



PORTFOLIO MANAGEMENT SERVICES (PMS) ACCOUNT OPENING FORM-INDIVIDUAL

RECENT
PHOTOGRAPH

SECTION 1 - INDIVIDUAL DETAILS

INDIVIDUAL DETAILS (Please fill in BLOCK LETTERS and Tick boxes where applicable)

Principal Applicant's Name:

Applicant's Name (in Devanagari):

Joint Applicant's Name (If applicable):

Gender: Male Female Others

Date of Birth (B.S): D D M M Y Y Y Y

Marital Status: Married Unmarried Separated

Place of Birth:

Nationality: National ID: PAN No.:

Citizenship No.: Issued Date: Issued Place:

Passport No.: Issued Date: Issued Place:

Spouse's Name:

Father's Name:

Mother's Name:

Grandfather's Name:

Grandmother's Name:

ADDRESS DETAILS:

TEMPORARY

Country		Province		District	
Municipality		Ward No.		Block No.	
Mobile No.		Fax No.		Street Name	
Home Phone		Work Phone		Email	

Tick if permanent address is same as temporary address as above.

PERMANENT

Country		Province		District	
Municipality		Ward No.		Block No.	
Mobile No.		Fax No.		Street Name	
Home Phone		Work Phone		Email	

.....
Applicant's Signature

Educational Qualification:

Occupation: Salaried-Govt. Salaried-Private Self Employment Housewife Retired Business
 Others, Please Specify

(ASSOCIATED ORGANIZATION DETAILS)

Organization's Name	
Organization's Address	
Designation	

Are you involved with any political party registered in Nepal ? Yes No

Please provide details of your relatives who: 1) have attained high bureaucratic position in the government, 2) are involved in politics, 3) have attained noteworthy/prominent position, 4) have retired from noteworthy position.

Name	Involved Area	Position	Existing/Retired	Relationship	Remarks

SECTION 2 - GUARDIAN'S DETAILS (In Case of Minor)

Guardian's Full Name: Relation with Applicant:
 Citizenship No.: Citizenship Issued Date & Place:

GUARDIAN'S CURRENT ADDRESS

Country		Province		District	
Municipality		Ward No.		Block No.	
Mobile No.		Fax No.		Street Name	
Home Phone		Work Phone		Email	

SECTION 3 -BANK ACCOUNT DETAILS OF THE PRIMARY APPLICANT (Other than Managed by Portfolio Manager)

Bank Account Name:
 Bank Account No.:
 Bank Name:
 Bank Branch Name:
 Account Type: Savings Current Other

SECTION 4 - TYPES OF SERVICES

(A) Service type: (I) Discretionary (II) Non-discretionary (III) Advisory Service

- I. This is for clients who wish to delegate decision making on investment matters to our team of professional advisors.
- II. The portfolio manager manages the fund in accordance with the expressed direction given by the client.

(B) IPO Apply Service: Yes No

- i. This is for clients who wish for Garima Capital Limited to Apply IPO on their behalf .

.....
 Applicant's Signature

SECTION 5 - INVESTMENT DETAILS

Initial Investment Amount (NPR):

Investment Period: Years Months

Investment Objective: Regular Income Capital Gain Speculative Profits

Other's please specify

Risk Appetite: Low Medium High

Desired Portfolio Allocation: Debt Instruments Stock/Shares Bank Deposits Mutual Funds

Sources of (%) Funds:

<input type="checkbox"/> Inherited Wealth	<input type="checkbox"/> Personal Saving	<input type="checkbox"/> Sale of Assets	<input type="checkbox"/> Salary
<input type="checkbox"/> Income from Investments	<input type="checkbox"/> Borrowing	<input type="checkbox"/> Family Fund	<input type="checkbox"/> Retirement/Pension
<input type="checkbox"/> Business	Others, Please Specify <input type="text"/>		

SECTION 6 - INCOME & EXPENSES DETAILS

Please indicate all amounts in NPR 'OOO

Income	Yearly	Expenses	Yearly
Salary		Household Related	
Business Earning		Education Fee & Charges	
Rental income		Medical Exp.	
Pension		Loans	
Capital Gain		Insurance	
Dividends		Vehicle Related	
Interest on Savings		Personal Expenses	
Others (.....)		Others (.....)	
Total Income (A)		Total Expenses (B)	
Net Saving (A-B)			

SECTION 7 - ASSET & LIABILITIES

Please indicate all amounts in NPR 'OOO

Assets (present value)	Amount	Liabilities (B) (present value)	Amount
Land		Loans From:	
Building		Banks	
Vehicle		Financial Institutions	
Deposit/Savings		Borrowing	
Investment		Others (.....)	
- Shares/Stocks		Total Liabilities (B)	
- Debenture/Bonds			
- Mutual Fund			
- Others (.....)			
Total Assets (A)			
Net Assets Value (NAV) (A-B)			

.....
Applicant's Signature

SECTION 8 - NOMINATION DETAILS

I hereby nominate the under mentioned nominee as my beneficiary to receive the amount to my credit in the event of my death or physical disabilities, which may affect my decision making and authorize Garima Capital Limited to transfer the total investments of my account to the nominated person.

Nominee's Full Name:

Relationship with Applicant:

Date of Birth (Mandatory if nominee is a minor): (B.S.) DD MM YY YY YY

Citizenship No.: Date & Place of Issue:

Nominee's
Recent
Photograph

NOMINEE'S CURRENT ADDRESS

Country		Province		District	
Municipality		Ward No.		Block No.	
Mobile No.		Fax No.		Street Name	
Home Phone		Work Phone		Email	

SECTION 9 - SITE MAP OF THE CLIENT'S RESIDENCE FROM THE MAIN ROAD

A large rectangular box for drawing a site map. In the top right corner, there is a north arrow (a vertical line with a small triangle at the top) and the letter 'N' below it. At the bottom center of the box, the text 'Nearest Landmark: Distance:' is printed.

SECTION 9 - FULL AND PARTIAL WITHDRAW DETAILS

RETURNS DETAILS (In case of partial Withdrawal/Termination)

I/We request Garima Capital Limited to transfer the returns of my investment from Portfolio Management Service account to:

Account Holder's Name:

Bank Account Number:

Name and Address of Bank:

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Applicant's Signature

SECTION 10 - CLIENT'S DECLARATION AND SIGNATORY:

I/we hereby declare that all the information and particulars furnished by me/us in the application are true to my/our knowledge and I/We have not suppressed, exaggerated or hidden any fact whatsoever. I/We agree and undertake to immediately inform Garima Capital Limited in case of any changes in the information given in this application or in separate sheet with this application. I/We also agree to provide further information as to when Garima Capital Limited or SEBON or NEPSE or CDSC or any other regulatory authorities may require from time to time. I/we hereby authorize, Garima Capital Limited to buy units of Garima Capital Limiteds IPO (which is to be issued into future) and to buy/sell units of institutions to which Garima Capital Limited has forwarded its underwriting commitments during public issuance of the same on my/our behalf it felt necessary by the discretion applicable to Discretionary Portfolio Management Services.

Also, I / We declare that the investment amount is earned through lawful means by abiding the prevailing laws & regulations including Anti Money Laundering (AML) related. Should there be any doubts or in the event of receiving any information with respect to my/our investment amount being on against the above mentioned laws, Garima Capital Limited reserves the right to terminate/suspend the service and inform the same to concerned authorities.

Applicant's Full Name:

Applicant's Signature

Date:

SECTION 11 - DOCUMENTS ENCLOSED

	Tick ✓		Tick ✓
Passport Size Photographs (5 copies)		Birth Certificate (In case of minor)	
Copy of Citizenship Certificate		Employment Verification Letter	
Copy of National ID Card		Source of Document	
Copy of PAN Card		Proof of Relationship	
Proof of Residential Address (water/Electricity bill/Lalpurj/Voter's Card)		Employee ID (For employee of government or any other organization)	

The aforementioned documents including the relevant information required by this application form should also be provided by the joint applicant.

FOR OFFICIAL USE ONLY

Client Code:

Agreement Date:

APPLICATION SCREENED BY:

Name:

Functional Title:

ASSIGNED RELATIONSHIP MANAGER:

1. INVESTMENT RELATED

Name:

Functional Title:

APPLICATION APPROVED BY:

Name:

Functional Title: