# **Know Your Client (KYC)**



Place for

Application No. :

Application Form (For Non-Individuals Only)

Application form (for Non-marviadals only)	Ÿ	Intermediary Logo	Application No	
Please fill in ENGLISH and in BLOCK LETTERS	CVL			
A. Identity Details (please see guidelines overleaf)			1	
Name of Applicant (Please write complete name as per Certificate of Incorpora	ntion / Pogistr	ation: leaving one boy blank b	notwoon 2 words Plansa do	act abbreviate the Name
1. Name of Applicant (riease white complete hame as per Certificate of incorpora	lion / Registra	ation, leaving one box blank t	Jetween 2 Words. Flease do	iot abbieviate the Name).
2. Date of Incorporation d d / m m / y y y y				PHOTOGRAPH
Place of Incorporation				
3. Registration No. (e.g. CIN)				Please affix
Date of commencement of business   d   d   /   m   m   /   y   y   y	v I v I			the recent passport size photograph of
				Authorised Signatory
4. Status Please tick (✓) ☐ Private Ltd. Co. ☐ Public Ltd. Co. ☐ Body ☐ FI ☐ FII ☐ HUF ☐ AOP ☐ Bank ☐ Government Bo	/ Corporate		t / Charities / NGOs	and sign across it
☐ Defence Establishment ☐ Body of Individuals ☐ Society ☐ LI		on-Government Organisation hers (Please specify)		
5. Permanent Account Number (PAN) (MANDATORY)		Please enclose a	duly attested copy of your	PAN Card
B. Address Details (please see guidelines overleaf)				
1. Address for Correspondence				
City / Town / Village			Postal Code	<u> </u>
State		Count		
2. Contact Details				
Tel. (Off.) (ISD) (STD)		Tel. (Res.) (ISD) (STD		
Mobile (ISD) (STD)  E-Mail Id.		Fax (ISD) (STD	))	
	COME of the	. f. II		41-1
3. Proof of address to be provided by Applicant. Please submit ANY  *Latest Telephone Bill (only Land Line) *Latest Electricity Bill **				
Any other proof of address document (as listed overleaf). (Please speci		Account Statement	egistered Lease / Jale Agi	eernent of Office Fremises
*Not more than 3 Months old. Validity/Expiry date of proof of address subm	nitted d	d / m m / y y	у у	
4. Registered Address (If different from above)				
City / Town / Village			Postal Code	1
State		Count	ry	
5. Proof of address to be provided by Applicant. Please submit ANY				
□ *Latest Telephone Bill (only Land Line) □*Latest Electricity Bill □ *		x Account Statement □ R	egistered Lease / Sale Agr	eement of Office Premises
☐ Any other proof of address document (as listed overleaf).(Please speci *Not more than 3 Months old. Validity/Expiry date of proof of address subm	nitted d	d   /   m   m   /   v   v	v   v	
Not more than 3 Months one. Validity/Expiry date of proof of address submi	iitted a j			
C. Other Details (please see guidelines overleaf)				
<b>1. Gross Annual Income Details</b> Please tick (✓): ☐ Below 1 Lac ☐	1-5 Lac	□5-10 Lac □10-25 La	ac  □25 Lacs-1 Crore	□ > 1 Crore
2. Net-worth in ₹. (*Net worth should not be older than 1 year)		as on (date)	d   d   <b>/</b>   m   m   <b>/</b>   y	
Z. Net World III (		as on (date)	<u>a a / m m / y</u>	<u> </u>
3. Name, PAN, DIN/UID, residential address and photographs	s of Prom	oters/Partners/Karta/1	Trustees/whole time	directors
(Please use the Annexure to fill in the details)				
4. Is the entity involved/providing any of the following services				
- For Foreign Exchange / Money Changer Services ☐ YES ☐ NO	<ul><li>Gaming</li></ul>	/ Gambling / Lottery Ser	vices (e.g. casinos, betti	ng syndicates) 🗌 YES 🗌 N
- Money Lending / Pawning □YES □ NO				
5. Any other information:				
DECLARATION				
	nd NA	ME & CICNIATUR	E(C)	
I/We hereby declare that the details furnished above are true a correct to the best of my/our knowledge and belief and I/we underta		ME & SIGNATUR		
to inform you of any changes therein, immediately. In case any of t		OF AUTHORISED		
above information is found to be false or untrue or misleading	or	PERSON(S)		
misrepresenting, I am/we are aware that I/we may be held liable for it.				
	Place:			Pate:
				·aic.
FOR (	OFFICE (	USE ONLY		
AMC/Intermediary name <b>OR</b> code			Seal/Stamp of the i	ntermediary should contain

 $\hfill \square$  (Originals Verified) Self Certified Document copies received

☐ (Attested) True copies of documents received

Seal/Stamp of the intermediary should contain Staff Name Designation Name of the Organization Signature

Date

### INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

#### A. IMPORTANT POINTS:

Times of subles

- 1. Self attested copy of PAN card is mandatory for all clients.
- 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.
- 4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- 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.
- 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.
- 8. 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.
- 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:

- 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)/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, 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.)
  - 1. Unique Identification Number (UID) (Aadhaar)/Passport/Voters Identity Card/Ration

- Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.
- 2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill Not more than 3 months old.
- 3. 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.
- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational 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 Members.
- 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 documentary evidence in support of such claims to be collected.)

- In case of transactions undertaken on behalf of Central Government and/or State Governmentand by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
- 2. Investors residing in the state of Sikkim.
- 3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- 4. SIP of Mutual Funds upto Rs 50,000/- p.a.
- 5. In case of institutional clients, namely, Flls, Mfs, VCFs, FVCls, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, 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:

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

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

Documentary requirements

Types of entity	Documentary requirements
Corporate	<ul> <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> <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> <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	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 body of individuals	<ul> <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> <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)	Copy of SEBI registration certificate     Authorized signatories list with specimen signatures
Army/Government Bodies	Self-certification on letterhead     Authorized signatories list with specimen signatures
Registered Society	<ul> <li>Copy of Registration Certificate under Societies Registration Act</li> <li>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>
	Please Submit the KYC Documents on A4 Size Paner On

Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Applicant			PAN of the Applicant				
PAN	Name	DIN (For Directors) / UID (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	Photograph	
					☐ PEP ☐ RPEP ☐ NO		
					☐ PEP ☐ RPEP ☐ NO		
					☐ PEP ☐ RPEP ☐ NO		
					☐ PEP ☐ RPEP ☐ NO		
					☐ PEP ☐ RPEP ☐ NO		
			PAN Name DIN (For Directors) / UID (For Others)	PAN Name DIN (For Directors) / Registered Address	PAN Name DIN (For Directors) / Residential / Registered Address whole time directors etc.)	PAN Name DIN (For Directors) / Residential / Registered Address with Applicant (i.e., promoters, whole time directors etc.)    PEP	