Pese fill in ENGLISH and in BLOCK LETTES  VI  A Lidentity Datails (please see guidelines overleaf)  User of Applicant (better of condene rate at an of criticate of integrater, lettering are its all fills between 2 words, leave do at alternate the Vane,  C Date of Nonportion  C / () / () / () / () / () / () / () / (		Know Your Client (KYC) Application Form (For Non-Individuals Only)	Application No. :					
1. Name of Applicant Piece write complete name as per Certificate of incorporation / Registration, kerry one box Harl, berear 2 words. Peece do not, advected the Name) 2. Date of Incorporation (d = / = / * ? ? Piece of Incorporation) 3. Registration No. (e.g. CBN) 3. Regis								
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Subs Pear Ids (1/) Protect Dd Co. Public Ld Co. Bark Compose Periference Tout / Charlies / McDi PH Cargory Periference Tougo and Periference Tougo a		2. Date of Incorporation d d / m m / y y y y Place of Incorporation						
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Chyl Tawn / Wlage       Postal Code         State       Country         Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (-/) against the document attached.         - 'Latest Electricity Bill       'Latest Electricity Bill only Land Line         - 'Latest Electricity Bill only Land Line       'Latest Electricity Bill only Land Line         - 'Latest Electricity Bill only Land Line       'Latest Electricity Bill only Land Line         - 'Latest Electricity Bill only Land Line       'Latest Electricity Bill only Land Line         - 'Latest Electricity Bill only Land Line       'Latest Electricity Bill only Land Line         - 'Latest Electricity Bill only Land Line       'Latest Electricity Bill only Land Line         - 'Latest Electricity Bill only Land Line       'Latest Electricity Bill only Land Line         - Chyl Tawn / Vlage       Country       Registered Address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (-/) against the document attached.         - 'Latest Electricity Bill only Land Line       'Latest Electricity Bill       'Latest Electricity Bill         * Not of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (-/) against the document attached.         - 'Latest Electricity Bill       'Latest Electricity Bill       'Latest Electricity Bill         - Control       Address document (is Isseed overleaf)       'L		B. Address Details (please see guidelines overleaf)						
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<ul> <li>S. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents &amp; tick (&lt;) against the document attached.</li> <li></li></ul>			Postal Code					
<ul> <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   m m / y y y</li> <li>C. Other Details (please see guidelines overleaf)</li> <li>1. Name, PAN, DIN/Aadhaar Number, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors (Please use the Annexure to fill in the details)</li> <li>2. Any other information:</li> <li>DECLARATION</li> <li>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, Iam/we are aware that I/we may be held liable for it.</li> <li>Place:</li></ul>								
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		Place:						
FOR OFFICE USE ONLY		Date:						
	Ī	FOR OFFICE USE ONLY						
AMC/Intermediary name OR code Seal/Stamp of the intermediary should contain		AMC/Intermediary name <b>OR</b> code						
□ (Originals Verified) Self Certified Document copies received Designation		□ (Originals Verified) Self Certified Document copies received						
☐ (Attested) True copies of documents received			Name of the Organization Signature					
Signature			Date					

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

Name o	f Applicant				PAN of the Applicant	
Sr. No.	PAN	Name	DIN (For Directors) / Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph
Name	L & Signature of the Authorised Signat	ory(ies) Date dd/mm//yy	.دۇچ.	Place for Intermediary Logo	1	1

## **INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM**

#### A. IMPORTANT POINTS:

- 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 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 3. is required.
- Name & address of the applicant mentioned on the KYC form, should match with the 4. documentary proof submitted
- If correspondence & permanent address are different, then proofs for both have to be 5. submitted.
- Sole proprietor must make the application in his individual name & capacity. 6.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA 7. guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, 8 their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC 9 (Continuous Discharge Certificate) is to be submitted.
- 10. 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/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.
- 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). Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving license

  - Identity card/ document with applicant's Photo, issued by any of the following: 3. 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.
- 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/Driving License/Flat Maintenance bill/Insurance Copy.

- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill Not more than 2. 3 months old.
- Bank Account Statement/Passbook Not more than 3 months old. 3
- Self-declaration by High Court and Supreme Court judges, giving the new address in 4. 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 Foreian 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.
- 7. 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.
- 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.)
- 1. 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.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India. 3
- 4. SIP of Mutual Funds upto Rs 50,000/- p.a.
- In case of institutional clients, namely, FIIs, Mfs, VCFs, FVCIs, Scheduled Commercial 5. 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).
- 2. 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. 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> <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	<ul> <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> <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	<ul> <li>Self-certification on letterhead</li> <li>Authorized signatories list with specimen signatures</li> </ul>				
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>				

# DECLARATION BY KARTA

Date: \_\_\_\_\_

To, Nirmal Bang Securities Pvt. Ltd B/101 Khandelwal House, 1<sup>st</sup> floor, Poddar Road, Near Poddar Park, Malad (East), Mumbai-400097.

Sub.: Our HUF and all members / co-partners for Trading, Demat and Mutual Fund Account with your Company.

Dear Sir,

Details of our HUF and all its members / co-partners are stated as under:

Sr. No.	Name	Date of Birth	Relationship	Signature
01	5		1	
02			-	
03				
04				
05				
06				
07				-
08				
09				
10				-

I hereby, state that details mentioned as above are true and any change in them would be intimated to you in writing.

Thanking You

Yours Faithfully,

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(Name & Signature of karta with the appropriate karta stamp)