



Commitment. Trust. Continuity

CT CLSA Asset Management Pvt Ltd
4th Floor, Majestic City, 10 Station Road,
Colombo 4, Sri Lanka.
Tel : 94-11-2506204/5759570
www.ctclsa.lk

NOTE :CASH CAN BE ACCEPTED ONLY
AT THE OFFICE OF CT CLSA
ASSET MANAGEMENT (PVT)

UNIT TRUST APPLICATION

SELECT (X) FUND

MONEY MARKET
FUND

GROWTH
EQUITY FUND

INCOME FUND

I / We / on behalf of a minor apply for units in the above selected Fund subject to the terms and conditions stated in the explanatory memorandum

Amount

Cash/Cheque/Draft No.

Date

APPLICANTS INFORMATION

Full Name of First / Sole Applicant / Minor / Mr. / Mrs. / Ms / Messrs*

Address of First/ Sole Applicant/ Minor*

Date of Birth/ Incorporation

Occupation

Telephone

NIC/ Passport/ Registration

Nationality

Email

Dividends of these units may be (Please X the relevant cage)

Sent To My Address

☐

Re-Invested into Units

☐

Sent To My Bank

☐

Account No.

Bank

Branch

JOINT APPLICANTS INFORMATION

Full Name of Joint Applicant / Minor / Mr. / Mrs. / Ms / Messrs

Address of Joint Applicant/ Minor

Date of Birth/ Incorporation

Occupation

Telephone

NIC/ Passport/ Registration

Nationality

I/ We confirm, that this investment is made on the understanding that prices of units could move up as well as down from time to time due to market fluctuations, as explained in the Explanatory Memorandum

Signature of First/ Sole Applicant

Joint Applicant/Guardian

Date

RECEIPT (to be filled By Applicant)

FOR AGENTS USE ONLY

Received the sum of Sri Lankan Rs.

In Words as indicated above

Authorized Signature & Date

Registrar's Signature

OFFICE USE ONLY

Amount Credited

Date of Realisation

Offer Price Rs.

Number of Units Issued

Prepared By

Checked By

Authorised By

INSTRUCTIONS, TERMS & CONDITIONS

1. GENERAL GUIDELINES & INSTRUCTIONS

1. Investors should refrain from handing over cash to any sales agent. If cash is handed over to any agent, it is intended that investors do so at their own risk.
2. Please retain the deposit slip. Unit trust confirmations will be sent only after units are created.
3. Attach the copy of National Identity Card (NIC), Copy of the cash/cheque deposit form and Nomination form if you wish to appoint a nominee.
4. Attach KYC and Subsequent Subscription Form

2. TERMS & CONDITIONS

2.1 Payment conditions

1. Every application for units should be for a minimum of Rs. 1,000/- for each fund
2. Payments can be made by bank drafts or cheques crossed "A/C Payee only" payable to Guardian Acuity Asset Management Limited' and can be deposited to;

Bank & Branch	Account No:
Hatton National Bank - City Branch	002010553053

3. Cash deposits can be made directly into the bank accounts by the customer. Please see attach the deposit slip to the application form and handover to our Company representative or send by registered mail to;
CT CLSA Asset Management (Pvt) Ltd, 04-15, Majestic City, 10, Station Road, Colombo 04.
4. In the case of cheque deposits, units will be created the day that the cheque is realized.

2.2 Investment process

1. An application for subscription can be made at CT CLSA Asset Management (Pvt) Ltd
2. Please submit
 - NIC/Passport copy of applicants/guardian
 - Copy of birth certificate of applicant (for minors).
 - Proof of address (Eg: Recently received utility bills, bank statements, Etc.)

2.3 Notices to the Fund Manager

The manager must be notified immediately, in writing for any change of address or contact details OR change in payment instructions OR change in nominees.

2.4 Other terms

1. This investment should be made on the understanding that prices of units could move up as well as down from time to time due to market fluctuations, as explained in the Explanatory Memorandum.
2. Units in the trusts are sold based on information contained in the respective Explanatory Memorandum.
3. Applications in joint names may be made by not more than two persons, and both applicants must sign applications.
4. Applications in the name of minors will be accepted provided such applications are signed by a parent, or a court appointed guardian in the appropriate cage. Redemption of units by minors will not be accepted under any circumstance until the minor reaches 18 years of age.
5. Managers reserve the right to refuse creating units to any party at their discretion without providing any reason.
6. In case of corporate applicants, the common seal of the company should be affixed and attested as required by the Articles of Association.
7. In the case of applications made under Power of Attorney, a duly certified copy of the said Power of Attorney should be lodged with the registrar.
8. Politically exposed person" means an individual who is entrusted with prominent public functions either domestically or by a foreign country, or an international organization and includes a head of 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.
9. For any complaints or inquiries please reach us on am@ctclsal.lk or, Administrative Department- 0112506347, Sales & Marketing Division - 0115759570/0112506204



CT CLSA ASSET MANAGEMENT (PVT) LTD
Know Your Customer (KYC) Profile
For Non Individuals Only

Name of Participant
Name of the Applicant
Date

SELECT X FUND

CT CLSA High Yield Fund

☐

CT CLSA Equity Fund

☐

CT CLSA Gilt Edged Fund

☐

CT CLSA Money Market Fund

☐

CT CLSA Growth Equity Fund

☐

CT CLSA Income Fund

☐

SECTION A - Basic Account Information

1. Nature of the entity : Please tick (X)

<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>

Limited Liability Companies

Global and Regional Fund

Statutory Body

Other Please - Please specify _____

<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>

Public Limited Company

Local Fund

A Body established under An Act Of Parliament

2. Status - Please tick (x)

☐

Local

☐

Foreign

SECTION B - Address and Contact details of the Applicant

1. Address & Contact Details of the Applicant:

2. Name of the Key Contact Person

3. Telephone No. (Office)

4. Mobile Number

5. Fax Number

6. E-Mail Address

SECTION C- Other Details

1. Nature of Business - (Product / Service Provide)

2. Expected Value of Investment per annum : Please tick (X)

Rs. 5,000,000 to Rs. 10,000,000

☐

Rs. 10,000,000 to Rs.50,000,000

☐

Over Rs. 50,000,000

☐

3. Source of Funds: Please tick (X)

Sales & business turnover

☐

Profit / Income

☐

Membership Contribution

☐

Sales of property/Assets

☐

Contract Proceeds

☐

Investment Proceeds

☐

Commission Income

☐

Export Proceeds

☐

Other _____

4. Other Connected Business / Professional activities and business interests

5. Other Details/ Remarks/Notes (if any)

SECTION D- DIRECTORS / MAJOR SHAREHOLDERS INFORMATION

If your entity is not a Company please provide the details of Trustees / Office Bearers / Sponsors / Partners as applicable to your entity

Directors & Major Shareholders who are Ultimate Beneficiaries (Holding 10% or More Voting Shares)	NIC or Passport Number	Country of Issue / Citizenship	% of Shares Held	Address	PEP Status* (Yes or No)

DECLARATION

I/we hereby declare that the details furnished above are true and correct to the best of my knowledge and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it. I hereby authorize sharing of the information furnished on this form with all SEC registered KYC registration Agencies.

Authorized Signature/ Company Seal)

Date

Authorized Signature/ Company Seal)

Date

Name 1:

Name 2:

NIC No:

NIC No:

Title:

Title:

Date of Birth:

Date of Birth: