



# BAWA SECURITIES (PVT) LTD.

Corporate Stock Broker Pakistan Stock Exchange Ltd. Karachi

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OFFICE COPY

MAIN APPLICANT

LF

## KNOW YOUR CUSTOMER (KYC) APPLICATION FORM FOR INDIVIDUAL(S)

SINGLE   
JOINT

(Please use BLOCK LETTERS to fill the form)

A

### IDENTITY DETAILS OF APPLICANT

- 1
- 2
- 3
- 4
- 5
- 6

Name of Applicant	Mr Ms Mrs																			
Father's / Husband's Name	Mr Ms Mrs																			
(a) Nationality:	(b) Marital status	Single <input type="checkbox"/>	Married <input type="checkbox"/>	(c) Status	Resident <input type="checkbox"/>	Non-Resident <input type="checkbox"/>														
(a) CNIC / SNIC / NICOP / ARC / POC																				
(b) Expiry Date																				
Passport Details <small>(For a foreigner or non-resident Pakistani)</small>	Passport No.									Date of Issue										
	Place of Issue									Date of Expiry										
Date of Birth																				

B

### ADDRESS DETAILS OF APPLICANT

- 1
- 2

(a) Mailing Address <small>(Address should be different from authorized intermediary business address except for employees of authorized intermediary)</small>	City / Town / Village:					Province / State:				Country:							
	(b) Tel. (Off.) *:					(c) Tel. (Res.) *:				(f) Fax *:							
(d) Mobile:					(e) Email:												
Specify the proof of address submitted for mailing address:																	
(a) Permanent Address <small>(mandatory for all applicants fill out if different from mailing address)</small>	City / Town / Village:					Province / State:				Country:							
	(b) Tel. (Off.) *:					(c) Tel. (Res.) *:				(f) Fax *:							
(d) Mobile:					(e) Email:												
Specify the proof of address submitted for permanent address:																	

C

### OTHER DETAILS

- 1
- 2
- 4

Gross Annual Income Details (please specify)	up to Rs. 100,000	Rs. 250,001 - Rs. 500,000	Rs. 1,000,001 - Rs. 2,500,000		
	Rs. 100,001 - Rs. 250,000	Rs. 500,001 - Rs. 1,000,000	Above Rs 2,500,000		
Source of Income:					
			3 Shareholder's/ Unit Holder's Category: INDIVIDUAL		
(a) Occupation <small>Please tick (✓) the appropriate box</small>	AGRICULTURIST	BUSINESS	HOUSEWIFE	HOUSEHOLD	
	RETIRED PERSON	STUDENT	BUSINESS EXECUTIVE	INDUSTRIALIST	
	PROFESSIONAL	SERVICE	GOVT. / PUBLIC SECTOR	OTHERS (Specify)	
(b) Name of Employer / Business: <small>(Include symbol if employer listed company)</small>					
(c) Job Title / Designation:			(d) Department:		
(e) Address of Employer / Business					

D

### BANK DETAILS \*\*\*

Bank Name & Branch																				
IBAN No.	P	K																		

E

### DECLARATION

I hereby confirm that all the information furnished above is true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be untrue or false or misleading or misrepresenting, I am aware that I may be held liable for it.

Signature of the Applicant																				
Date																				
Signature of the Applicant as per CNIC / SNIC / NICOP/ ARC / POC / Passport No <small>(Only applicable if Applicant signature is different)</small>																				
For Office Use Only																				
Date																				
For BAWA SECURITIES (PVT) LTD.																				



## TERMS & CONDITIONS OF THE KYC APPLICATION FORM

1. All terms herein shall, unless expressly stated otherwise, have the same meaning as ascribed to them in the Centralized KYC Organization Regulations.
2. The information provided in KYC application form and/or CRF shall be in addition to and not in derogation of the requirements prescribed under Anti-Money Laundering and Countering Financing of Terrorism Regulations, 2018.
3. All correspondence shall be sent by CKO at the mailing address and/or email address of the Customer, as stated on the KYC Application Form.
4. Neither the CKO nor its directors, officers, employees or agents shall be liable for losses, damages, liabilities, costs or expenses suffered or incurred by the Customer as a result of providing its KYC Information to Authorized Intermediaries or the CKO due to any reasons whatsoever including its unauthorized disclosure.
5. The Customer undertakes to indemnify the CKO against any losses, damages, liabilities, costs or expenses suffered or incurred by CKO, including any legal costs and claims by third parties, as a result of any inaccuracy, misrepresentation, misstatement or incorrect details in the information supplied by the Customer or any omission in such information or any other contravention or violation of the Centralized KYC Organization Regulations
6. The Customer agrees that in the event that he does not abide by the timelines prescribed in the Centralized KYC Organization Regulations for submission of information and confirmation to the NCCPL, the NCCPL shall be authorized to take action as prescribed in the Centralized KYC Organization Regulations. The Customer undertakes that it shall hold CKO harmless and that CKO shall not be liable for any losses, damages, liabilities, costs or expenses suffered or incurred by the Customer as a result of such actions.
7. The Customer agrees that CKO may hold, store and process its KYC Information on the KYC Information System and KYC Database in connection with its KYC functions under the Centralized KYC Organization Regulations. The Customer also agrees that CKO may disclose its KYC Information as permitted under the CKO Regulations and such other disclosures as may be reasonably necessary for compliance with any other laws or regulatory requirements.
8. The Customer acknowledges that KYC Information System and KYC Database, including but not limited to all the information contained therein is the legal property of CKO.
9. The Authorized Intermediaries agree to pay CKO the fees and charges as prescribed by CKO from time to time in respect of its KYC functions.
10. CKO has absolute discretion to amend or supplement any of the terms and conditions at anytime and will endeavor to give prior notice of fifteen days wherever feasible for such changes.
11. The Customer agrees and affirms that it shall be bound by and acts in accordance with the provisions of the Centralized KYC Organization Regulations.
12. These terms and conditions shall be governed by the laws of Pakistan.

★ Optional

★★ For NICOP/ARC/POC/Passport, Email is Mandatory and Mobile Number is Optional. Whereas for CNIC/SNIC, Mobile Number is Mandatory and Email is Optional. Incase of SNIC where country of stay is not Pakistan, email will be mandatory.

★★★ IBAN shall be mandatory for all Customers subject to any exception available under applicable laws, rules, regulations etc.

★★★★ It is Mandatory to Provide Mobile Number of Account Holder

**KNOW YOUR CUSTOMER (KYC)/CUSTOMER DUE DELIGENCE (CDD)  
CHECKLIST FOR INDIVIDUALS & JOINT A/C APPLICANT**

3/3 ✓

FULL NAME OF APPLICANT			
1) Specify the proof of Address submitted for mailing address			
a) CNIC Copy b) Rental Agreement c) Any Utility Bill d) Others			
2) GROSS ANNUAL INCOME (OPTIONAL)			
a) .....Below 100,000 b) .....100,001 - 250,000 c) .....250,001 - 500,000			
d) .....500,001 - 1,000,000 e) .....1,000,001 - 2,500,000 f) .....above			
EVIDENCES: <i>FBR RETURN - current Period</i>			
3) Net Worth as on (date) ..... Is Rs. ....			
EVIDENCES: <i>COPY OF RETIREMENT BENEFITS/PENSION/ETC DETAIL.</i>			
4) Obtain photograph (latest or not more than six mon old)			
5) Countries where you visited in last two years.....			
6) <i>3 months copy of Bank statement - operative Account</i>			
7)			
DECLARATION FROM MAIN APPLICANT		YES	NO
			NO RESPONSE
A) Has any financial institution ever refused to open your account?			
B) Do you hold a position in any political party/public office or hold a high profile position?			
C) Do you agree to submit source of wealth/funds to BSL on a regular basis?			
D) Do you have any business relationship or transactions in/from offshore Tax haven countries i.e? Luxemburg, Africa, Switzerland and others?			
E) Do your business involve high value items i.e Gold, Silver, Diamonds?			
F) Do you belong to countries where Anti Money Laundering regulations are ignored? Luxemburg, Brazil, African countries, Sudan, Switzerland etc			
G) Do you have close relationship/friendship with any people having illegal business and you have knowledge?			
H)			
I)			
J)			
K)			
L)			
I, hereby declare that above information is true and correct to the best of my knowledge and I shall immediately update. The Chief Executive, Bawa Securities (PVT) Ltd if there is any change in such information.			
I authorize Bawa Securities (Pvt) Ltd and its officials to verify any or all information provided in/with this KYC/CDD Form			
Dated: _____		Signature of Main Account Applicant <i>X</i> _____	

**FOR OFFICE PURPOSE**

**INVESTOR RISK PROFILE**

Risk Classification

1. LOW RISK
2. MEDIUM RISK
3. HIGH RISK
4. HIGH RISK

KYC Requirements

Reduced KYC Requirements shall be applicable: Investor account can be opened once information / documents mentioned in section a have been provided.  
Greater care required and documents listed in Section A should be obtained before opening of account.  
Enhanced KYC Requirement shall be applicable:  
Investor account can be opened once information / documents mentioned in section A have been provided.  
Transactions shall be monitored to ensure that the funds used for investments are from an account under the investor's own name in a financial institution (e.g. bank) subject to high due diligence standards and the amount and frequency of investments are not unusual given the nature and financial strength of the investor  
Account cannot be opened as KYC Requirements have not been fulfilled.

OTHER COMMENTS: \_\_\_\_\_