ARN Code

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

Please fill in ENGLISH and in BLOCK LETTERS with black ink

Application No.	:
Ver. 01-2012	٦

Seal/Stamp should contain Staff Name, Designation, Name of Organisation, Signature, Date

A. Identity	Detai	ls (ple	ase se	e guid	elines	overl	eaf)																	
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☐ (Attested) True copies of documents received

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients, including Promoters/Parents/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 list mentioned under [E].
- 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 addresses are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity. If you are a sole proprietor, please use the KYC Application Form for Individuals.
- 7. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.

B. Permanent Account Number (PAN):

PAN is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).

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)

- Latest Land Line Telephone Bill
- Latest Electricity Bill
- Latest Bank Passbook / Bank Account Statement
- Registered Lease / Sale Agreement of office premises

- Proof of Address issued by Bank Managers of Scheduled Commercial Banks / Multinational Foreign Banks / Gazetted Officer / Notary Public / Elected Representatives to the Legislative Assembly / Any other document approved by AMFI as a valid address proof
- Registration Certificate issued under Shops and Establishments Act
 Documents having an expiry date should not be more than three months
 old as on the date of submission of this form.

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.
- 2. Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- 4. SIP of Mutual Funds up to Rs. 50,000/- p.a.
- 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:

- Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks. Documents need to be certified true by Director / Company Secretary. Name, Designation & Seal should be affixed on the copy.
- 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. Incase of Non-Individuals, additional documents tobe obtained from non-individuals, over & above the POI & POA, as mentioned below:

Type 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 Karta
Unincorporated Association	Proof of Existence/Constitution document
or a body of individuals	Resolution of the managing body & Power of Attorney granted to transact business on its behalf
	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
	Authorized signatories list with specimen signatures
Foreign Institutional	Copy of SEBI registration certificate
Investors (FII)	Authorized signatories list with specimen signatures
Army/Government Bodies	Self-certification on letterhead
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Registered Society	Copy of Registration Certificate under Societies Registration Act
negistered society	List of Managing Committee members
	Committee resolution for persons authorised to act as authorised signatories with specimen signatures
	True copy of Society Rules and Bye Laws certified by the Chairman/Secretary
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Details of Promoters/Partners/Karta/Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant			
PAN of the Applicant			

Sr. No.	PAN	Name	DIN (For Directors)/ UID (For Others)	Residential/ Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	Photograph
	(Please attach a copy of your PAN Card)					□ PEP □ RPEP □ NO	
	(Please attach a copy of your PAN Card)			(Please attach proof of your residential address)		□ PEP □ RPEP □ NO	
	(Please attach a copy of your PAN Card)			(Please attach proof of your residential address)		□ PEP □ RPEP □ NO	
	(Please attach a copy of your PAN Card)			(Please attach proof of your residential address)		□ PEP □ RPEP □ NO	
	(Please attach a copy of your PAN Card)					□ PEP □ RPEP □ NO	
	(Please attach a copy of your PAN Card)			(Please attach proof of your residential address)		□ PEP □ RPEP □ NO	
	(Please attach a copy of your PAN Card)					□ PEP □ RPEP □ NO	

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

Sr. No.	PAN	Name	DIN (For Directors)/ UID (For Others)	Residential/ Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	Photograph
	(Please attach a copy of your PAN Card)					□ PEP □ RPEP □ NO	
	(Please attach a copy of your PAN Card)			(Please attach proof of your residential address)		□ PEP □ RPEP □ NO	
	(Please attach a copy of your PAN Card)					□ PEP □ RPEP □ NO	
	(Please attach a copy of your PAN Card)					□ PEP □ RPEP □ NO	
	(Please attach a copy of your PAN Card)			(Please attach proof of your residential address)		□ PEP □ RPEP □ NO	
	(Please attach a copy of your PAN Card)			(Please attach proof of your residential address)		□ PEP □ RPEP □ NO	

PEP: Politically Exposed Person **RPEP:** Related to Politically Exposed Person