## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

## A. IMPORTANT POINTS:

Self attested copy of PAN card is mandatory for all clients. including Promoters/ Partners/Karta/Trustees and whole time directors and persons authorized to deal

rartners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.

Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list. If any proof of identity or address is in a foreign language, then translation into English is required.

Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.

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If correspondence & permanent address are different, then proofs for both have

to be submitted.

Sole proprietor must make the application in his individual name & capacity. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.

For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.

In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.

(Continuous Discharge Certificate) is to be submitted.
 10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
 11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, atc.

B. Proof of Identity (POI): - List of documents admissible as Proof of Identity:

PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D). Unique Identification Number (UID) (Aadhaar) (Mandatory)/ Passport / Voter ID card

Driving license.

Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): - List of documents admissible as Proof of Address:

Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more

than 3 months old.

Bank Account Statement/Passbook - Not more than 3 months old.

Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.

In respect of their own accounts. Proof of address issued by any of the following: Bank Managers of Scheduled Co-Operative Bank/Multinationa Foreign Banks/ Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/ Parliament/Documents issued by any Govt. or Statutory Authority. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc. to their Mambars

affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc.,to their Members.

7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should be taken.

8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

\*\*Sufficient decementary address in support of such claims to be collected.

\*Sufficient documentary evidence in support of such claims to be collected.) ... In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court

Investors residing in the state of Sikkim.

UN entities/multilateral agencies exempt from paying taxes/filing tax returns in

India.
SIP of Mutual Funds upto Rs 50, 000/- p.a.
In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the corp.)

on the copy).

In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest

(\*Documents having an expiry date should be valid on the date of submission.)

The documents.

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Corporate  Copy of the balance sheets for the last 2 financial years (to be submitted every year).  Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terr of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).  Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.  Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.  Copye of the Balance sheets for the last 2 financial years (to be submitted every year).  Copy of the Balance sheets for the last 2 financial years (to be submitted every year).  Certificate of registration (for registered partnership firms only).  Copy of partnership deed.  Authorised signatories list with specimen signatures.  Photograph, POI, POA, PAN of Partners.  Copy of the balance sheets for the last 2 financial years (to be submitted every year).  Certificate of registration (for registered trust only).  Copy of the balance sheets for the last 2 financial years (to be submitted every year).  Certificate of registration (for registered trust only).  Copy of the balance sheets for the last 2 financial years (to be submitted every year).  Certificate of registration (for registered trust only).  Copy of the balance sheets for the last 2 financial years (to be submitted every year).  Certificate of registration of rore prosecular trust only.  Copy of the balance sheets for the last 2 financial years (to be submitted every year).  Certificate of registration of for registered trust only.  Copy of the balance sheets for the last 2 financial years (to be submitted every year).  Certificate of registration of HUF/ List of coparceners.  Bank pass-book/bank statement in the name of HUF.  Photograph, POI, POA, PAN of Karta.  Proof of Existence/Constitution/registration or annual report/balance sheet for the last 2 financial years.  Authorized signa	· · · · · · · · · · · · · · · · · · ·	onal documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:
Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terr of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).  Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.  Photograph, POI, POA, PAN and DIN numbers of whole time directory in charge of day to day operations.  Copy of the Memorandum and Articles of Association and certificate of incorporation.  Copy of the Board Resolution for investment in securities market.  Authorised signatories list with specimen signatures.  Copy of the balance sheets for the last 2 financial years (to be submitted every year).  Certificate of registration (for registered partnership firms only).  Copy of partnership deed.  Authorised signatories list with specimen signatures.  Photograph, POI, POA, PAN of Partners.  Copy of the balance sheets for the last 2 financial years (to be submitted every year).  Certificate of registration (for registered trust only). Copy of Trust deed.  List of trustes certified by managing trustees/CA.  Photograph, POI, POA, PAN of Trustees.  PAN of HUF.  PAN of HUF.  Deed of declaration of HUF/ List of coparceners.  Bank pass-book/bank statement in the name of HUF.  Photograph, POI, POA, PAN of Karta.  Unincorporated  Association or a booky of individuals  Banks/Institutional Investors  Torust individuals  Authorized signatories list with specimen signatures.  Authorized signatories list with specimen signatures.  Copy of SEBI registration certificate.  Authorized signatories list with specimen signatures.  Self-certification on letterhead.  Authorized signatories list with specimen signatures.	Types of entity	Documentary requirements
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Association or a body of individuals  Banks/Institutional Investors  Foreign Institutional Investors (FII)  Army/ Government Bodies  Pessolution of the managing body & Power of Attorney granted to transact business on its behalf.  Authorized signatories list with specimen signatures.  Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.  Authorized signatories list with specimen signatures.  Copy of SEBI registration certificate.  Authorized signatories list with specimen signatures.  Self-certification on letterhead.  Authorized signatories list with specimen signatures.	Unincouncychod	
body of individuals  Banks/Institutional Investors  Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.  Authorized signatories list with specimen signatures.  Copy of SEBI registration certificate. Investors (FII)  Army/ Government Bodies  Authorized signatories list with specimen signatures.  Self-certification on letterhead. Authorized signatories list with specimen signatures.  Authorized signatories list with specimen signatures.  Authorized signatories list with specimen signatures.		
Banks/Institutional Investors  Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.  Authorized signatories list with specimen signatures.  Copy of SEBI registration certificate. Investors (FII)  Authorized signatories list with specimen signatures.  Self-certification on letterhead. Bodies  Authorized signatories list with specimen signatures.		
<ul> <li>Authorized signatories list with specimen signatures.</li> <li>Foreign Institutional Investors (FII)</li> <li>Authorized signatories list with specimen signatures.</li> <li>Authorized signatories list with specimen signatures.</li> <li>Self-certification on letterhead.</li> <li>Bodies</li> <li>Authorized signatories list with specimen signatures.</li> </ul>	•	
Foreign Institutional  Copy of SEBI registration certificate.  Authorized signatories list with specimen signatures.  Army/ Government  Self-certification on letterhead.  Authorized signatories list with specimen signatures.	Banks/Institutional Investors	
Investors (FII)  Authorized signatories list with specimen signatures.  Self-certification on letterhead.  Bodies  Authorized signatories list with specimen signatures.		
Army/ Government  Self-certification on letterhead.  Authorized signatories list with specimen signatures.		
• Authorized signatories list with specimen signatures.	Investors (FII)	Authorized signatories list with specimen signatures.
	Army/ Government	
	Bodies	Authorized signatories list with specimen signatures.
Registered Society • Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members.	Registered Society	Copy of Registration Certificate under Societies Registration Act.     List of Managing Committee members.
<ul> <li>Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</li> </ul>	,	Committee resolution for persons authorised to act as authorised signatories with specimen signatures.
<ul> <li>True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.</li> </ul>		True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

## ANNEXURE – 2

KNOW YOUR CLIENT (KYC) APPLICATION FORM

## **MANDATORY**

**For Individuals** 

Please fill this form in ENGLISH and in BLOCK LETTERS.

IDENTITY DETAILS										
Name of the	Applicant						PHOTOGRAPH			
Father's/ Spo	use Name						Diagon office comm			
Gender	☐ Male ☐	Female N	larital status	☐ Married	☐ Unmar	ried	Please affix your recent passport			
Date of birth		N	ationality				size photograph			
Status	Resident	Individual	☐ Non Resid	ent 🔲 F	oreign Natio	nal	and sign across it			
PAN Unique ID No./Aadhaar, if any: excluding face										
Specify the p										
	<b>P</b>									
ADDRESS DETAILS										
Residence Address  Residence Address  Permanent Address (If different fr Address or overseas address man Applicant)							·			
Аррисанту										
City/Town/Village		Pin		C: /T /\ /\	<u> </u>		.			
State		Country		City/Town/Village	!		in			
				State		Count	-			
Resi No.(s)		Off. No.(s)		Resi No.(s)		Off. No.	s)			
Fax No.(s)				Fax No.(s)						
Mobile No.				Mobile No.						
					Email					
Specify the proof of address submitted for Residence Specify the proof of address submitted for Permaner Address										
□ Passport □ Driving License □ Ration Card □ Registered Lease/Sale Agreement of Residence □ Voter Id Identity Card □ Latest Bank Account Statement* □ Latest Bank Passbook* □ Latest Electricity Bill □ Latest Gas Bill* □ Aadhar Card (Mandatory) * Not More than three months old.										
DECLARATION										
I hereby declare that the details furnished above are 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 false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.  Name of the applicant										
Name of the										
				Signature						
Place		Date								
- FOR OFFICE LICE ONLY										
	FOR OFFICE USE ONLY									
☐ Originals	verified	Signatur	e of the Autho	rised Signatory	y Seal/St	tamp of	the intemediary			
and Self-	Attested	Name								
document copies Signature										
received		Designation	on							
leceived		Date								