

## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. 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 in securities on behalf of company/firm/others.
2. 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.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (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, etc.

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

1. 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).
2. Unique Identification Number (UID) (Aadhaar) (Mandatory)/ Passport / Voter ID card / Driving license.
3. 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, ICWAI, 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:

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

### F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• 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).</li> <li>• Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.</li> <li>• Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.</li> <li>• Copies of the Memorandum and Articles of Association and certificate of incorporation.</li> <li>• Copy of the Board Resolution for investment in securities market.</li> <li>• Authorised signatories list with specimen signatures.</li> </ul>
Partnership firm	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Certificate of registration (for registered partnership firms only).</li> <li>• Copy of partnership deed.</li> <li>• Authorised signatories list with specimen signatures.</li> <li>• Photograph, POI, POA, PAN of Partners.</li> </ul>
Trust	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Certificate of registration (for registered trust only). Copy of Trust deed.</li> <li>• List of trustees certified by managing trustees/CA.</li> <li>• Photograph, POI, POA, PAN of Trustees.</li> </ul>
HUF	<ul style="list-style-type: none"> <li>• PAN of HUF.</li> <li>• Deed of declaration of HUF/ List of coparceners.</li> <li>• Bank pass-book/bank statement in the name of HUF.</li> <li>• Photograph, POI, POA, PAN of Karta.</li> </ul>
Unincorporated Association or a body of individuals	<ul style="list-style-type: none"> <li>• Proof of Existence/Constitution document.</li> <li>• Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
Banks/Institutional Investors	<ul style="list-style-type: none"> <li>• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> <li>• Copy of SEBI registration certificate.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
Army/ Government Bodies	<ul style="list-style-type: none"> <li>• Self-certification on letterhead.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
Registered Society	<ul style="list-style-type: none"> <li>• Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members.</li> <li>• Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</li> <li>• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.</li> </ul>

## 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 incorporation		Place of incorporation					
Date of commencement of business			PAN				
Registration No. (e.g. CIN)			GST				
Status (please tick any one): <input type="checkbox"/> Private Limited Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Partnership <input type="checkbox"/> Trust							
<input type="checkbox"/> Charities <input type="checkbox"/> NGO's <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> HUF <input type="checkbox"/> AOP <input type="checkbox"/> Bank <input type="checkbox"/> Government Body <input type="checkbox"/> Non-Government Organization <input type="checkbox"/> Defense							
Establishment <input type="checkbox"/> BOI <input type="checkbox"/> Society <input type="checkbox"/> LLP <input type="checkbox"/> Others (please specify)							
ADDRESS DETAILS							
Correspondence Address				Registered Address (If different from Correspondence Address)			
City/Town/Village		Pin		City/Town/Village		Pin	
State		Country		State		Country	
Resi. No. (s)		Off. No. (s)		Resi. No. (s)		Off. No. (s)	
Fax No. (s)				Fax No. (s)			
Mobile No.				Mobile No.			
Email				Email			
Specify the proof of address submitted for Correspondence Address				Specify the proof of address submitted for Registered Address			
OTHER DETAILS							
Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors: Please provide details on Annexure - A attached.							
DIN of whole time directors: Provide details on Annexure - A attached.							
Aadhaar number of Promoters/Partners/Karta: Provide details on Annexure - A attached.							
DECLARATION							
I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We 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/we aware that I/we may be held liable for it.							
Name of the Authorised Signatory		Date				☞	
				Signature			
FOR OFFICE USE ONLY							
<input type="checkbox"/> Originals verified and Self-Attested document copies received	Signature of the Authorised Signatory			Seal/Stamp of the intermediary			
	Name						
	Signature						
Date							

**Annexure - A**

**MANDATORY**

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

Name of Applicant: \_\_\_\_\_ PAN of the Applicant: 

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<p>Name: _____</p> <p>Regd./Residential Address: _____</p> <p>_____</p> <p>Tel. No.: _____ Mobile No.: _____</p> <p>PAN: _____ DIN.: _____</p> <p>Unique Identification Number(UID) / AADHAAR if Any: _____</p> <p><b>Relationship with Applicant: Promoters / Partners / Karta / Trustees / Whole Time Directors / Authorised Person</b></p> <p>Please tick, if applicable:    <input type="checkbox"/> Politically Exposed Person (PEP)   <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)   <input type="checkbox"/> No</p>	<p><b>PHOTOGRAPH</b></p> <p>Please affix your recent passport size photograph and sign across it excluding face</p>
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<p>Name: _____</p> <p>Regd./Residential Address: _____</p> <p>_____</p> <p>Tel. No.: _____ Mobile No.: _____</p> <p>PAN: _____ DIN.: _____</p> <p>Unique Identification Number(UID) / AADHAAR if Any: _____</p> <p><b>Relationship with Applicant: Promoters / Partners / Karta / Trustees / Whole Time Directors / Authorised Person</b></p> <p>Please tick, if applicable:    <input type="checkbox"/> Politically Exposed Person (PEP)   <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)   <input type="checkbox"/> No</p>	<p><b>PHOTOGRAPH</b></p> <p>Please affix your recent passport size photograph and sign across it excluding face</p>
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<p>Name: _____</p> <p>Regd./Residential Address: _____</p> <p>_____</p> <p>Tel. No.: _____ Mobile No.: _____</p> <p>PAN: _____ DIN.: _____</p> <p>Unique Identification Number(UID) / AADHAAR if Any: _____</p> <p><b>Relationship with Applicant: Promoters / Partners / Karta / Trustees / Whole Time Directors / Authorised Person</b></p> <p>Please tick, if applicable:    <input type="checkbox"/> Politically Exposed Person (PEP)   <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)   <input type="checkbox"/> No</p>	<p><b>PHOTOGRAPH</b></p> <p>Please affix your recent passport size photograph and sign across it excluding face</p>
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Name, Company Stamp & Signature of the Authorised Signatory(ies)      Date 

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