



Mercantile Investments  
and Finance PLC

**Know Your Customer (KYC) Form - Clubs/ Societies/  
Charities/ Associations/ NGO/Trust and Miscellaneous**

**MERCANTILE INVESTMENTS AND FINANCE PLC.....Branch**

As required under the Financial Institutions (Customer Due Diligence) Rules, No. 01 of 2016 issued by the Financial Intelligence Unit of Central Bank of Sri Lanka in terms of section 02 of the Financial Transactions Reporting Act, No 06 of 2006.

| For Office Use Only |   |   |   |   |   |   |   |
|---------------------|---|---|---|---|---|---|---|
| Account No (s)      |   |   |   |   |   |   |   |
| Date                | D | D | M | M | Y | Y | Y |
| Client Code         |   |   |   |   |   |   |   |

**Type of Business Account**

- |                                      |  |   |
|--------------------------------------|--|---|
| <input type="checkbox"/> Club        | <input type="checkbox"/> School                  | <input type="checkbox"/> Non- Government Organization |
| <input type="checkbox"/> Society     | <input type="checkbox"/> Religious Place         | <input type="checkbox"/> Trust Account                |
| <input type="checkbox"/> Association | <input type="checkbox"/> Government Organization | <input type="checkbox"/> Others (Specify)             |

**Details of Entity**

|  |  |
|--|--|
| Name of Entity   |  |
| Registered Address   |  |
| Country of Incorporation   |  |
| Correspondence Address (if differs to the Registered Address)  |  |
| Nature and Purpose of Business ( details of the objectives, scope and area of activities of Club/ Society/ Charity/ Association/ NPO/NGO etc.) |  |
|  |  |

**Purpose for opening the account and the usage**

- Business Transactions       Investment       Other Special Purpose (Specify) .....

**Details of Office Bearers / Member of the Governing Body / Committee Members / Administrator (s) / Executor (s)/ Trust(ies) / Beneficiary (ies)**

|   |
|---|
| <b>01</b>   |
| Name (Mr/Mrs.Ms/.....)  |
| Address   |
| NIC No  |
| Position Held   |
| <b>02</b>   |
| Name (Mr/Mrs.Ms/.....)  |
| Address   |
| NIC No  |
| Position Held   |
| <b>03</b>   |
| Name (Mr/Mrs.Ms/.....)  |
| Address   |
| NIC No  |
| Position Held   |
| <b>04</b>   |
| Name (Mr/Mrs.Ms/.....)  |
| Address   |
| NIC No  |
| Position Held   |
| <b>05</b>   |
| Name (Mr/Mrs.Ms/.....)  |
| Address   |
| NIC No  |
| Position Held   |
| Other connected Institutions/ Associations/ Organizations/ Professional Activities and Interest |

|  |
|--|
|  |
|--|

|  |
|--|
| Purpose of opening account and the usage |
|--|

| Anticipated volumes - Expected Average Volume of deposits into the Account in Rupees per Month |  |   |
|--|--|---|
| <input type="checkbox"/> Less than Rs. 100,000   | <input type="checkbox"/> Rs.100,001-500,000      | <input type="checkbox"/> Rs.500,001- 1,000,000  |
| <input type="checkbox"/> Rs. 1,000,001-2,000,000   | <input type="checkbox"/> Rs.2,000,001-3,000,000  | <input type="checkbox"/> Rs.3,000,001-5,000,000 |
| <input type="checkbox"/> Rs.5,000,001-7,000,000  | <input type="checkbox"/> Rs.7,000,001-10,000,000 | <input type="checkbox"/> Over 10,000,000        |

| Source of Funds Expected Source and Nature of Credits into the Account |  |                                      |  |
|--|--|--------------------------------------|--|
| <input type="checkbox"/> Foreign Donations                             | <input type="checkbox"/> Local Donations               | <input type="checkbox"/> Collections | <input type="checkbox"/> Membership Fees |
| <input type="checkbox"/> Return on Investments                         | <input type="checkbox"/> Others (Please specify) ..... |                                      |  |

| Assets Owned by the Club/ Society/ Charity/ Association/ NPO/ NGO etc |                                      |   |   |   |
|---|--------------------------------------|---|---|---|
| <input type="checkbox"/> Property/Premises                            | <input type="checkbox"/> Investments | <input type="checkbox"/> Motor Vehicles | <input type="checkbox"/> Financial Assets | <input type="checkbox"/> Others (specify) ..... |
| <input type="checkbox"/> None   |                                      |   |   |   |

| Financial Information   |                         |                          |
|---|-------------------------|--------------------------|
| Are the Audited Financial Statements for last two years available? Yes <input type="checkbox"/> No <input type="checkbox"/> |                         |                          |
| Description (Rs)  | Current Year (Y/E ..... | Previous Year (Y/E ..... |
| Annual Turnover   |                         |                          |
| Surplus   |                         |                          |
| Paid-up Capital and Accumulated Surplus   |                         |                          |

| Document required  |          |                |
|--|----------|----------------|
| We forward herewith the following documents relevant to the account opening request (Tick '✓' as appropriate)                          | Enclosed | Not Applicable |
| Account opening mandate  |          |                |
| Board/ Committee resolution authorizing the account opening and name of authorized persons to give instructions for transactions       |          |                |
| Certified copy of the Registration Document  |          |                |
| Certified copy of the Constitution, Charter etc (In the case of Club/ Society/ Charity/ Association or NGO)                            |          |                |
| Know your Customer (KYC) form (Entity)   |          |                |
| Individual Know Your Customer (KYC) Form of all members of Governing Bodies and Individuals who are authorized to operate the accounts |          |                |
| Copies of NIC/ Identification document of members of governing bodies and individuals who are authorized to operate the account        |          |                |
| Minutes of the Annual General Meeting  |          |                |
| Court orders/ Gazette Notification the Account)  |          |                |
| Trust Deed (In the case of Trust Account)  |          |                |
| Registration from the NGO Secretariat of the relevant Ministry and the written approval  |          |                |
| Latest Audited Accounts if available   |          |                |
| Authorized Signatory List  |          |                |
| Others (Please specify) .....  |          |                |

We hereby certify that, we have read and understood the rules and regulations of the Company for the conduct of such account and comply with and be bound by the terms of the General Agreement, which forms an integral part of this application.

|           |                               |           |                               |
|-----------|-------------------------------|-----------|-------------------------------|
| Name      |                               | Name      |                               |
| Position  |                               | Position  |                               |
| Signature |                               | Signature |                               |
| Date      | D   D   M   M   Y   Y   Y   Y | Date      | D   D   M   M   Y   Y   Y   Y |

**For Office use Only**

Document Reviewed by ..... (Signature)

Emp No

Authorized by ..... (Signature)

Emp No

System Entry

.....  
Input by

.....  
Checked by

.....  
Activated by

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Scanned by