



**Investment Plan**

Total investment (Rs.): .....

Payment Method  By Cheque Cheque Number ..... Bank .....  Fund Transfer  Cash Deposit

**Please tick the required Investment Plan**

Guardian Acuity Equity Fund  Guardian Acuity Money Market Fund  Guardian Acuity Money Market Gilt Fund  
Rs ..... Rs ..... Rs .....

Applicant			
Name of company			
Address of company			
Telephone		Company registration no	
Email address			
Country of incorporation		Date of incorporation	
Nature of entity	<input type="checkbox"/> Limited Liability Company <input type="checkbox"/> Public Limited Company	<input type="checkbox"/> Charity, NGO or NPO <input type="checkbox"/> Statutory Body	<input type="checkbox"/> Other (specify) .....
Nature of products / services provided			
Expected value of investment per month	<input type="checkbox"/> < Rs.1,000,000	<input type="checkbox"/> Rs.1,000,000-Rs.2,000,000	<input type="checkbox"/> Rs.2,000,000-Rs.5,000,000 <input type="checkbox"/> >Rs.5,000,000
Source of funds	<input type="checkbox"/> Sales and Business Turnover	<input type="checkbox"/> Investments	<input type="checkbox"/> Subsidy Income <input type="checkbox"/> Other (specify) .....

**Returns of these units maybe (Please tick the relevant box)**

Cheque to my above address  Credited to my bank  
 Re-invested into units

Account no. \_\_\_\_\_  
Name of Account \_\_\_\_\_  
Name of Bank \_\_\_\_\_  
Branch \_\_\_\_\_

**Confirmation receiving mode/Internet Portal Facility (Please tick the relevant box/boxes)**

Send to my above Postal address  Send to my e-mail address  Enable Internet Facility

**SMS Alerts (Please tick the relevant box/boxes)**

Daily Unit Trust Prices  Confirmation on Subscriptions and Redemption  Month End Balances

I / we hereby acknowledge that I / we have read the attached Terms and Conditions and agreed to accept them and I / we confirm that the above details are correct.

Authorized  
Signature  
Verification

Authorized Signatories (Company Seal)

Date

**Instructions:**

1. Refrain from handing over cash to any sales agent/representative/third party
2. Please retain the Deposit slip. Unit Trust confirmations will be sent only after Units creation.
4. Attach copy of the Cash/Cheque Deposit forms
5. Please refer Terms and Conditions for additional documents to be submitted.

Branch seal	Branch Code
Reference No.	
Risk Score	

## **Terms & conditions – Companies/Entities**

### **Payment conditions**

- Every application for a unit should be a minimum of Rs. 1,000/- for each fund.
- Payments can be made by bank drafts or cheques crossed “A/C payee only” payable to ‘Guardian Acuity Asset Management Limited’ deposit in A/C No. 002010553053 – Hatton National Bank, City Office Branch or in A/C No. 1030026486 – Commercial Bank, Foreign Branch or in A/C No. 001001023180 DFCC Bank, W. A. D. Ramanayake Mawatha or in A/C No. 100060007321 Nations Trust Bank, Corporate Branch or in A/C No 001210009139 Sampath Bank, Fort Branch. Cash deposits can be made directly into the bank accounts by the customer. Please attach the deposit slip to the application form and hand over to our Company representative or send by registered mail to: Guardian Fund Management Limited, 61 Janadhipathi Mw., Colombo 1.
- In the case of cheque deposits, units will be created the day that the cheque is realized.
- **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.**

### **Investment process**

- An application for subscription can be made at Guardian Acuity Asset Management Limited, trustee Deutsche Bank AG or any designated office of HNB and DFCC Vardhana Branch (local and overseas) or any other authorized distributor of the fund.
- Please submit
  - For Listed Companies;**
    - Latest Annual Report
    - Certified copy of Board Resolution/power of attorney
    - Certified copies of Articles of Association and Form 13
    - List of authorized signatories to operate the account/s
    - PEP status of Directors and major Shareholders
  - For Other Corporations;**
    - Certified copies of Certificate of Incorporation, Articles of Association and Form 13
    - Certified copy of Board Resolution/power of attorney
    - List of authorized signatories to operate the account
    - Name and address of top 10 Shareholders / members
    - Name, Address, Copy of NIC/Passport of Directors
    - PEP status of Directors and major Shareholders

### **Notices to the Fund Manager**

- The manager must be notified immediately, in writing, of the following:
  - Any change of address or contact details.
  - Change in payment instructions
  - Change in nominees

### **Other terms**

- 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.
- Units in the trusts are sold based on information contained in the respective Explanatory Memorandum.
- The managers reserve the right without assigning any reason whatsoever to refuse to allot any units or allot such members of units as they may decide at their absolute discretion.
- In case of corporate applicants, the common seal of the company should be affixed and attested as required by the Articles of Association.
- 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.
- **For any complaints or inquiries please reach us on [client.services@carcumb.com](mailto:client.services@carcumb.com) or 0112039396 – Operations Support 0112039330 – Compliance Division**

FORM  
B2

# KYC FORM

(For Corporates and Other Organizations)

Guardian  
Acuity Asset  
Management

## Business / Entity Information

Name of Business/Entity	
Purpose of Business/Entity (Profit / Other)	
Are You a Subsidiary or Associate of a Parent Company	
If 'Yes' Name of the Parent Company	
Names of Entities which are Subsidiaries or Associates to your Entity	

## Financial Information

	Last Year Financials	Year before last Financials
Annual Sales Turnover	LKR.....	LKR.....
Net Profit/Loss	LKR.....	LKR.....
Stated Capital / Net Assets	LKR.....	LKR.....

## Director / Major Shareholder 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)

\* A Politically Exposed Person (PEP) means an individual in Sri Lanka or abroad who are, or have been entrusted with public functions', either domestically or by a foreign country or in an international organization and includes Heads of State or Government, politicians, senior government officers, judicial officers or military officers, senior executives of state-owned corporations/government or autonomous body but does not include middle ranking or more junior ranking individual/officials

We hereby confirm that above information is accurate and complete.

\_\_\_\_\_  
Authorized Signature(s) (Company Seal)

\_\_\_\_\_  
Date

### Details of the Authorized Persons to Act on behalf of the Customer

Name 1:

NIC No.:

Name 2:

NIC No.:

Title:

DOB:

Title:

DOB: