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/rustees 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.

the documentary proof submitted.
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.

The documents.

The documents.

The documents.

The documents.

,	nal documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:
Types of entity	Documentary requirements
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 terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).
	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.
	Copies 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.
Partnership firm	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.
Trust	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 trustees certified by managing trustees/CA.
	Photograph, POI, POA, PAN of Trustees.
HUF	PAN of HUF.
1101	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	
Unincorporated	Proof of Existence/Constitution document. Proof of Existence Constitution document. Proof of Existence Constitution document.
Association or a	Resolution of the managing body & Power of Attorney granted to transact business on its behalf. Authorized distribution literature in the second of the managing body & Power of Attorney granted to transact business on its behalf.
body of individuals	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.
Foreign Institutional	Copy of SEBI registration certificate.
Investors (FII)	Authorized signatories list with specimen signatures.
Army/ Government	Self-certification on letterhead.
Bodies	Authorized signatories list with specimen signatures.
Registered Society	Copy of Registration Certificate under Societies Registration Act. List of Managing Committee members.
,	• Committee resolution for persons authorised to act as authorised signatories with specimen signatures.
	True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.
	True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

ANNEXURE – 2

KNOW YOUR CLIENT (KYC) APPLICATION FORM

MANDATORY

For Non-Individuals

Please fill this form in ENGLISH and in BLOCK LETTERS.

IDENTITY DETAILS									
Name of the	Applicant								
Date of inco	rporation		Place of	inco	porati	on			
Date of com	mencement	of business			PAN				
Registration No. (e.g. CIN)					GST				
Status (please	tick any one):	□ Private	Limited Co. 🖵 Pu	blic L	td. Co.	☐ Body Cor	porate [☐ Part	nership 🖵 Trust
			AOP □Bank □Gov	/ernme	nt Bod	y □Non-Gove	rnment	Organiz	zation 🖵 Defense
Establishment	□BOI □Society	y ULLP UOthe	rs (please specify)						
				DETAILS					
Correspondence Address			Registered Address (If different from Correspondence Address)						
City/Town/Village		Din		C:t/T.	/\ /!!!			D:	
City/Town/Village State		Pin		, ·	wn/Villag	ge		Pin	
		Country Off. No. (s)		State				ountry	
Resi. No. (s)		O11. NO. (S)			No. (s))	Off. N	No. (s)	
Mobile No.					lo. (s)				
Email					le No.				
	nroof of	faddress	submitted for	Email Specify the proof of address submitted for Registered					
Corresponder	nce Address	- dadic33		Addre		proof of auc		Dillitte	u ioi negistereu
OTHER DETAILS									
Name, PAN, re	esidential ad	dress and pho	otographs of Prom	oters	/Partne	ers/Karta/Tru	stees ar	nd who	le time directors:
Please provid	e details on	Annexure -	A attached.						
			details on Annex						
Aadhaar num	ber of Pron	noters/Partne	ers/Karta: Provide	deta	ils on	Annexure - A	\ attacl	ned.	
			DECLA	RATIO	N				
I/We hereby	declare tha	t the details	furnished above	are tr	ue and	correct to th	ne hest	of my	/our knowledge
			orm you of any c						
		be false or u	ntrue or mislead	ing or	misre	presenting, I	am/we	aware	that I/we may
be held liabl			1						
Name of the	Authorised Si	gnatory Date	1			>			
				Signat	ure				
			FOR OFFICE	USE	ONLY				
☐ Originals	verified	Signatur	e of the Authori			rv Seal/	Stamp	of the	e intemediary
and Self-		0.8.1				, ,			, ,
		Name							
documen	it copies	Signature							
received		Signature							
		Date							

Annexure - A

MANDATORY

Photographs of Promoters / Partners / Karta / Trustees / and Whole time directors and of persons authorized to deal in securities

	PAN of the Applicant: L	
		PHOTOGRAPH
Regd./Residential Address:		Please affix
		your recent
Tel. No.:	Mobile No.:	passport size photograph
PAN:	DIN.:	- and sign across
Unique Identification Number(UID) / AADHAAR if Any:	_ it excluding
Relationship with Applicant: Promoters / Pa	rtners / Karta / Trustees / Whole Time Directors / Authorised Person	face
Please tick, if applicable:	lly Exposed Person (PEP) Related to a Politically Exposed	Person (RPEP) 🗖 No
Name:		PHOTOGRAPH
		Please affix
		your recent
Tel. No.:	Mobile No.:	passport size
	DIN.:	photograph
) / AADHAAR if Any:	0
		<pre>face</pre>
Relationship with Applicant: Promoters / Par	rtners / Karta / Trustees / Whole Time Directors / Authorised Person	
Please tick, if applicable:	Illy Exposed Person (PEP) Related to a Politically Exposed	Person (RPEP) 🔲 No
Name:		PHOTOGRAPH
		_ Please affix
 Tel. No.:	Mobile No.:	passport size
	Mobile No.:	passport size photograph
PAN:	Mobile No.: DIN.:	passport size photograph and sign across
PAN:Unique Identification Number(UID	Mobile No.: DIN.:) / AADHAAR if Any:	passport size photograph and sign across it excluding
PAN:	Mobile No.: DIN.:) / AADHAAR if Any:	passport size photograph and sign across it excluding face
PAN:	Mobile No.: DIN.: AADHAAR if Any: rtners / Karta / Trustees / Whole Time Directors / Authorised Person Illy Exposed Person (PEP) Related to a Politically Exposed	passport size photograph and sign across it excluding face Person (RPEP) \(\sigma\) No
PAN:	Mobile No.: DIN.: AADHAAR if Any: rtners / Karta / Trustees / Whole Time Directors / Authorised Person Illy Exposed Person (PEP) Related to a Politically Exposed	passport size photograph and sign across it excluding face Person (RPEP) \(\begin{array}{c}\) No PHOTOGRAPH
PAN:	Mobile No.: DIN.: AADHAAR if Any: rtners / Karta / Trustees / Whole Time Directors / Authorised Person Illy Exposed Person (PEP) Related to a Politically Exposed	passport size photograph and sign across it excluding face Person (RPEP) □ No PHOTOGRAPH Please affix
PAN:	Mobile No.: DIN.: AADHAAR if Any: rtners / Karta / Trustees / Whole Time Directors / Authorised Person Illy Exposed Person (PEP) Related to a Politically Exposed	passport size photograph and sign across it excluding face Person (RPEP) No PHOTOGRAPH Please affix your recent passport size
PAN:	Mobile No.: DIN.: DIN.: Therefore Manual Action Manual	passport size photograph and sign across it excluding face Person (RPEP) No PHOTOGRAPH Please affix your recent passport size photograph
PAN:	Mobile No.: DIN.: OIN.: Trustees / Whole Time Directors / Authorised Person Illy Exposed Person (PEP) Related to a Politically Exposed Mobile No.: DIN.:	passport size photograph and sign across it excluding face Person (RPEP) \(\bar{\text{No}} \) PHOTOGRAPH Please affix your recent passport size photograph and sign across
PAN:	Mobile No.: DIN.: DIN.: Therefore Mobile No.: Divide Div	passport size photograph and sign across it excluding face Person (RPEP) No PHOTOGRAPH Please affix your recent passport size photograph and sign across it excluding
PAN:	Mobile No.: DIN.: DIN.: Therefore Mobile No.: Divide Div	passport size photograph and sign across it excluding face Person (RPEP) \(\bar{\text{No}} \) PHOTOGRAPH Please affix your recent passport size photograph and sign across it excluding face