:  Yes  No

Occupation :

Salaried  Self-employed

Retired  Housewife

Other [Please specify] \_\_\_\_\_

05. Name of the employer/business : \_\_\_\_\_

06. Address of the employer/business : \_\_\_\_\_

##### JOINT HOLDER

Confirmed employment:  Yes  No

Occupation :

Salaried  Self-employed

Retired  Housewife

Other [Please specify] \_\_\_\_\_

05. Name of the employer/business : \_\_\_\_\_

06. Address of the employer/business : \_\_\_\_\_

#### 06. SOURCE OF FUNDS :

Salary Income  Business profits  Interest Income form Investments

Other [Please specify] \_\_\_\_\_

#### 07. PURPOSE OF ACCOUNT OPENING :

Investment  Saving

#### 08. FINANCIAL INFORMATION

Expected value of investment per annum (LKR):

5,000 to 100,000  100,000 to 1,000,000  1,000,000 to 10,000,000  Above 10,000,000

#### 09. ARE YOU:

01. Involved in any businesses/professional activities other than specified above?  Yes  No

If yes specify \_\_\_\_\_

02. A politically exposed person (PEP)?  Yes  No

[ a PEP is a person who has been entrusted with a prominent public function related to/connected to such a person]

If yes specify \_\_\_\_\_

03. An individual under the Foreign Account Tax Compliance act (FATCA) of US?  Yes  No

04. A Dual Citizen?  Yes  No

\_\_\_\_\_

## 10. SPECIAL INSTRUCTIONS

1.I authorize Softlogic Asset Management (Pvt) Ltd to accept email instruction from me

Yes  No

2.I would like to link my Softlogic Stockbrokers (Pvt) Ltd. account with this Unit Trust account

Yes  No

Softlogic Stockbrokers Acc No ARR-.....

I / We Hereby declare that the information given is true and correct. SAM can cross check the same with DRP system and agree to give notice in writing of any change of particulars given.

I / We confirm that I have read and understood the KIDD (key investor information document) of Softlogic Asset Management(Pvt) Ltd and fully aware of the investment risks involved.

Signature of Applicant : \_\_\_\_\_

Date : \_\_\_\_\_

Signature of Joint Applicant : \_\_\_\_\_

Date : \_\_\_\_\_

### "Financial Intelligence Unit (FIU) Definition for PEP (Politically Exposed Persons)

A **PEP** is 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. In addition to the above an Immediate Family member or Close Associate of a **PEP** will also be designated as a **PEP**.

### What is FATCA?

The Foreign Account Tax Compliance Act (**FATCA**) is a U.S. law that requires financial institutions to identify and report financial accounts held by U.S. citizens and residents to the U.S. tax authorities. If you are a U.S. citizen or resident, please fill out the **FATCA** form as required.

### How to invest

You can deposit your initial investment to the following HNB account. **Before making the payment, please ensure that you submit the completed application form, a valid identification document, and proof of address to a Softlogic Invest representative.** Additionally, **please enter the reference number generated from our website in the remark column of the transfer/deposit slip.**

Account Name	Account Number	Bank Branch
Softlogic Asset Management (Pvt) Ltd	003010534505	Hatton National Bank Head office