

Account Opening Form For Institutional Investors

- -



_____-_____-_____-_____-_____-_____-_____-_____-_____- (For Office Use)

[illegible]

For assistance in filling out this form, speak with our Customer Care executive at +9221-35622781 or UAN: 021-111-825-262 for UBL Funds or email at customer care@ublfunds.com

You can submit the form to your nearest UBL Fund Managers Investment Center, designated UBL Branches or authorized distributor outlets. You can also courier the form to: UBL Fund Managers - Operations Office, 4th Floor, STSM Building, Beaumont Road, Civil Lines, Karachi, Pakistan.

General Instructions

- 1) Fill the form with blue pen in block letters and in legible handwriting to avoid errors in application processing. If any alteration is made, a countersign is mandatory.
- 2) Fill the form by yourself or get it filled in your presence. Do not sign and / or submit blank form.
- 3) Please tick the appropriate box wherever applicable, in-case any field is not relevant, please mark N/A (not applicable)
- 4) It is the responsibility of the applicant to carefully read and understand the guidelines and instruction provided in this form and the term and condition in the offering document (s) of the relevant scheme prior to submitting the form.
- 5) Application incomplete in any respect and / or not accompanied by required documents are liable to be hold or rejected until complete requirements are fulfilled.
- 6) Application complete in all respect and carrying all necessary documentary attachments should be submitted at UBL Fund Managers Investment Center, Designated UBL branches, distribution Outlets, or UBL Funds Managers Operation Office: 4th Floor, STSM building, Beaumont road, Civil Lines, Karachi, Pakistan .
- 7) Please obtain acknowledgment receipt against your payment for investment.
- 8) For assistance in filling this form or information on about our products and services call our Corporate & Institutional Sales department.

Guidelines

- 1) Cash will not be accepted.
- 2) Payment shall be made in the form of cheque, demand draft payorder or Online account transfer.
- 3) Payment shall be made In favor of 'CDC Trustee < Name of Fund >, (In case of investment in funds) and in favor of 'CDC Trustee UBL Funds' or 'Al-Ameen Funds' instrument should be crossed account payee only.
- 4) If payment instrument is returned, the application will be rejected.
- 5) It should be the responsibility of applicant to pay all charges and taxes in relation to the unit purchased.
- 6) Front-end load (charges) will be applicable on investment as per Constitutive Documents of the Fund(s)
- 7) In case of partnership firm or trust, application should be made in the name of the partnership or trust.

1) Unit Holder's Details

Entity name/
Messrs:

NTN
Number:

Registration Number:

Regulated person: ☐ Leasing company ☐ NBFC ☐ Modaraba ☐ Stock broker ☐ Insurance

Public company: ☒ Listed ☐ Unlisted

☐ Private Company ☐ Sole Proprietor ☐ Registered (Please provide registration certificate) ☐ Unregistered

☐ Executors / Administrators ☐ Club / Society ☐ Association of Person

Financial Institution ☒ Commercial Bank ☐ Micro-Finance Bank ☐ Investment Company ☐ Stock Broker ☐ Insurance Company

Retirement Fund ☐ Pension Fund ☐ Provident Fund ☐ Gratuuity Fund ☐ Workers Profit Participation Fund ☐ Super Annunciation Fund

☐ Recognized ☐ Unrecognized

Partnership Registered Unregistered

☐ NGO ☐ NPO ☐ Trust

[illegible][illegible]

Correspondence Address:

Office phone: - -

Fax number: - -

Company website:

Primary contact person name:

Designation:

Phone: - -

Mobile: - -

Email:

Alternate contact person name:

Designation:

Phone: - -

Mobile: - -

Email:

Correspondence to be send to ☐ as above If different please specify

2) Bank Account Details

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

Bank Account number / IBAN:

Bank Account Title:

Bank Name: Branch Code:

Bank Address:

3) Account Operating instructions

Tick one as appropriate: ☐ Single Signatory ☐ Joint holders (any two) ☐ All authorized signatories

Other (please specify)

4) Dividend payout instruction

Tick one as appropriate: ☐ Reinvest in the Fund(s) / Plan(s) ☐ Distribute in the form of cash

Note: If no option is selected, any dividends declared will be reinvested in the fund(s) / Plans(s) .

5) Units Mode of Holding

I/We would like to confirm Units Mode of hold as per option selected below tick anyone

☐ Account Statement

Unit will be issued in registered, (non-certificate) form and will be confirmed by means of an Account statement (Physical or E-statement) by the registrar.

☐ Physical certificates

Unit will be issued in certificate form on payment of Rs/.25 per certificate payment for issuing certificate(s) may be combined with the payment of investment in the particular fund(s). Unless specified a minimum number of certificate will be issued certificate(s) will only be issued for whole number of unit(s) not including any fractional unit(s), if any

Note: If no option is selected, 'Account statement' unit mode of holding will be considered. For investment plans Account statement will be the default units mode of holdings. Whichever option is selected There are procedures laid down in each case of redemption / encasement, conversion and transfer of funds / plans.

6) Investment Details

Name of Scheme (s) *	Type of Units	Amount (Rs.)
1 <input type="text"/>	<input type="text"/>	<input type="text"/>
2 <input type="text"/>	<input type="text"/>	<input type="text"/>
3 <input type="text"/>	<input type="text"/>	<input type="text"/>
4 <input type="text"/>	<input type="text"/>	<input type="text"/>

Total Investment Amount (Rs)

In Words

1- Mode of Payment ☐ Cheque ☐ Pay Order ☐ Demand Draft ☐ Online Transfer ☐ RTGS

Instrument Number Bank Short Name(Drawn On) Branch Code

Branch Name

2- Mode of Payment ☐ Cheque ☐ Pay Order ☐ Demand Draft ☐ Online Transfer ☐ RTGS

Instrument Number Bank Short Name(Drawn On) Branch Code

Branch Name

3- Mode of Payment ☐ Cheque ☐ Pay Order ☐ Demand Draft ☐ Online Transfer ☐ RTGS

Instrument Number Bank Short Name(Drawn On) Branch Code

Branch Name

4- Mode of Payment ☐ Cheque ☐ Pay Order ☐ Demand Draft ☐ Online Transfer ☐ RTGS

Instrument Number Bank Short Name(Drawn On) Branch Code

Branch Name

7) Fund Category & Risk

Category	Fund Name / CIS	Investment Amount	Front End Load (One time cost)***
Money Market <i>Risk Profile: Very Low</i> <i>Risk of Principal Erosion: Very low risk</i>	UBL Liquidity Plus Fund UBL Liquidٹیٹریٹس فونڈ UBL Cash Fund* UBL کیش فونڈ	Rs: _____ روپے	_____ % فیصد
Money Market <i>Risk Profile: Low</i> <i>Risk of Principal Erosion: low risk</i>	UBL Money Market Fund UBL منی مارکیٹ فونڈ	Rs: _____ روپے	_____ % فیصد
Shariah Compliant Money Market <i>Risk Profile: Low</i> <i>Risk of Principal Erosion: low risk</i>	Al-Ameen Islamic Cash Fund الامین اسلامک کیش فونڈ Al-Ameen Islamic Cash Plan-I** الامین اسلامک کیش پلان I-**	Rs: _____ روپے Rs: _____ روپے	_____ % فیصد _____ % فیصد
Capital Protected (Non Equity) <i>Risk Profile Low</i> <i>Risk of Principal Erosion: Low risk</i>	UBL Special Savings Fund UBL اسپیشل سیونگس فونڈ Plan Name* _____ پلان کا نام _____ UBL Special Savings Fund - II UBL اسپیشل سیونگس فونڈ II- Plan Name* _____ پلان کا نام _____	Rs: _____ روپے Rs: _____ روپے	_____ % فیصد _____ % فیصد
Shariah Compliant Capital Protected (Non Equity) <i>Risk Profile: Low</i> <i>Risk of Principal Erosion: Low risk</i>	Al-Ameen Islamic Special Savings Fund الامین اسلامک اسپیشل سیونگس فونڈ Plan Name* _____ پلان کا نام _____	Rs: _____ روپے	_____ % فیصد
Income <i>Risk Profile: Medium</i> <i>Risk of Principal Erosion: Medium risk</i>	UBL Income Opportunity Fund UBL انکم اوپورٹونٹی فونڈ UBL Government Securities Fund UBL گورنمنٹ سیکیورٹیز فونڈ	Rs: _____ روپے Rs: _____ روپے	_____ % فیصد _____ % فیصد
Equity <i>Risk Profile: High</i> <i>Risk of Principal Erosion: High risk</i>	UBL Stock Advantage Fund UBL اسٹاک ایڈوانٹیج فونڈ UBL Financial Sector Fund UBL فنانشل سیکٹر فونڈ	Rs: _____ روپے Rs: _____ روپے	_____ % فیصد _____ % فیصد

*Excluding taxes

Category	Fund Name / CIS	Investment Amount	Front End Load (One time cost***)
Fixed Return Scheme فکسڈ ریٹرن اسکیم Risk Profile: Low ریسک پروفائل: کم Risk of Principal Erosion: Low risk اصل زرمیں کٹوتی کا خطرہ: کم	<p>Note: At the time of investment, Unit Holder is required to provide maturity instructions in the form of either getting amount at maturity or transfer to UBL Money Market Fund (without any Front End load).</p> <p>UBL Fixed Return Plan-1(a)* فکسڈ ریٹرن پلان 1(a) Instruction to convert amount (net-off tax) into UBL Money Market Fund (without load) on maturity by default. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>UBL Fixed Return Plan- فکسڈ ریٹرن پلان - Instruction to convert amount (net-off tax) into UBL Money Market Fund (without load) on maturity by default. Yes <input type="checkbox"/> No <input type="checkbox"/></p>	Rs: _____ روپے Rs: _____ روپے	Nil Nil
Aggressive Income ایگریسو انکم Risk Profile: Medium ریسک پروفائل: درمیانہ Risk of Principal Erosion: Medium risk اصل زرمیں کٹوتی کا خطرہ: درمیانہ	UBL Growth and Income Fund UBL گروتھ اور انکم فنڈ	Rs: _____ روپے % _____	
Asset Allocation ایسٹ ایلوکیشن Risk Profile Medium ریسک پروفائل: درمیانہ Risk of Principal Erosion: Medium risk اصل زرمیں کٹوتی کا خطرہ: درمیانہ	UBL Asset Allocation Fund UBL ایسٹ ایلوکیشن فنڈ	Rs: _____ روپے % _____	
Shariah Compliant Income شریعت کے مطابق انکم Risk Profile: Medium ریسک پروفائل: درمیانہ Risk of Principal Erosion: Medium risk اصل زرمیں کٹوتی کا خطرہ: درمیانہ	Al-Ameen Islamic Sovereign Fund الامین اسلامک سوورن فنڈ	Rs: _____ روپے % _____	
Shariah Compliant Aggressive Income شریعت کے مطابق ایگریسو انکم Risk Profile: Medium ریسک پروفائل: درمیانہ Risk of Principal Erosion: Medium risk اصل زرمیں کٹوتی کا خطرہ: درمیانہ	Al-Ameen Islamic Aggressive Income Fund الامین اسلامک ایگریسو انکم فنڈ Al-Ameen Islamic Aggressive Income Plan الامین اسلامک ایگریسو انکم پلان	Rs: _____ روپے % _____	
Shariah Compliant Asset Allocation شریعت کے مطابق ایسٹ ایلوکیشن Risk Profile: Medium ریسک پروفائل: درمیانہ Risk of Principal Erosion: Medium risk اصل زرمیں کٹوتی کا خطرہ: درمیانہ	Al-Ameen Islamic Asset Allocation Fund الامین اسلامک ایسٹ ایلوکیشن فنڈ	Rs: _____ روپے % _____	
Equity ایکویٹی Risk Profile: High ریسک پروفائل: زیادہ Risk of Principal Erosion: High risk اصل زرمیں کٹوتی کا خطرہ: زیادہ	UBL Stock Advantage Fund UBL اسٹاک ایڈوائیج فنڈ UBL Financial Sector Fund UBL فنانشل سیکٹر فنڈ	Rs: _____ روپے % _____ Rs: _____ روپے % _____	
Shariah Complaint Equity شریعت کے مطابق ایکویٹی Risk Profile: High ریسک پروفائل: زیادہ Risk of Principal Erosion: High Risk اصل زرمیں کٹوتی کا خطرہ: زیادہ	Al-Ameen Shariah Stock Fund الامین شریعت اسٹاک فنڈ Al-Ameen Islamic Energy Fund الامین اسلامک انرجی فنڈ	Rs: _____ روپے % _____ Rs: _____ روپے % _____	

*Backend/contingent load may apply for early withdrawal before maturity/time period specified in Offering Document. **Daily dividend distribution. ***Excluding Taxes.

8) Know Your Customer

Principal line of business	<input type="text"/>
Parent company name (if applicable)	<input type="text"/>
Ultimate beneficiary	<input type="text"/>
Country of incorporation (please specify)	<input type="text"/>

Note: (This information should be same as mentioned in the entity registration document).

Expected annual revenue:

Source(s) of Investments

(select atleast one / more than one if applicable)

☐ Investment Income ☐ Business Income ☐ Donation ☐ Employee Contribution ☐ Other

Geographies Involved

☐ Domestic ☐ Ex - FATA ☐ International

Type of counterparties dealing with

☐ Individual ☐ NPO/Trust ☐ Business

Your expected No. of monthly investment transaction: ☐ 0-5 ☐ 6-10 ☐ 11-15 ☐ More than 15

Your expected No. of monthly redemption transaction: ☐ 0-5 ☐ 6-10 ☐ 11-15 ☐ More than 15

Expected Investment Transactions (Rs.) in a year: ☐ Upto 100,000 ☐ 100,000 – 800,000 ☐ 800,001 – 10,000,000 ☐ More than 10,000,000

Expected Investment Per Transaction (Rs.): ☐ Upto 25,000 ☐ 25,000 – 400,000 ☐ 400,001 – 1,000,000 ☐ More than 1,000,000

Purpose of investment: ☐ Growth ☐ Cash management ☐ Others

9) Declaration & Signature(s)

We have carefully read understood and agree to abide by all the rules, regulations, terms and conditions given in this form. The details provided by me/us are true, correct and complete to the best of our knowledge and belief, and the documents submitted along with this application are genuine. We hereby undertake to promptly inform the company of any changes to the information provided in this form. We certify that we 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. We hereby accept that the company may at any time in the future require verification before processing any requested transaction in this account, the verification procedures may include recording instructions, requiring certain identifying information before acting upon instructions and sending written confirmations. With respect to the value added services offered by the company, we waive and discharge the company fully from any delay due to breakdown or malfunction 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/us. Also, we have no objection if my account related information is shared with third parties in order to fulfill regulatory/legal/bilateral arrangements/agreements/requirements.

We have carefully read, understood and accept the terms and conditions given in the relevant Consolidated Trust Deed(s) and Consolidated Offering Documents(s) as amended from time to time of the fund(s), Plan(s) along with details of Sales Load to be deducted (if any) including taxes, latest Fund Manager Report and/or Fact Sheet of the relevant CIS(s)/Plan(s). We hereby also acknowledge that we have reviewed and understood the Total Expense Ratio, Management Fee, Selling & Marketing expenses, Front-end, Back-end and Contingent Load of the Scheme as disclosed on the UBL Fund Managers website link <https://www.ublfunds.com.pk/individual/resources-tools/fund-performance-tools/latest-fund-prices/>. We understood that the company may amend or after the terms and conditions referred herein and hereafter from time to time. We have understood to access the company website to keep myself ourselves updated before every operation of this account. We have understood that investments in mutual funds are subject to market risks and fund prices may go up or down based on market conditions. We have understood that past performance is not necessarily an indicator of future results and there is no fixed or guaranteed return. I declare that funds invested are legitimate and not generated from Money Laundering Activities. We are fully informed and understand that investment in units of CIS(s)/Plan(s) are not bank deposit, not guaranteed and not issued by any person. Shareholder of UBL Funds are not responsible for any loss to investor resulting from the operations of any CIS(s)/Plan(s) launched by UBL Funds unless otherwise mentioned.

Use of name and logo of UBL Bank / UBL Ameen as given above does not mean that they are responsible for the liabilities/obligations of UBL Fund Managers & Al-Ameen Funds or any investment scheme managed by them.

Authorized signature

Authorized signature

Date:

- -

Note: official company stamp required

10) Document Checklist

Before submitting this form, make sure the following documents are attached. If one or more of the documents are missing, your application may be declined or processed with a delay.

Sole proprietorship

- o Photocopy of identity document of the proprietor.
- o Attested copy of registration certificate for registered concerns.
- o Sales Tax registration or NTN, where applicable
- o Registered/ business address.
- o Copy of certificate or proof of membership of trade bodies etc., wherever applicable.
- o Requisition and Declaration of sole proprietorship on business letter head (as per provided format).

Partnership

- o Photocopies of identity documents of all the partners and authorized signatories.
- o Attested copy of 'Partnership Deed'.
- o Attested copy of Registration Certificate with Registrar of Firms. In case the partnership is unregistered, this fact shall be clearly mentioned on the Account Opening Form.
- o Authority letter from all partners, in original, authorizing the person(s) to operate firm's account.
- o Registered/ business address.
- o Copy of latest financial statements of partnership

Limited Liability Partnership (LLP)

- o Photocopies of identity documents of all the partners and authorized signatories.
- o Certified Copies of:
 - o Limited Liability Partnership Deed/Agreement.
 - o LLP-Form-III having details of partners/designated partner in case of newly incorporated LLP.
 - o LLP-Form-V regarding change in partners/designated partner in case of already incorporated LLP.
- o Authority letter signed by all partners, authorizing the person(s) to operate LLP account.
- o Copy of latest financial statements of partnership

Limited Companies/ Corporations

- o Certified copies of:
 - o Resolution of Board of Directors for opening of account specifying the person(s) authorized to open and operate the account;
 - o Memorandum and Articles of Association;
 - o Latest 'Form-A/Form-B'.
- o Incorporate Form II in case of newly incorporated company and Form A / Form C whichever is applicable; and Form 29 in already incorporated companies;
- o Photocopies of identity documents of all the directors and persons authorized to open and operate the account;
- o Photocopies of identity documents of the beneficial owners;
- o Copy of latest financial statements

Branch Office or Liaison Office of Foreign Companies

- o A copy of permission letter from relevant authority i.e. Board of Investment.
- o Photocopies of valid passports of all the signatories of account.
- o List of directors on company letter head or prescribed format under relevant laws/regulations.
- o Certified copies of
 - o Form II about particulars of directors, Principal Officer etc. in case of newly registered branch or liaison office of a foreign company
 - o Form III about change in directors, principal officers etc. in already registered foreign companies branch or liaison office of a foreign company
- o A Letter from Principal Office of the entity authorizing the person(s) to open and operate the account.
- o Branch/Liaison office address.

**Trust, Clubs,
Societies and
Associations etc.**

- o Certified copies of:
 - o Certificate of Registration/Instrument of Trust
 - o By-laws/Rules & Regulations
- o Resolution of the Governing Body/Board of Trustees/Executive Committee, if it is ultimate governing body, for opening of account authorizing the person(s) to operate the account.
- o Photocopy of identity document of the authorized person(s) and of the members of Governing Body/Board of Trustees /Executive Committee, the Settlor (if any), the Protectors (if any), the beneficiaries and any natural person exercising ultimate effective control over the trust if it is ultimate governing body.
- o Registered address/ business address where applicable.
- o List of Major Donors in case operating on Donations.
- o Copy of latest financial statements.

NGOs/NPOs/ Charities

- o Certified copies of:
 - o Registration documents/certificate;
 - o By-laws/Rules & Regulations.
- o Resolution of the Governing Body/Board of Trustees/Executive Committee, if it is ultimate governing; body, for opening of account authorizing the person(s) to operate the account;
- o Photocopy of the identity document (CNIC/NICOP/Passport whichever applicable) of the authorized person(s) and of members of Governing Body/Board of Trustees /Executive Committee, if it is an ultimate governing body;
- o Latest Audited Financial Statements;
- o Registered address/ Business address.
- o Updated list of major donors that maintain decision rights with a copy of their identity document.

Agents

- o Certified copy of 'Power of Attorney' or 'Agency Agreement'.
- o Photocopy of identity document of the agent and principal.
- o The relevant documents/papers, if agent or the principal is not a natural person.
- o Registered/ Business address

Executors and Administrators

- o Certified copy of 'Power of Attorney' or 'Agency Agreement'.
- o Photocopy of identity document of the agent and principal.
- o The relevant documents/papers, if agent or the principal is not a natural person.
- o Registered / Business Address

**Govt. Institutions /
Semi Govt.**

- o Registration documents/certificate
- o By Laws/Rules & Regulation

Note: Tax and zakat Exemption certificates/affidavit are mandatory if exempted, CRS-E and FATCA NFE ,Photocopy of identity documents(i-e valid CNIC/passport) along with list of the all the Directors/trustees/signatories/Executors/Administrators/Authorizers are mandatory for all , kindly note Attested means originally attested from Notary Public)

For Office Use Only / صرف آفس استعمال کے لیے

Distributor / ذمہ دار / دسٹری بیوٹر _____ Name of Agent / ایجنٹ کا نام _____ Sub-Agent / سب ایجنٹ کا نام _____

Reference/Agent Code / ریفرنس/ ایجنت کوڈ CRM Lead

--	--	--	--	--	--	--	--	--	--	--

آئی سی / مقام / IC/Location

Deposit/CMT Slip #

Acknowledgement Receipt #

Receipt date

																		-		-					
--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	---	--	---	--	--	--	--	--