

Advisory - KYC Compliance

- Investors need to submit KYC documents with six attributes to complete KYC Process. KYC attributes that investors need to comply with are as follows:
Name, Address, Income, PAN, Active Mobile number and Email ID.
- Self-attestation of documents for all Holder (s) / Karta / Director (s) / Promoter (s) / List of Authorised Signatory (s) / Guardian / Trusty is mandatory.
- Investor need to submit recent, coloured passport size Photograph of each holder/signatory to be pasted on the form and signed across.
- 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 addresses are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- Investor Must do signature appearing on PAN Card.
- No need to Submit Nomination Consent in other than Individual Category.
- Nomination Consent is Mandatory for Individual / Minor Category Account Holder (s)
- Branch / AP / Introducer / Reference must write on Front Page of form.
- The investor (s) should not use more than one specimen signature and the same should be uniform across the form.



Documents required for Account Opening

INDIVIDUAL

Proof of Identity

- » PAN CARD: - **MANDATORY**
- » **FIRST EIGHT DIGIT MASK** with QR Code Aadhar Card: - **MANDATORY**
- » Driving License
- » Voter ID card (Both Side)
- » Passport (Both Side with Government Stamp Page Copy)
- » Certificate of NPR (National Population Register)
- » Identity 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

Proof of Address

- » Driving License
- » Voter ID card (Both Side)
- » Passport (Both Side with Government Stamp Page Copy)
- » Utility bills like Landline Bill, Electricity bill or Gas bill - Not more than 2 months old
- » Registered Lease Agreement
- » Bank / Post Office Account Statement or Passbook with across Bank Stamp on Photo
- » NREGA Job Card

Bank Details

- » Bank Passbook / Bank Statement with 06 Month transaction entry Individuals not more than 10 days old.
- » self-attested copy of Pre-printed cancelled cheque.

Income Source Proof (In case of opting other than CASH Segment)

- » Copies of Last year Income Tax Return (ITR)
- » In case of salary income – Three Month Salary Slip or Copy of Form 16
- » Net worth Certificate (Duly Certify by Chartered Accountant with UDIN)
- » Latest Bank Statement / Passbook Copy with SIX Month entry



MINOR

Mandatory Requirement

- » Guardian KYC with Proof
- » Nominee is Compulsory
- » Birth Certificate
- » Affix Stamp on Minor KYC and Proof where Guardian have signed

Proof of Identity

- » Minor's PAN CARD: - **MANDATORY**
- » **FIRST EIGHT DIGIT MASK** with QR Code Minor's Aadhar Card: - **MANDATORY**
- » Passport (Both Side with Government Stamp Page Copy)
- » Certificate of NPR (National Population Register)
- » School leaving certificate

Proof of Address

- » Passport (Both Side with Government Stamp Page Copy)
- » Bank / Post Office Account Statement or Passbook with across Bank Stamp on Photo

Bank Details

- » Bank Passbook / Bank Statement with 06 Month transaction entry Individuals not more than 10 days old.
- » self-attested copy of Pre-printed cancelled cheque.

Income Source Proof

- » Copies of Last year Income Tax Return (ITR)
- » Latest Bank Statement / Passbook Copy with SIX Month entry

Note:-

- Minor can trade only in cash segment for long term delivery. No intraday allowed in such category.



HUF

- » HUF Non-Individual KYC with Proof
- » Karta's and Co-parcener's Proof and CVL Annexure
- » PAN CARD of HUF
- » Declaration by Karta (On Prescribed format)
- » Personalized cancelled cheque with printed HUF name.

Proof of HUF Address

- » Bank Passbook or Statement (Printed HUF Name) with few transactions entry not more than 15 days old.

Income Source Proof (In case of opting other than CASH Segment)

- » Copies of Last year Income Tax Return (ITR)
- » Net worth Certificate (Duly Certify by Chartered Accountant with UDIN)
- » Latest Bank Statement / Passbook Copy with SIX Month entry



NRI

NRE (Non-Resident External)

- » PAN CARD: - **MANDATORY**
- » **FIRST EIGHT DIGIT MASK** with QR Code Aadhar Card: - **IF OBTAINED**
- » Passport (Both Side with Government Stamp Page Copy) : - **MANDATORY**
- » PIO (Person of Indian Origin) Card: - **IF OBTAINED**
- » Copy of Correspondence Address Proof: - **MANDATORY**
- » Fema declaration duly signed by account holders: - **MANDATORY**
- » PIS Letter: - **MANDATORY WHEN CLIENT WANT TO OPEN TRADING ACCOUNT**
(That will be provided by Bank to the Client)
- » Bank Passbook / Bank Statement with 06 Month transaction entry and not more than 10 days old. (Bearing NRI/NRE/ NRO Status) : - **MANDATORY**
- » self-attested copy of Pre-printed cancelled cheque: - **MANDATORY**
(Bearing NRI/NRE/ NRO Status)

NRO (Non-Resident Ordinary)

- » PAN CARD: - **MANDATORY**
- » **FIRST EIGHT DIGIT MASK** with QR Code Aadhar Card: - **IF OBTAINED**
- » Passport (Both Side with Government Stamp Page Copy) : - **MANDATORY**
- » Copy of Passport (along with VISA page & ADDRESS page) : - **MANDATORY**
- » Copy of OCI (Overseas Citizenship of India) Card: - **IF OBTAINED**
- » Copy of Correspondence Address Proof: - **MANDATORY**
- » Fema declaration duly signed by account holders: - **MANDATORY**
- » PIS Letter: - **MANDATORY WHEN CLIENT WANT TO OPEN TRADING ACCOUNT**
(That will be provided by Bank to the Client)
- » Bank Passbook / Bank Statement with 06 Month transaction entry and not more than 10 days old. (Bearing NRI/NRE/ NRO Status) : - **MANDATORY**
- » self-attested copy of Pre-printed cancelled cheque: - **MANDATORY**
(Bearing NRI/NRE/ NRO Status)

Note:-

Investor must note that, Overseas Proof should be attested by Indian Embassy or by Notary or By Banker Overseas. (This will be applicable for all the documents)



CORPORATE

- » PAN CARD of Company
- » KYC with Proof for each Director/ Authorised Signatory
- » CVL Annexure for each Director/ Authorised Signatory
- » Udyog Aadhar of the body corporate
- » Company Master Data (MCA Website Print)
- » UBO Declaration (Ultimate Beneficial Ownership)
- » FATCA / CRS Declaration
- » Document registered with Registrar of Companies along with the Copy challans of payments made to ROC.
- » Bank Statement not more than 6 months old along with an original cancelled cheque.
- » Registered copy of Leased & License agreement, self-attested
- » Utility bills like Landline Bill, Electricity bill - Not more than 2 months old.
- » Copy of the balance sheets in the name of a body corporate for the last 2 financial years
- » Copy of latest shareholding pattern of the Body corporate including a 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.
- » Copies of the MOA / AOA.
- » Copies of Last 2 years Income Tax Return (ITR)
- » Certificate of Incorporation.
- » Certificate of GST
- » Net worth Certificate (Duly Certify by Chartered Accountant with UDIN)
- » Copy of the Board Resolution for investment in securities market.
- » List of Director and Authorized signatories list with specimen signatures.

Note:-

- Investor must note that, All the Company Proof must be signed by authorized signatories as per Board Resolution.
- If the director details are missing on the MOA, and AOA, an additional FORM-32 or DIR-12 copy is to be submitted.
- If any entity has more than 20% of shareholding or capital or profits in the company. In that case, the entity should identify as a UBO, For UBO and pertaining its documents are to be require to submit.



LLP (LIMITED LIABILITY PARTNER SHIP)

- » PAN CARD of LLP
- » KYC with Proof for each Director/ Authorised Signatory
- » CVL Annexure for each Director/ Authorised Signatory
- » Udyog Aadhar of the body corporate
- » Company Master Data (MCA Website Print)
- » UBO Declaration (Ultimate Beneficial Ownership)
- » FATCA / CRS Declaration
- » Document registered with Registrar of Companies along with the Copy challans of payments made to ROC.
- » Bank Statement not more than 6 months old along with an original cancelled cheque.
- » Registered copy of Leased & License agreement, self-attested
- » Utility bills like Landline Bill, Electricity bill - Not more than 2 months old.
- » Copy of the balance sheets in the name of a body corporate for the last 2 financial years
- » Copies of Last 2 years Income Tax Return (ITR)
- » Copy of LLP Agreement (With investment clause)
- » Copy of latest shareholding pattern of the Body corporate including a 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.
- » Copies of the MOA / AOA.
- » Certificate of Incorporation
- » Certificate of GST
- » Net worth Certificate (Duly Certify by Chartered Accountant with UDIN)
- » Copy of the Board Resolution for investment in securities market.
- » Authorized signatories list with specimen signatures.

Note:-

- Investor must note that, All the Company Proof must be signed by authorized signatories as per Board Resolution.
- If any entity has more than 20% of shareholding or capital or profits in the company. In that case, the entity should identify as a UBO, For UBO and pertaining its documents are to be required to submit.



PARTNERSHIP FIRM

- » PAN CARD of Partner Ship Firm
- » KYC with Proof for each Partner
- » CVL Annexure for each Partner
- » FATCA / CRS Declaration
- » Bank Statement not more than 6 months old along with an original cancelled cheque.
- » Registered copy of Leased & License agreement, self-attested
- » Utility bills like Landline Bill, Electricity bill - Not more than 2 months old.
- » Copy of the balance sheets in the name of a Partner Ship Firm for the last 2 financial years
- » Copy of Partner Ship Agreement (With investment clause)
- » Copies of Last 2 years Income Tax Return (ITR)
- » Certificate of GST
- » Net worth Certificate (Duly Certify by Chartered Accountant with UDIN)
- » List of Partners and Authorized signatories list with specimen signatures.

Note:-

- Trading account will be opened in the Name of Firm but Demat account cannot be opened in the name of Partnership Firm and it shall be opened in the name of partners {Maximum 3 Partners}.



REGISTERED TRUST

- » PAN CARD of Trust
- » KYC with Proof for each Trustee/ Authorised Signatory
- » CVL Annexure for each Trustee/ Authorised Signatory
- » UBO Declaration (Ultimate Beneficial Ownership)
- » FATCA / CRS Declaration
- » Document registered with Registrar along with the Copy challans.
- » Bank Statement not more than 6 months old along with an original cancelled cheque.
- » Registered copy of Leased & License agreement, self-attested
- » Utility bills like Landline Bill, Electricity bill - Not more than 2 months old.
- » Copy of the balance sheets in the name of Trust for the last 2 financial years
- » Copy of Trust deed (With investment clause)
- » Certificate of Incorporation.
- » List of trustees certified by managing trustees/CA.
- » Net worth Certificate (Duly Certify by Chartered Accountant with UDIN)
- » Copy of the Board Resolution for investment in securities market.
- » List of Trustees and Authorized signatories list with specimen signatures.

Note:-

- Investor must note that, All the Trust Proof must be signed by authorized signatories as per Board Resolution.



REGISTERED SOCIETY

- » PAN CARD of Society
- » KYC with Proof for each Committee Member
- » CVL Annexure for each Committee Member
- » UBO Declaration (Ultimate Beneficial Ownership)
- » FATCA / CRS Declaration
- » Copy of Registration certificate under Societies Registration Act
- » Bank Statement not more than 6 months old along with an original cancelled cheque.
- » Utility bills like Landline Bill, Electricity bill - Not more than 2 months old.
- » Copy of the balance sheets in the name of Society for the last 2 financial years
- » True copy of society Rules and bye law certified by Chairman / Secretary.
- » Certificate of Incorporation.
- » List of Committee Member.
- » Net worth Certificate (Duly Certify by Chartered Accountant with UDIN).
- » Copy of the Committee Resolution for investment in securities market.
- » List of Managing Committee and Authorized signatories list with specimen signatures.

Note:-

- Investor must note that, All the Society Proof must be signed by authorized signatories as per Committee Resolution.



ESCROW

- » PAN CARD of Company and RTA
- » KYC with Proof for each Director/ Authorised Signatory
- » CVL Annexure for each Director/ Authorised Signatory
- » Copy of escrow advertisement
- » Company Master Data (MCA Website Print)
- » UBO Declaration (Ultimate Beneficial Ownership)
- » FATCA / CRS Declaration
- » Document registered with Registrar of Companies along with the Copy challans of payments made to ROC.
- » Bank Statement not more than 6 months old along with an original cancelled cheque.
- » Registered copy of Leased & License agreement, self-attested
- » Copy of the Escrow Agreement duly signed by the parties.
- » Copy of the balance sheets in the name of a body corporate for the last 2 financial years
- » Copy of latest shareholding pattern of the Body corporate including a 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.
 - If shareholder is corporate entity and holding more than 20%, than provided share holding pattern of the holding company on its letter head and subsequent shareholding patterns till the beneficiary owner is identified.
 - The total % percentage of share should always be 100%
- » Copies of the MOA / AOA.
- » Copies of Last 2 years Income Tax Return (ITR)
- » Certificate of Incorporation.
- » Certificate of GST.
- » Net worth Certificate (Duly Certify by Chartered Accountant with UDIN).
- » Copy of the Board Resolution.
- » Opening by and Operated by Authorized signatories list with specimen signatures.
- » Account Closure Form.

Note:-

- Investor must note that, All the Company Proof must be signed by authorized signatories as per Board Resolution.
- The escrow account shall be opened in the name and form of {Issuer name} ...operated by.... for e. g. ABCD LTD. – Buyback Account – Operated by – KFIN TECHNOLOGY LTD. (A/c if opened without Escrow Agent then “Operated by” may be ignored)
- The escrow account shall be active for the limited period of the activity for which it has been opened.



Foreign Portfolio Investment (FPI)

- » PAN CARD of foreign national or corporate
- » KYC with Proof for each Director/ Authorised Signatory
- » CVL Annexure for each Director/ Authorised Signatory
- » Declaration of P.O. box of your country of residence
- » FEMA Declaration
- » UBO Declaration (Ultimate Beneficial Ownership)
- » FATCA / CRS Declaration
- » Document registered with Registrar of Companies along with the Copy challans of payments made to ROC.
- » Bank statement of the FPI bank account not more than 6 months old along with an original cancelled cheque.
- » Registered copy of Leased & License agreement, self-attested
- » Utility bills like Landline Bill, Electricity bill - Not more than 2 months old.
- » Copy of the balance sheets in the name of a body corporate for the last 2 financial years
- » Copy of latest shareholding pattern of the Body corporate including a 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.
- » Copies of the MOA / PPM.
- » CMR copy of the custodial demat account (FPI).
- » CP allotment letter from exchange provided by the custodian.
- » SEBI certificate provided by the custodian.
- » Copies of Last 2 years Income Tax Return (ITR)
- » Certificate of Incorporation.
- » Certificate of GST.
- » Net worth Certificate (Duly Certify by Chartered Accountant with UDIN).
- » Copy of the Board Resolution.
- » Authorized signatories list with specimen signatures.

