

Know Your Customer / Due Diligence Form for Individual Investors

This Form is meant and adopted to establish the identity of the client by using reliable, independent source of documents, data and information, under NBFC (Non Banking Finance Companies) & Notified Entities Regulations, 2008 and SECP (Securities and Exchange Commission of Pakistan) Circular No. 12 dated April 28, 2009.

Know Your Customer / Due Diligence

Name	Mr. / Mrs. / Ms. / M/s.	CNIC/NICOP / Passport No.	
Father's / Husband's / Guardian's Name		Contact No.	Fax
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	Status	<input type="checkbox"/> Resident <input type="checkbox"/> Foreigner <input type="checkbox"/> Non Resident <input type="checkbox"/> Other _____
Date of Birth	/ / dd/mm/yyyy	Place of Birth	
Nationality	Do you have other Nationalities? (If Yes, please disclose all Nationalities)	Occupation	
Nationality 2	Nationality 3		

In case of U.S. Citizens / Green Card Holder / Residents Please fill out the form over leaf for FATCA Compliance

Residence Address _____

Bus/Employer Address _____

Age Between 18-30 Between 31-45 Between 46-60 Above 60 Number of Dependents _____

Education Under Graduate Graduate Post Graduate Professional Other (Please Specify) _____

Source of funds (Multiple Options can be Selected) Salary Stock / Investment Inheritance Retirement Fund / Pension
 Business Income Home Remittance Sale of Property Other (Please Specify) _____

Occupation Details Private Service Retired Student Professional
 Government Service Housewife Self Employed Others (Please Specify) _____

Approximate Annual Income (optional) PKR. Up to Rs. 100,000 Rs. 100,001 - Rs. 250,000 Rs. 250,001 - Rs. 500,000 Rs. 500,001 - Rs. 1,000,000
 Rs. 1,000,001 - Rs. 2,000,000 Rs. 2,000,001 - Rs. 4,000,000 Rs. 4,000,001 - Rs. 10,000,000 Rs. 10,000,001 & Above

Ultimate Beneficiary of the Investment (if different from investor) _____ Relationship of Ultimate Beneficiary with Investor _____
(Provide CNIC & relevant Info of Beneficiary). Note that redemption shall only be allowed in favour of the Account Holder.

Has any Financial Institution ever refused to open your account? Yes No

Are you acting on behalf of any other person? Yes No

Are you holding a very senior position in any government institution? Yes No

Are you holding a very senior position in any political party? Yes No

Do you deal in high value items such as Gold, Silver, Dimond etc.? Yes No

Date / / dd/mm/yyyy Signature _____

Checklist of Required Documents for Individual/Sole Proprietorship (if not already provided):

Copy of CNIC / Passport Business/Employment Proof Zakat Affidavit (in case of exemption)
 Copy of Nominee(s) CNIC W-9 Form (For U.S. Persons) W-8 BEN Form (For Non U.S. Account)

Note: Tax and Zakat Exemption Certificate / Affidavit are Mandatory if exempted.

*** The Foreign Account Tax Compliance Act (FATCA)**

The Foreign Account Tax Compliance Act (FATCA) was signed into U.S. law on March 18, 2010. It is aimed at preventing U.S. taxpayers from using accounts held outside of the U.S. to evade taxes. Any financial institution that fails to comply with FATCA will face a 30% withholding tax on a wide range of U.S. sourced payments to its clients. Under U.S. federal tax law, Lakson Investments Limited is required to request certain taxpayer information from certain persons who maintain an account at Lakson Investments Limited (whether such persons are U.S. taxpayers or not). Information collected will be used solely to fulfill Lakson Investments Limited requirements under U.S. federal tax law and will not be used for any other purpose.

Unit Holder Name U.S. Passport No.

Country of Residence U.S. Social Security No.

Do you hold U.S. Permanent Resident Card (Green Card) Yes No Are your spouse / children U.S Resident / Citizen Yes No
If yes, please provide social security & passport no. below:

Spouse U.S. Passport No. Child 1 U.S. Passport No.

Spouse U.S. Social Security No. Child 1 U.S. Social Security No.

Child 2 U.S. Passport No. U.S. Residential Status Resident Non-Resident

Child 2 U.S. Social Security No. U.S. Tax Identification No. (TIN)
In case of U.S. Citizen

Current Mailing Address

Mailing Address (If in U.S.)

U.S. Residence Phone U.S. Office Phone U.S. Cell Phone

Are you the Ultimate Beneficiary of this investment account? Yes No
If no, please provide name and social security No. below:

Name of Ultimate Beneficiary U.S. Social Security No.

Are you a 'U.S. Person' under U.S. Tax Principal for any other reason? Yes No
(e.g., dual residency, spouse filing jointly, long term permanent residency in the U.S., others)

If yes, please state the reason below:

If you are a citizen or tax resident of United States, please complete Form W-9, "Request for Taxpayer Identification Number and Certification".

Declaration:

I hereby confirm the information provided above is true, accurate and complete.

Subject to applicable local laws, I hereby consent for Lakson Investments Limited to share my information with domestic or overseas regulators or tax authorities where necessary to establish my tax liability in any jurisdiction.

Where required by domestic or overseas regulators or tax authorities, I consent and agree that Lakson Investments Limited may withhold from my account(s) such amounts as may be required according to applicable laws, regulations and directives.

I undertake to notify Lakson Investments Limited within 30 calendar days if there is a change in any information which I have provided to Lakson Investments Limited.

I will indemnify and hold harmless Lakson Investments Limited from any loss, action, cost, expense (including, but not limited to sums paid in settlement of claims, reasonable attorneys' and consultant fees, and expert fees), claim, damages, or liability which arises or is incurred by Lakson Investments Limited in discharging its obligations under FATCA and / or as a result of disclosures to the US tax authorities.

Date / / dd/mm/yyyy

Signature

LAKSON INVESTMENTS LIMITED

Thank you for investing with Lakson Investments Limited

Lakson Square, Building No 2, Sarwar Shaheed Road, Karachi 74200.

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