

FORM A1: SUBSCRIPTION FORM

1. LET US KNOW ABOUT YOURSELF

Name of Applicant (Mr., Mrs., Ms., Other)				
Address of Applicant				
Phone	Home	Mobile	
E-mail address				
Nationality	Country of Residence	NIC / Passport		
Date of birth				
Profession / Occupation	Name of employer			
Expected value of transactions per month	<input type="checkbox"/>	< Rs.100,000	<input type="checkbox"/>	Rs.100,000-Rs.500,000
	<input type="checkbox"/>	Rs.500,000-Rs.1,000,000	<input type="checkbox"/>	>Rs.1,000,000
Source of funds	<input type="checkbox"/>	Sales & Business Turnover	<input type="checkbox"/>	Salary / Profit Income
	<input type="checkbox"/>	Sale of Property / Assets	<input type="checkbox"/>	Others (Specify)
Are you a Politically Exposed Person? (Refer 2.4 under terms and conditions for definition)	<input type="checkbox"/>	Yes Position	<input type="checkbox"/>	No

2. PLAN YOUR INVESTMENT & LET'S CREATE THE LEGACY YOU DESIRE

Total investment (Rs.):

Payment Method By Cheque Cheque Number Bank Fund Transfer Direct Deposit

Investment Plan:

Fund	Investment (Rs)
Guardian Acuity Money Market Fund	
Guardian Acuity Equity Fund	
Guardian Acuity Income Fund	

Investment Objective	
Steady monthly income	
Short term liquid requirements	
Periodic investments to achieve a life goal -Education, Travel Etc.	

3. MANAGING WITHDRAWALS (Please tick the relevant box)

Credit to my bank Deliver Cheque to my above address

Account no: _____

Name of Account: _____

Name of Bank: _____

Branch: _____

4. HOW BEST WE CAN SERVE YOU?

Enable Internet Portal Facility SMS Alert on Transaction Confirmations

Enable E Statements

SMS Alert on Daily Unit Prices

SMS Alert on Month End Balance

I hereby confirm that the information furnished above are true and correct. I further confirm that I have read and understood the attached terms and conditions on page 4 and agree to accept them.

Signature (of applicant)

Date

Authorized Signature Verification

Branch seal

Branch Code

Risk Score

FORM D: FORM OF NOTICE OF NOMINATION

Account holder Name

Address

.....

.....

Date

Client Account Number/ NIC

I hereby give you notice that I have nominate the following party as the Nominator to become the owner of all Units held under the aforementioned Client Account Number in all Unit Trust Funds upon my death.

Name of the Nominee	NIC/ Passport Number	Nominee's Address / email address and Telephone number	Proportion %

.....
(Signature of Unit holder)

FORM B1: DECLARATION OF SOURCE OF FUNDS

In line with regulatory requirements and as per the Anti Money Laundering policy of Guardian Acuity Asset Management Ltd it is required for Account Holder(s) to disclose source of funds with documentary evidence for investments made as cash deposits to any of the collection accounts of Guardian Acuity Asset Management Ltd.

A Declaration of Source of Funds form should be completed by investment applicants for each investment made in cash equal to or above Rs.1,000,000/-

Name of Account Holder	
NIC	
Current Address	
Contact Number	
Description of Source of Funds	
(It is required to provide documentary evidence to support the source of investments equal to or exceeding the value of Rs. 1,000,000/- per month made in the form of cash deposits to collection accounts. Examples of acceptable forms of documentary evidence are detailed overleaf)	
Value of Investment	
I/we hereby confirm that the above information is accurate and complete	
Signature of Account Holder(s)	Date

Examples of Documentary Evidences

Source	Document
Savings	Bank Statement(s) demonstrating deposited/gifted monies
Sale of Investments	Statement from investment provider or bank statement showing settlement from investment provider
Sale of property	Signed letter from – Solicitor/Advocate or Estate Agent or Contract of Sale / settlement statement
Loan Proceeds	Loan agreement or statement
Inheritance	Copy of will, signed letter from solicitor, grant of probate or letter from executor
Maturity or surrender of life insurance policy	Closing statement or letter from policy provider
Insurance Claims	Letter from insurance provider
Dividends or profit out of a Company	Latest audited company accounts / dividend statement
Divorce	Copy of court order / judicial separation agreement
Other court award (eg: compensation)	Court order or signed letter from solicitor / advocate

INSTRUCTIONS, TERMS & CONDITIONS

1. GENERAL GUIDELINES AND 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 creation.
3. Attach the Copy of National ID Card, Copy of the Cash/Cheque Deposit form, and Form D, if you wish to appoint a nominee.
4. Attach Form C, Copy of standing Instructions if you wish to subscribe to the Periodic Investment scheme.

2. TERMS AND CONDITIONS

2.1 Payment conditions

- i. Every application for a unit should be a minimum of Rs. 1,000/- for each fund.
- ii. 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 01.
- iii. Individual investors who invest Rs. 1 million or above in the form cash deposits (per month) directly to GAAM bank accounts are required to fill the "Declaration of Source of Funds" form along with the form A1.
- iv. In the case of cheque deposits, units will be created the day that the cheque is realized.

2.2 Investment process

- i. 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.
- ii. Please submit;
 - NIC/Passport copy of applicant(s)/guardian.
 - Copy of birth certificate of applicant (for minors).
 - Proof of address (Eg: Recently received utility Bills, Bank statements, Etc.)
 - For cash investments of Rs. 1,000,000 or above, documentary evidence of source of funds

2.3 Notices to the Fund Manager

The manager must be notified immediately, in writing, of the following:

- Any change of address or contact details OR Change in payment instructions OR Change in nominees

2.4 Other terms

- i. 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.
- ii. Units in the trusts are sold based on information contained in the respective Explanatory Memorandum.
- iii. Applications in joint names may be made by not more than two persons, and both applicants must sign such applications.
- iv. 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 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.
- v. 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.
- vi. 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.
- vii. 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.
- viii. For any complaints or inquiries please reach us on client.services@carcumb.com or, 0112039396 – Operations Support, 0112039330 – Compliance Division.