



Corporate Customers Form
 Capital Alliance Securities (Pvt) Limited
 46/58 Level 5, Capital Alliance, Millenium
 House, Colombo 2.
 Tel: 94112317777
 Email: assetmanagement@capitalalliance.lk

Office Use Only

Application No.

Agent Code

Client Ref. No

Investment Management Licensed By Securities And Exchange Commision Of Sri Lanka

PLEASE FILL IN BLOCK LETTERS

Name of the organization

Business Registration Number

Nature of business

Date of Registration

ADDRESS

Contact person

Designation

Contact No. (Fixed)

Mobile

Email address

Authorized Signatories: Name

Position

Specimen Signature

<input type="text"/>	<input type="text"/>	_____
<input type="text"/>	<input type="text"/>	_____
<input type="text"/>	<input type="text"/>	_____

INVESTMENT MANDATE

1. Initial Amount of Investment Rs.
Minimum Investment Amount Rs. 1,000,000/-

Amount In Words: Rupees

Tick Appropriate Box CASH DEPOSIT CHEQUE BANK DRAFT FUND TRANSFER

PAYMENT DETAILS

Cheque/Bank Draft No. Bank Branch Swift Code

2. **ASSIGNED SHARES FOR MANAGEMENT** (please attach a CDS statement, if available)

Name of the Company	No. of Shares	Current Market Price
_____	_____	_____
_____	_____	_____
_____	_____	_____

3. **ASSET ALLOCATION GUIDELINES**

Type Of Investment	Asset Allocation Range (% of Fund's NAV)		
	Minimum	Strategic	Maximum
Equities listed in the Colombo Stock Exchange			
Government securities including Repo investments			
Other fixed income securities			

4. TIME HORIZON OF THE INVESTMENT

Short-term (less than one year) Medium term (1-3 years) Long-term (more than 3-years)

5. INVESTMENT UNIVERSE (Please select your investment universe.)

- | | | | |
|--------------------------------|--------------------------|---|--------------------------|
| Equity investments | <input type="checkbox"/> | Government securities including repos | <input type="checkbox"/> |
| Initial Public offering (IPOs) | <input type="checkbox"/> | All form of bank deposits | <input type="checkbox"/> |
| Preference shares | <input type="checkbox"/> | Securitized and asset back trust certificates | <input type="checkbox"/> |
| Money market instruments | <input type="checkbox"/> | Corporate fixed income securities | <input type="checkbox"/> |
| Convertible debt | <input type="checkbox"/> | | |

The fund manager has the freedom to invest in financial instruments not covered above wherever the managers judgment considers it appropriate with the approval of the client.

6. RISK TOLERANCE LEVEL OF THE CLIENT (Please select your preferred risk level.)

- | | | | |
|--------------------------------|--------------------------|---------------------------|--------------------------|
| High (speculative investments) | <input type="checkbox"/> | Below average | <input type="checkbox"/> |
| Above average | <input type="checkbox"/> | Low (Treasury investment) | <input type="checkbox"/> |
| Average | <input type="checkbox"/> | | |

7. MANAGEMENT FEE (Please select any of the following fund management fee structure.)

Option one

Quarterly charge of 0.40% per quarter on the net asset value of the fund

Option two

25% of any excess in return over the benchmark rate charge in each quarter

8. AUTHORIZATION FOR BORROWING

If You Wish To Allow Fund Manager To Borrow The Funds From The Market, Please Indicate The Limits. (Indicate The Borrowing Limit As Against The Portfolio Value At The Time Of Borrowing).%

9. RESTRICTION OF INVESTMENTS

Equity	
Restricted investments in a group or individual company	
Maximum holding of a company from the issued share capital of the company	
Related party or directorship restriction	
Restricted sale of shares or minimum holding.	
Other Investments	
Maximum period of investment	
Restricted Companies For Investments	
Maximum exposures for a company. Rs.	
Minumum credit rating	
Other restrictions	

DECLARATION

We have read, understood and agree to appoint Capital Alliance Securities (Pvt) Ltd. as the Fund manager for me.

We declare that the information given is correct to the best of our knowledge and belief.

We confirm that, we have received and read the copy of the Prospectus and the standard fund management agreement.

Authorised Signature

Authorised Signature

Authorised by: _____ Name: _____ Signature: _____ Date: _____