

# Account Opening Form For individual Clients SMART Account



Customer ID

(For Office Use)

For assistance in filling out this form, Please call at 0800-00026 or sms HELP to 8258.

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## Principal Unit Holder Details (Mandatory)

Name (Mr/Ms/Mrs)   
(Please write in block letters)

Father/Husband's Name   
(Please write in block letters)

CNIC Number  -  -  Date Of Birth  -  -   
(dd - mm - yyyy)

Occupation ☐ Govt. Service ☐ Pvt. Service ☐ Business/  
Self Employed ☐ Housewives ☐ Youth ☐ Retired

☐ Professional  (please specify) Other  (please specify)

Source of Funds (Multiple options may be selected) ☐ Salary ☐ Self-owned/ Family Business (Please specify)

☐ Home Remittance ☐ Inheritance ☐ Stocks/ Investments ☐ Other   
(please specify)

Approx Annual Income:

Present Address: House # / Flat #  Name of Building / Flat / Floor

Block / Street / Mohallah / Area  Post Office / village

Nearest Land Mark  Postal code  District / Tehsil  City

Country  E-mail\*

Mobile (  ) (  )  
country code Operator Code

In case the applicant is minor, kindly provide FATCA related information of Guardian in the specified form.

\*Disclaimer: Make sure that provided email address is correct, active and pertinent (i.e email account being operated by you) as the same email address may be used by UBL Funds to contact you for update investment information and VAS (value added services). This email address may also be used to access your investment information and execute transaction including redemption, conversion & update profile Information etc. UBL Funds will not be held responsible for any potential misuse of the email.

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## Bank Account Details of Principal Unit Holder (Mandatory) /

### Bank Account Details (atleast one) of Principal Unit Holder (Mandatory)

Bank Account Number  Bank Account Title

Bank Name  Branch Code  Bank Address

I want to re-invest my dividend amount (after deduction of Tax) ☐

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## Investment Details

Cooling Off Rights: The unit holders have the right to obtain a refund of their first time investment (cooling-off right) in a particular Collective Investment Scheme. The cooling-off right shall be available to the individual unit holders only. The cooling-off period shall comprise of three business days commencing from the date of issuance of investment report (transaction statement) to the unit holder. The cooling-off right shall be exercised by the unit holder upon written request to the AMC. The investment amount is being refunded at the applicable NAV on the date the cooling-off right is exercised which shall be paid to the unit holder within six business days of receipt of written request from the unit holder. The AMC shall also refund any sales load paid by the unit holder. However, contingent load (Back end load) shall be payable by the unit holder where applicable.

### 3.1 Initial Investment Details (Mandatory)

|                          | Name of Fund                           | Type of Units | Amount (Rs.) | Amount (Rs.) in words |
|--------------------------|----------------------------------------|---------------|--------------|-----------------------|
| <input type="checkbox"/> | UBL Liquidity Plus Fund (ULPF)         | C             |              |                       |
| <input type="checkbox"/> | UBL Money Market Fund (UMMF)           | C             |              |                       |
| <input type="checkbox"/> | Al-Ameen Islamic Cash Fund (AICF)      | B             |              |                       |
| <input type="checkbox"/> | Al-Ameen Islamic Sovereign Fund (AISF) | C             |              |                       |

### 3.2 Payment Details

| S.No. | Mode of Payment                                                                   | Instrument No. | (Drawn on) Bank Name | Branch Name & Code |
|-------|-----------------------------------------------------------------------------------|----------------|----------------------|--------------------|
| 1     | <input type="checkbox"/> Cheque <input type="checkbox"/> Cashier Cheque/Pay Order |                |                      |                    |
| 2     | <input type="checkbox"/> Cheque <input type="checkbox"/> Cashier Cheque/Pay Order |                |                      |                    |

Total Investment Amount (Rs.): \_\_\_\_\_ Amount in Words: \_\_\_\_\_

**Note:** Payment can be made in the form of a cheque, Cashier Cheque/Pay Order. Payment can be made in favor of "CDC Trustee UBL/Al Ameen Funds" or in favor of CDC Trustee <Fund Name>. (Please mention Pre-IPO with fund name if investment being made during Pre-IPO period of fund). Total investment is restricted to Rs. 800,000 at all times/ during a year.

### 3.3 Risk Profiling (Optional)

Please complete Risk Profiling form in order to make additional investment in schemes other than Money Market & Income.

| Score                                                                                                | 1                    | 2                              | 3                                | 4                             | Select Score |
|------------------------------------------------------------------------------------------------------|----------------------|--------------------------------|----------------------------------|-------------------------------|--------------|
| 01 Age                                                                                               | More than 60         | 46-60                          | 30-45                            |                               |              |
| 02 What is your investment horizon?                                                                  | Upto 6 months        | Upto 1 year                    | 1-3 years                        | More than 3 years             |              |
| 03 Define your investment knowledge                                                                  | None                 | Fresh/Basic                    | Well-versed                      | Expert                        |              |
| 04 What is your risk appetite?                                                                       | Lower                | Low                            | Moderate                         | High                          |              |
| 05 How will you define your investment experience by asset classes? You may select multiple options* | Bank Deposits        | Money Market/ National Savings | Fixed Income/Debt                | Equity/ Forex/ Commodity      |              |
| 06 Investment Objective                                                                              | Liquidity Management | Regular Income                 | Medium term capital appreciation | Long term wealth accumulation |              |
| *High Score Applicable                                                                               |                      |                                |                                  | Total Score                   |              |

| Opt | Score        | Risk Tolerance | Recommended Solutions                                                                                               |
|-----|--------------|----------------|---------------------------------------------------------------------------------------------------------------------|
| A   | 1- 10        | Lower          | Cash funds, money market funds                                                                                      |
| B   | 11-15        | Low            | Fixed Income funds, capital protection funds/plans with conservative allocations                                    |
| C   | 16-20        | Moderate       | Capital protection funds, Aggressive Income Funds, Asset Allocation/Balanced Funds, Plans with moderate allocations |
| D   | More than 20 | High           | Equities, commodity, plans with aggressive allocation                                                               |

Your option / solution based on your score is \_\_\_\_\_

I hereby declare that I have read, understood and completed this entire profiling questionnaire on my own. I understand that this questionnaire only helps me assess my risk appetite based on the information provided by me and I have the sole right to choose the investment as I deem fit which may not fit my risk profile I am aware that my financial needs may change over time depending on my personal and situation objectives and I shall be solely responsible for all my current and future investment, conversion and transfer transactions if these transactions are not in accordance with my above-mentioned risk profiling results. I also understand that this questionnaire does not constitute, in any manner, advice given by the Company. I will not hold the Company liable or responsible for these transactions in any manner.

☐ I Agree

Customer Signature \_\_\_\_\_

**FATCA & CRS requirements:**

I certify that I do not hold US Green card or Nationality. Further, neither my country of birth, current residence, contact number or any bank account or standing instructions is US based. I declare that all statements made in this declaration are correct and complete. I undertake to advise UBL Funds within 30 days of any change in circumstances or due to any reason which causes the information contained herein to become incorrect or incomplete, and to provide UBL Funds with a revised W-8 or W-9 form and Declaration within 30 days of such change.

I certify that I am a Pakistani national and do not hold tax residency in any other country. Further, I also confirm that my current address, contact number, standing instructions and/or bank accounts are all Pakistan based. I declare that all statements made in this declaration are correct and complete. I undertake to advise UBL Funds within 30 days of any change in circumstances which affects the tax residency status as confirmed above or due to any reason which causes the information contained herein to become incorrect or incomplete, and to provide UBL Funds with a revised Self Certification form and Declaration within 30 days of such change.

I/We expressly and unconditionally authorize UBL Fund Managers Limited to disclose relevant account and/or personal information to third parties including FBR, SECP or tax authorities of other countries including US under any applicable law as well as take necessary action including stopping redemption from any/all of my/our account(s) and/or withholding of tax for the purpose of UBL Fund Managers Limited's compliance with its obligations under the FATCA or CRS or any other applicable law. I/We undertake to fully cooperate with UBL Fund Managers Limited to ensure it meets its obligations under the said applicable laws in connection with my/our account(s). I/We irrevocably confirm and undertake that I/We shall indemnify, defend, and hold harmless UBL Fund Managers Limited, its Directors, Officers, and Employees from any loss, action, cost, expense (including, but not limited to, sums paid in settlement of claims, reasonable attorney and consultant fees, and expert fees), claim, damages, or liability which may be suffered or incurred by UBL Fund Managers Limited in discharging its obligations under FATCA and/or as a result of disclosures to the US tax authorities.

**Account Opening Declaration:**

The details provided by me are true, correct, and complete to the best of my knowledge and belief, and the documents submitted along with this application are genuine. I certify that I have the power and authority to establish this account and the features and services requested and that the authorizations hereon shall continue until any written notice of a modification or a termination signed by all appropriate parties. I hereby accept that the Company may, at any time in the future, require any verification before processing any requested transaction(s) in this account. With respect to the value added services offered by the Company, I waive and discharge the Company fully from any delay due to breakdown or sending of such services, beyond reasonable control of the Company, and understand that the Company may, at its absolute discretion, discontinue any of the services completely or partially without any notice to me. I acknowledge and accept that UBL Fund Managers Limited reserves the right to close or suspend, without prior notice, my account if required document/information is not submitted within a stipulated time. I have carefully read, understood and accepted the terms and conditions given in the form and in the relevant Trust Deed(s) and Offering Document(s) of the Fund(s)/Plan(s). I hereby confirm that I have received the latest Fund Manager Report and/or Fact Sheet as the case may be. I understand that the company may amend or alter the terms and conditions referred herein and hereafter, from time to time. I understand that investments in mutual funds are subject to market risks and fund prices may go up or down based on market conditions. I understand that past performance is not necessarily an indicator of future results and there is no fixed or guaranteed return. I declare that the amount so invested is legitimate and not generated from money laundering activities. I expressly and unconditionally authorize UBL Fund Managers Limited to disclose details of relevant account to third parties including SECP and FBR, as well as take necessary action including stopping redemption from any/all of my/our account(s) for the purpose of compliance with its obligations. I confirm that I have understood the details of Sales Load to be deducted including taxes thereon.

☐ I agree above declarations

Date \_\_\_\_\_

Principal Unit Holder's Signature \_\_\_\_\_

**For Office Use Only**

|                            |                     |                 |
|----------------------------|---------------------|-----------------|
| Distributor _____          | Name of Agent _____ | Sub-Agent _____ |
| Reference/Agent Code _____ | IC/Location _____   | Remarks _____   |

**General Instructions & Guidelines**

**1)** Fill the form in block letters and in legible handwriting to avoid errors in application processing. **2)** Fill the form by yourself or get it filled in your presence. Do not sign and/or submit blank form. **3)** If any alteration is made, a countersign is mandatory. **4)** Application incomplete in any respect and / or not accompanied by required documents are liable to be held or rejected until complete requirements are fulfilled. **5)** It is the responsibility of the applicant to carefully read and understand the guidelines and instructions provided in this form and the terms and conditions in the offering documents of the relevant schemes prior to submitting the form. **6)** Cash will not be accepted. **7)** If payment instrument is returned, the unpaid application will be rejected. **8)** It should be the responsibility of the applicant to pay all charges and taxes in relation to the units purchased by him/her. **9)** Front end load (charges) will be applicable on investment as per Constitutive Documents of the Fund(s) / Investment Plan(s). **10)** Please tick in the appropriate box wherever applicable, in case any field is not relevant, please mark N/A (Not Applicable). **11)** Application will be processed as per cut off timings of the funds / plan, for cut off timings sms CT to 8258. **12)** Only Pakistani Individual can open SMART Account in Mutual Funds. **13)** SMART Account service for minors is not available.