Know Your Clier	nt (K	(YC)	)	
Application Form	n (F	or I	Non-Individual	s Only)

 $\hfill \square$  (Attested) True copies of documents received



Signature Date

Please fill in ENGLISH and in BLOCK LETTERS with black ink $\square$								
A. Identity Details (please see guidelines overleaf)								
1. N ame of A pplicant (Please w rite c omplete n ame a s per C ertificate of I ncorporation	n / R egistration; l eaving o ne b ox b lank b	etween 2 w ords. P lease d o n ot a	bbreviate t he N ame).					
2. Date of Incorporation d d / m m / y y y y Place of Incorporation		PHO TOG RAP H Please affix						
3. Registration No. (e.g. CIN)	y		the recent passport size photograph of Authorised Signatory					
4. Status Please tick (∠)       Private Ltd. Co.       Public Ltd. Co.       Body Co         □       FI       □       HUF       □       AOP       □       Bank       □       Government Body         □       Defence Establishment       □       Body of Individuals       □       Society       □       LLP		t / Charities / NGOs	and sign across it					
5. Permanent Account Number (PAN) (MANDATORY)	Please enclose a	duly attested copy of your PAN	Card					
B. Add ress Details (please see guidelines overleaf)								
1. Address for Correspondence								
City / Town / Village	Count	y Postal Code						
2. Contact Details Tel. (Off.) (ISD) (STD) Mobile (ISD) (STD) E-Mail Id.	Tel. (Res.) (ISD) (STD Fax (ISD) (STD							
<ul> <li>B. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents &amp; tick ( ) against the document attached.</li> <li>* Latest Telephone Bill (only Land Line) * Latest Electricity Bill * Latest Bank Account Statement Registered Lease / Sale Agreement of Office Premises</li> <li>Any other proof of address document (as listed overleaf). (Please specify)</li> <li>*Not more than 3 Months old. Validity/Expiry date of proof of address submitted d d / m m / y y y y</li> </ul>								
4. Re gistered Ad dress ( If di fferent f rom ab ove )								
City / Town / Village	Count	Postal Code						
<ul> <li>5. Proof of address to be provided by Applicant. Please submit ANY O <ul> <li>*Latest Telephone Bill (only Land Line)</li> <li>*Latest Electricity Bill</li> <li>*La</li> <li>Any other proof of address document (as listed overleaf).</li> <li>(Please specify)</li> </ul> </li> <li>*Not more than 3 Months old. Validity/Expiry date of proof of address submitted overleafs.</li> </ul>	test Bank Account Statement	egistered Lease / Sale Agreem						
C. New Other Details (please see guidelines overleaf)								
1. Gross Ann ual Income Det ails Please tick (ﷺ: 🗆 Below 1 Lac	I-5 Lac 5-10 Lac 10-25 La	ac 25 Lacs-1 Crore	]> 1 Crore					
2. Net-wo rth in `. (*Net worth should not be older than 1 year)	as on (date)	d   d   <b>/</b>   m   m   <b>/</b>   y   y	у у у					
Name, PAN, DIN/UID, residential add ress and photog raphs of Promoter s/Part ner s/K art a/Trus tee s/w hole time directors (Please use the Annexure to fill in the details)								
<ul> <li>Is the entity involved/providing any of the following services □YES □NO</li> <li>For Foreign Exchange / Money Changer Services □YES □NO - Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates) □YES □N</li> <li>Money Lending / Pawning □YES □NO</li> </ul>								
5. Any other information:								
DECLARATION								
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	OF AUTHORISED	Ξ(S)						
above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.	PERS ON (S)							
	Place:	Date						
	FICE USE ONLY							
AMC/Intermediary name OR code		Seal/Stamp of the inter Staff						
(Originals Verified) Self Certified Document copies received		Desigi						
(Attented) Two conics of degraphics received		Name of the	Organization					

## A. IMPORTANT POINTS:

- 1. Self attested copy of PAN card is mandatory for all clients.
- 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 forattesting the documents as perthebebwere tioned ist.
- If any proof of identity or address is in a foreign language then translation into English is required.
- 4. Name & addess of the applicant mentioned on the KYC form, should math with the documentary proofsubmited
- 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 FBMA guidelines), copy of passport/ROCard/OCICard and overseas address proof is mandatory
- For foreign entities CIN is optional; and in the absence of DN no for the directors, their passport copy should be given.
- In case of Merchant Navy NR's, Marine's declaration or certified copy of CDC (ContinuousDischargeCertificate)istobesubmitted
- For opening an account with Depository participant or Mutual Fund for amin or photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passpot of/Miror/BirthCertificatemust beprovided.
- 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, serior polititians serior 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).
  - $2. \quad Unique dent fication Number (UID) (Aadhaar) / Passpot / Voter ID card / Diving license.$
  - 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. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of

Residence/DivingLicense/FlatMaintenancebil/InsuranceCopy.

- Utility bils like Telephone Bil (only land line), Electricity bil or Gas bil Not more than 3 monthsold
- 3. BankAccourt Statement/Passbook Notmoethan 3 monthsold
- Self-dedaration by High Court and Supreme Court judges giving the new address in respect of their ownaccourts.
- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinationa Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/DocumentsissuedbyanyGovt.orStatutoryAuthoity
- 6. Identity card/document with addless, 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 Bodes 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 Custodans (which are duly notarized and/or apostiled or consularised) that gives the registered address shouldbetaken.
- 8. The proof of address in the name of the spouse may be accepted.
- D. Exemptions/darifications to PAN
  - (\*Sufficientdocumentaryevidenceinsupport of such claimstobe colected)
  - In case of transactions undertaken on behalf of Central Government and/or State GovernmentandbyofficialsappointedbyCourtseg.Officialliquidator,Courtreœiveretc
  - 2. InvestorsresidinginthestateofSikkim
  - 3. UNentties/mutilateral agencies exempt from paying taxes / filing tax returns in Inda.
  - 4. SIPofMutualFundsuptoRs50,000/-pa.
  - 5. In case of institutional clients, namely, Fils, 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 as defined under section 4A of the Companies Act, 1956, Custodans shall verify the PAN card details with the original PAN card and provide dutycetifiedcopiesofsuchveifiedPANdetails 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 thecopy).
  - 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 attestthedocuments

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

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 induding list of all those holding cortrid, either directly or indrectly, in the company in terms of SEB taleover Regulations duly certified by the company secretary/Whole time director/MDto be submitted every year)</li> <li>Photograph POJ POA PAN and DIN numbers of which time directors in charge of day to day operations</li> <li>Photograph POJ POA PAN of individual promoters holding cortrid – either directly or indrectly</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 maket</li> <li>Authorised signatories list with specimen signatures</li> </ul>
Partnership firm	<ul> <li>Copy of the babnœ shæts 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 deæl</li> <li>Authorised signatories list with specimen signatures</li> <li>Photograph POJ POA PAN of Partners</li> </ul>
Trust	<ul> <li>Copy of the balance sheets for the last 2 finandal 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 POJ POA PAN of Trustees</li> </ul>
HUF	<ul> <li>PAN of HUF</li> <li>Deed of dedatation of HUF/List of coparceners</li> <li>Bark pass-book/bark statement in the name of HUF</li> <li>Photograph POJ POA PAN of Karta</li> </ul>
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/bdance sheet for the last 2 financial years</li> <li>Authorized signatories list with specimen signatures</li> </ul>
Foreign Institutional Investors (FII)	Copy of SEB 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 Sodeties Registration Act</li> <li>List of Managing Committee membes</li> <li>Committee resolution for persons authorised to act as authorised signatories with specimen signatures</li> <li>True copy of Sodety Rules and Bye Laws certified by the Chairman Secretary</li> </ul>