

Know Your Client (KYC) Application Form (For NON-Individuals Only)

 $\begin{tabular}{ll} \hline \square \mbox{ NEW } \square \mbox{ CHANGE REQUEST(please tick $\sqrt{$}$ the appropriate)} \\ \mbox{ (Please tick $\sqrt{$}$ the box on the left margin of appropriate row where CHANGE/CORRECTION is required and provide the details in the corresponding row)} \\ \mbox{ Please fill this form in English and in Block Letters} \\ \end{tabular}$



Acknowledgement No.

Khandwala Securities Limited G-II, Ground Floor, Dalamal House, Nariman Point, Mumbai 400021

	1. Name of Applicant					
					PHOTOGRAPH of Authorised	
	2. a. Date of Incorporation delimina	y y y y 2. a. PAN			Person	
	3. Date of commencement of business:				Please affix the recent passport	
	4. a. Place of incorporation:				size photograph and	
_					sign across it	
	4. b. Registration No. (e.g. CIN): 5. Status Please tick (✓) any one □ Private Limited Co. □ Public Ltd. Co □ Body Corporate □ Partnership					
		e cirrilled Co. □ Public Ltd. Co □ Body C □ □ FII □ HUF □ AOP □ Bank □ G			Signature/	
	□ Non-Government Organization □ De	fense Establishment	TIIP .	(1)	Thumb Impression	
В.	B. Address Details					
	1. Address for Correspondence					
	O' T A SU					
	City/Town/Village				Pin Code	
	State		ıntry			
	2. Registered Address (if different from co	rrespondence address)				
	O'L TT. A FILE.				Di O I	
	City/Town/Village State		untry		Pin Code	
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	3. Contact Details					
	Tel.(Off.) (ISD) (STD)	Tel.	, , ,	STD)		
	Mobile (ISD) (STD)		Fax (ISD) (S	STD)		
- 1	E-Mail ID.					
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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 authorised 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 authorised 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.
- 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/PIO Card/OCI Card 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:

- 1. Unique Identification Number (UID) (Aadhaar) / Passport/ Voter ID card/ Driving license.
- 2. PAN card with photograph.
- 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.)
- Passport / Voters Identity Card/Ration Card/Unique Identification Number (UID)/ Aadhar

- Letter/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 2 months old.
- 3. Bank Account Statement/Passbook-Not more than 2 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 Fil/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 Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
- Investors residing in the state of Sikkim.
- 3. UN entities/multilateral agencies exempt from paying taxes/filing lax returns in India.
- 4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
- 5. In case of institutional clients, namely, Flis, 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, 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 authorised to attest the documents:

- Notary Public, Gazetted Officer, Manager oi a Scheduled Commercial / Co-opera live Bank or Multinational Foreign Banks (Name, Designation&. Seal should be affixed on the copy).
- In case of NRIs, authorised 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.

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). 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. Deed of declaration of HUF/List of coparceners. Bank pass-book/bank statement in the name of HUF. Photograph, POI, POA, PAN of Karla.
Unincorporated association or a body of individuals	 □ Proof of Existence/Constitution document. □ Resolution of the managing body & Power of Attorney granted to transact business on its behalf. □ Authorised signatories list with specimen signatures.
Banks/ Institutional Investors	Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. Authorised signatories list with specimen signatures.
Foreign Institutional Investors (FII)	□ Copy of SEBI registration certificate.□ Authorised signatories list with specimen signatures.
Army/ Government Bodies	Self-certification on letterhead. Authorised 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.

Details of PROMOTERS / PARTNERS / KARTA / WHOLE TIME DIRECTORS / CO- PARCERNERS ETC) PAN Card of the Applicant - For Abbreviation of PEP / RPEP / RPEP / NRPEP please refer to page no. 12	
1. Name	
2. Please tick, if applicable : PEP RPEP NPEP NRPEP	
3. Relationship with Applicant (i.e. promoters, whole time directors etc.)	PHOTOGRAPH
4a. PAN 4b. DIN	
4. Andrew (HD) Number	
4c. Aadhar (UID) Number * * * * * * Tel/Mobile	Please affix
5. Residential/ Registered Address	your recent passport size photograph and
	sign across it
City / Town / Village Pin Code	with seal
State Country Country	
1. Name	
2. Please tick, if applicable : PEP RPEP NPEP NRPEP	PHOTOGRAPH
3. Relationship with Applicant (i.e. promoters, whole time directors etc.)	PHOTOGRAPH
4α. PAN 4b. DIN	
4c. Aadhar (UID) Number * * * * * * * * * Tel/Mobile	Please affix
5. Residential/ Registered Address	your recent passport
	size photograph and
City / Town / Village	sign across it with seal
City / Town / Village Pin Code State Country	
1. Name	
2. Please tick, if applicable : PEP RPEP NPEP NRPEP	
3. Relationship with Applicant (i.e. promoters, whole time directors etc.)	PHOTOGRAPH
4a. PAN	
Andrew (UD) Number	
4c. Aadhar (UID) Number * * * * * * * * * Tel/Mobile 5. Residential/ Registered Address	Please affix your recent passport
5. Residential Registered Address	size photograph and
	sign across it
City / Town / Village Pin Code	with seal
State Country Country	
1. Name	
2. Please tick, if applicable: PEP RPEP NPEP NRPEP	
3. Relationship with Applicant (i.e. promoters, whole time directors etc.)	PHOTOGRAPH
4a. PAN	
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4c. Aadhar (UID) Number * * * * * * * * Tel/Mobile	Please affix
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3. Relationship with Applicant (i.e. promoters, whole time directors etc.) 4a. PAN 4b. DIN 4c. Aadhar (UID) Number * * * * * * * * * * Tel/Mobile 5. Residential/ Registered Address	your recent passport size photograph and sign across it
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