



National Investment Trust
CIS Manager

NIT UNIT TRUST

CLIENT RISK PROFILING FORM

Section 1 : Verification of Identity

INDIVIDUAL APPLICANT		
	First Applicant	Joint Applicant
Title		
Surname		
Full Forenames		
Maiden Name (if applicable)		
Permanent Residential Address		
Current Residential Address		
Date of Birth		
Birth Certificate No.		
Nationality		
Country of birth		
NIC or Passport Number		
Passport Expiry Date		
Marital Status		
Telephone (Home)		
Telephone (Office)		
Telephone (Mobile)		
E-Mail Address		
Occupation		
Previous/Current Employer's Name		
Employer's Address		

Please indicate if you wish to receive periodical information to be delivered to your E-Mail Address provided above.

Yes No

Section 2: Financial Details

• Source of Funds

Initial Investment/Current Investment

- Wages/pensions / bonus
- Savings
- Dividends

Others (please state): _____

Annual Source of Fund threshold:

- 100,000 – 250,000
- 500,000 – 1,000,000
- 2,000,000 – 3,000,000
- above 3,000,000

• Source of Wealth

- Sale of Property / Assets

Please provide details: _____

- Inheritance
- Others (please state and the state the amount)

(You are requested to submit a certified copy document to prove your source of fund / wealth)

4. Have you ever been convicted in any court of law for a criminal offence or linked to Money Laundering Offences or are there any proceedings now pending which may lead to such a conviction?

Yes No

If yes, please provide detail: _____

5. Have you been declared bankrupt or compounded with or made an assignment for the benefit of your creditors in Mauritius or elsewhere?

Yes No

If yes, please provide details _____

6. Are you acting as a nominee /trustee on behalf of an undisclosed underlying principal(s)?

Yes No

If yes please disclose: _____

7. Do you or any of your close associates or family member¹ occupy any public function² here in Mauritius or overseas?

Yes No

If yes, please provide details _____

SECTION 3: GENERAL DECLARATIONS

Please read the following carefully. All investors must then sign and date this application form.

Client Declaration:

I hereby declare that I am not involved in or in relation to any act of money laundering offences or terrorism financing activities under the Financial Intelligence and Anti-money Laundering Act 2002 and any other applicable legislation.

I declare that the information provided in this form is true and complete. I undertake to notify the Company immediately in writing of any change in particulars or information provided above.

Date: _____

Client signature: _____

1. Close associates mean- an individual who is closely connected to a PEP, either socially or professionally and — any other person as may be specified by a supervisory authority or regulatory body after consultation with the National Committee. Family members mean – an individual who is related to a PEP either directly through consanguinity, or through marriage or similar forms of partnership; and any other person as maybe specified by a supervisory authority or regulatory body after consultation with the National Committee.

2. «Public Function» are those who are entrusted with prominent public functions in Mauritius or overseas and includes the Head of State and of government, senior politicians, senior government, judicial or military officials, senior executives of state-owned corporations, important political party officials and such other person or category of persons; includes Heads of state • Heads of government •Ministers and deputy or assistant ministers • Members of parliament or similar legislative bodies • Members of governing bodies of political parties • Members of supreme courts, or any judicial body whose decisions are not subject to further appeal, except in exceptional circumstances • members of courts of auditors or of the boards of central banks - ambassadors, charges d' affaires and high-ranking officers in the armed forces • members of the administrative, management or supervisory bodies of state-owned enterprises • directors, deputy directors and members of the board of equivalent function of an international organisation.