

		of registerd partnership firm).		Exemption (if applicable).	
		NTN Certificate		Certificate of Incorporation	
				Certificate of commencement of Business.	
				Certified copy of board Resolution	
				Memorandum & Articles of Association/Bye laws/Trust Deed	
				Audited Accounts of the Company	
4.Trusts		5.Clubs Societies and Associations		6.Executors/Ad administrator	
CNIC of all trustees		Certified copy of certificate of Registration		CNICs of all Executors/Administrators	
Certified copy of the Trust Deed		List of members		Certified copy of Letter of administration	
Latest financials of the trust		CNIC/NICOP of members of Governing Board			
Documentary Evidence of Tax Exemption (if applicable)		Certified copy of bylaws/rules and regulations			
Trustee/Governing Body Resolution		Copy of lates financials of Society/Association			
		Board/Governing Body Resolution			
IF DOCUMENTS/INFORMATION IS COMPLETE,PROCEED TO SECTION B					
List any missing documents/information below:					
1					
2					

If ANY document or information is missing, proceed to section G.4

SECTION B													Annexure A			
Assesment of information provided in section A																
Based on information provided in A																
1. Is the investor also the ultimate beneficiary of the funds to be invested. If NO, joint account should be opened or power of attorney be provided by ultimate beneficiary with relevent documentary details of the beneficiary.											YE S	NO				
2. In case if the investor is a private company , is the latest shareholders' list available?											YE S	NO				
3. In case of Government Account , Mark YES if the account is not in the personal name of the government official. A resolution/authority letter (duly endorsed by Ministry of Finance or Finance Department of concern government) is available which authorizes the opening of operations of this account by an officer of federal/provincial/local government in his/her official capacity.											YE S	NO				
If the answer to any of the above question was 'NO', go to section G.3 or G.4 otherwise goto Section C																
SECTION C																
Risk Category of Investor		please tick box														
1. Government department/Equity			LOW RISK		Goto Section G.1											
2. Public Listed Company			LOW RISK		Goto Section G.1											
3. Private limited company			MEDIUM RISK		Goto Section G.2											
4. Non-Government Organization(NGO)			HIGH RISK		Goto Section G.3											
5. Trust/Charity			HIGH RISK		Goto Section G.3											
					Go to section D											

6.Unlisted Financial Institution								
7.Individual			Go to Section E					

SECTION D

Annexure-A

Unlisted Private Financial Institution (NBFI)		
Is the unlisted private financial institution domiciled in Pakistan and is regulated by the SECP/State Bank of Pakistan(SBP)? OR Is it domicile in a FATF member country that is satisfactorily follow the FATF recommendations and is supervised by regulatory body?	YES	NO
	YES	NO
If YES, proceed to Section G.1	If NO, Proceed to Section G.3	

SECTION E

Individual		
1.Is the person a non-resident Pakistani?	YES	NO
2.Is the person a high net worth individual with no identifiable source of income or his/her profit/source of income doesn't match with size and quantum of investment?	YES	NO
3.Is the person involved in dealing in high value items <i>(based on declared occupation)</i> ?	YES	NO
4.Is a person a foreign national?	YES	NO
5.Does the person appeared to have links or money transfer to /from offshore tax havens or belongs to country (s) where KYC/CDD and anti-money laundering regulations are lax(in terms of not sufficiently applying FATF recommendations)?	YES	NO
6. Is there any reason to believe that the person has been refused account opening by another financial institution/brokerage house?	YES	NO
7. Is the person opening the brokerage account on a non-face-to-face basis/on-line?	YES	NO
If the response to any question (1-7) above was "YES", proceed to Section G.3		
	YES	NO

8. Is the person a holder of a senior level public (Government) officer i.e politically exposed person (PEP) or a family member of PEP?		
9. Is the person a holder of high profile position(e.g senior politician)?	YES	NO
If the response to any question (8-9) above was "YES", proceed to Section F,else proceed to Section G.1		

SECTION F

Annexure A

Politically Exposed Person/Foreign National/Holders of High Profile position		
Is the brokerage account relationship with this high risk category person including politically exposed person/foreign national/holder of high profile position,approved by the Nominee Director, CEO/COO of the brokerage house (<i>approval shall be provided by management through signing the respective Account Opening Form</i>)	YES	NO
If YES, proceed to Section G.3	If NO,proceed to Section G.4	

SECTION G

Investor Risk Profile		
	Risk Classification	KYC Requirments
G.1	Low Risk	Reduced KYC Requirments shall be applicable: Investor account can be opened once information/documents mentioned in section A have been provided.
G.2	Medium Risk	Greater care required and documents listed in Section A should be obtained before opening of account.
G.3	High Risk	Enhance KYC Requirments shall be applicable: Investor account can be opened once information /documents mentioned in section A have provided. Transaction shall be monitored to ensure that the funds used for investment are from an account under the investor's own name in a financial institution (e.g bank) subject to high due dilligence standards and the amount and frequency of investments are not unusual given the nature and financial strngth of the investor.
G.4	High Risk	Account cannot be opened as KYC Requirments have not been fulfilled.

CONFIRMATION of physical presence of customer when opening account	YES	NO
--	-----	----

Other Comments

<p>-----</p> <p>-----</p> <p>-----</p> <p>-----</p> <p>-----</p> <p>-----</p>

Completed by	Name of Sales person/Agent	Signature	Date
---------------------	----------------------------	-----------	------

Checked by	Name of Compliance Person	Signature	Date
-------------------	---------------------------	-----------	------