

Please contact Mr. Mukesh Malhotra at our Delhi Office and Mr. D Purohit at our Mumbai Office for opening an account. The procedure for opening an account is as given below.

The accounts are opened after giving the Account Opening Kit to clients which includes KYC form, Rights and Obligation Document, Risk Disclosure Document, Guidance Note, Policies & Procedures, Tarrif sheet etc. All the mandatory documents and voluntary documents forming part of the account opening kit are explained to them and taken after getting signed by them. In person verification is done by us and once every thing is found in order, UCC code is allotted, the necessary information is uploaded /sent to the Exchanges/KRA and clients are enabled accordingly for trading.

The Important check list for filling the KYC form along with the documents requirements are as given below. There are separate account opening documents requirements for Individual and Non Individual Clients .

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

#### **IMPORTANT POINTS:**

Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized 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 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 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.

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.

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.

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:

Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.

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.

**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/ 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 3 months old.

Bank Account Statement/Passbook -- Not more than 3 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 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.

**In case of Non-Individuals**, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

**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 operation.
- 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.
- List of directors
- List of authorized persons authorized to place orders on behalf of non individual
- Authorized 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. • Authorized signatories list with specimen signatures.
- List of authorized persons authorized to place orders on behalf of non individual

- 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.
- List of authorized persons authorized to place orders on behalf of non individual
- 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 karta.

#### **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.
- List of authorized persons authorized to place orders on behalf of non individual
- Authorized signatories list with specimen signatures.

#### **Banks/Institutional investors**

- Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.
- List of authorized persons authorized to place orders on behalf of non individual
- Authorized signatories list with specimen signatures.

#### **Foreign Institutional Investors (FII)**

- Copy of SEBI registration certificate.
- List of authorized persons authorized to place orders on behalf of non individual
- Authorized signatories list with specimen signatures.

#### **Army/ Government Bodies**

- Self-certification on letterhead.
- Authorized signatories list with specimen signatures.
- List of authorized persons authorized to place orders on behalf of non individual

#### **Registered Society**

- Copy of Registration Certificate under Societies Registration Act.
- List of Managing Committee members.
- Committee resolution for persons authorized to act as authorized signatories with specimen signatures.
- True copy of society Rules and Bye Laws certified by the Chairman/ Secretary.
- List of authorized persons authorized to place orders on behalf of non individual