



## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### 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 for attesting the documents, as per the below mentioned list.
3. 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.
5. 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.
7. 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.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. 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. 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.
3. 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/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.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. 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.
6. 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.
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.)

1. 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.
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, FIIs, 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 authorized to attest the documents:

1. 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.



# KYC Details Change form (For Individuals Only)



Place for  
Intermediary Logo

Application No. :

Please fill this update / modification form in ENGLISH and in BLOCK LETTERS (Please strike off Sections that are not used).

## A Name of Applicant (Mandatory as per original KYC records)

Title <input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Other (Please specify)	Aadhaar Number, if any:	PAN
Name		
Date of Birth [d   d] / [m   m] / [y   y   y   y]		

Please Provide the new KYC details which should be updated in your KYC records.

## B. Mandatory fields for KYCs done before 1<sup>st</sup> January 2012

1. Father's/Spouse Name	2. Current Marital status <input type="checkbox"/> Single <input type="checkbox"/> Married	3. Current Nationality <input type="checkbox"/> Indian <input type="checkbox"/> Other (Please specify)
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Note "FOR OFFICE USE ONLY": The IPV Column should be mandatorily filled for all KYCs registered before 1st January 2012. Originals Seen and Verified should be mandatorily filled for changes to Identity and Address details.

## C. Identity Details (please see guidelines overleaf)

1. New Name (As appearing in supporting identification document).	
Name	
2. New Status Please tick (✓) <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident (Passport Copy Mandatory for NRIs & Foreign Nationals)	
3. PAN	Please enclose a duly attested copy of your PAN Card
4. Proof of Identity submitted for PAN exempt cases Please Tick (✓)	<input type="checkbox"/> Aadhaar Card <input type="checkbox"/> Passport <input type="checkbox"/> Voter ID <input type="checkbox"/> Driving Licence <input type="checkbox"/> Others (Please see guideline 'D' overleaf)

## D. Address Details (please see guidelines overleaf)

1. New Address for Correspondence	
City / Town / Village	Pin Code
State	Country
2. Contact Details	
Tel. (Off.) (ISD) (STD)	Tel. (Res.) (ISD) (STD)
Mobile (ISD) (STD)	Fax (ISD) (STD)
E-Mail Id.	

### 3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport  Ration Card  Registered Lease/Sale Agreement of Residence  Driving License  Voter Identity Card  \*Latest Bank A/c Statement/Passbook  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill  Others (Please specify)

\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted [d | d] / [m | m] / [y | y | y | y]

### 4. New Permanent Address of Resident Applicant if different from above C1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City / Town / Village	Pin Code
State	Country

### 5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport  Ration Card  Registered Lease/Sale Agreement of Residence  Driving License  Voter Identity Card  \*Latest Bank A/c Statement/Passbook  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill  Others (Please specify)

\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted [d | d] / [m | m] / [y | y | y | y]

### 6. Any other information:

<b>SIGNATURE OF APPLICANT</b>	<b>DECLARATION</b>	<b>SIGNATURE OF APPLICANT</b>
Old signature as per original KYC Wherever Applicable	I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I 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, I am/we are aware that I/we may be held liable for it.	
Place: _____	Date: [d   d] / [m   m] / [y   y   y   y]	

## FOR OFFICE USE ONLY

IPV Done  on [d | d] / [m | m] / [y | y | y | y]

AMC/Intermediary name OR code

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

Seal/Stamp of the intermediary should contain

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## DECLARATION FORM FOR ADDITIONAL KYC DETAILS

Note: Furnishing of additional details is mandatory for the first time as part of KYC norms.

FOLIO NO. \_\_\_\_\_

**FULL NAME OF SOLE / FIRST APPLICANT / MINOR / HUF / NON INDIVIDUAL / (Mr. / Ms. / M/s.) (Details MANDATORY)** \_\_\_\_\_ Date of Birth of Applicant/Minor (dd/mm/yyyy) \_\_\_\_\_

Father's/ Spouse Name \_\_\_\_\_

Current Marital Status :  Single /  Married

STD Code \_\_\_\_\_ Tel. \_\_\_\_\_ Fax \_\_\_\_\_ Mobile \_\_\_\_\_

Email-ID \_\_\_\_\_ Preferable mode of communication E-Mail  Yes /  No

**OTHER KYC DETAILS (For Individuals / Guardian / Power of Attorney Holder Only) (Details MANDATORY)**

Gross Annual Income Details (Please tick()):  Below ₹ 1 Lac /  ₹ 1-5 Lacs /  ₹ 5-10 Lacs /  ₹ 10-25 Lacs /  ₹ 25 Lacs -1 Crore /  ₹ >1 Crore

OR Net-worth in \_\_\_\_\_ Net-worth should not be older than 1 year as on (date)  D  M  M  Y  Y  Y

Please tick:  Politically Exposed Person (PEP) /  Related to a Politically Exposed Person (PEP) /  Not Applicable /  Any Other Information \_\_\_\_\_

**OTHER KYC DETAILS (For Non-Individuals Only) (Details MANDATORY)**

Gross Annual Income Details (Please tick()):  Below ₹ 1 Lac /  ₹ 1-5 Lacs /  ₹ 5-10 Lacs /  ₹ 10-25 Lacs /  ₹ 25 Lacs-1 Crore /  ₹ > 1 Crore

OR Net-worth in ₹ \_\_\_\_\_ should not be older than 1 yr as on (date)  D  D  M  M  Y  Y  Y

Is the entity involved in / providing any or the following services

Foreign Exchange / Money Changer Services  Yes  No      Gaming / Gambling / Lottery Services (e.g. casinos,betting syndicates)  Yes  No

Money Lending / Pawning  Yes  No      Any other information: \_\_\_\_\_

**FULL NAME OF SECOND APPLICANT (Mr. / Ms.) (Details MANDATORY)** \_\_\_\_\_ Date of Birth (dd/mm/yyyy) \_\_\_\_\_

Father's/ Spouse Name \_\_\_\_\_

Marital Status:  Single /  Married; Gross Annual Income (Pl()):  Below ₹ 1 Lac /  ₹ 1-5 Lacs /  ₹ 5-10 Lacs /  ₹ 10-25 Lacs /  ₹ 25 Lacs -1 Cr /  ₹ > 1 Cr

OR Net-worth in \_\_\_\_\_ Net-worth should not be older than 1 year as on (date)  D  D  M  M  Y  Y  Y

Please tick:  Politically Exposed Person (PEP) /  Related to a Politically Exposed Person (PEP) /  Not Applicable /  Any Other Information \_\_\_\_\_

**FULL NAME OF THIRD APPLICANT (Mr. / Ms.) (Details MANDATORY)** \_\_\_\_\_ Date of Birth (dd/mm/yyyy) \_\_\_\_\_

Father's/ Spouse Name \_\_\_\_\_

Marital Status:  Single /  Married ; Gross Annual Income (Pl()):  Below ₹ 1 Lac /  ₹ 1-5 Lacs /  ₹ 5-10 Lacs /  ₹ 10-25 Lacs /  ₹ 25 Lacs -1 Cr /  ₹ > 1 Cr

OR Net-worth in \_\_\_\_\_ Net-worth should not be older than 1 year as on (date)  D  D  M  M  Y  Y  Y

Please tick:  Politically Exposed Person (PEP) /  Related to a Politically Exposed Person (PEP) /  Not Applicable /  Any Other Information \_\_\_\_\_

**DECLARATION:** The information as desired under KYC norms is true and correct to the best of my knowledge. I agree to inform the AMC immediately in case of any change in the details provide herein

1st applicant/ Guardian (Signature) POA Signature	2nd applicant (Signature)	3rd applicant (Signature)
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