

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 IDcard/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 FI/sub account, Power of Attorney given by FI/sub-account to the Custodians (which are duly notarized and/or apostilled 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.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIs, Mfs, VCFs, FVCI, 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.
3. UN entities/multilateral agencies exempt from paying taxes/ filing tax returns in India.

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 MODIFICATION/ADDITION & ACCOUNT

Requisition form for Addition / Deletion / Modification of Account Details in Equity

Date: ___/___/___

Broking	Ucc Code -
---------	------------

*Mandatory Fields

<input type="checkbox"/> Update my KYC details as per below	<input type="checkbox"/> Re-activate my account and update KYC Details	<input type="checkbox"/> Re-activate account with no change in KYC
---	--	--

To
Giriraj Stock Broking Pvt Ltd
4, Fairlie Place , HMP Hose
Suite No -421A, Kolkata -700001

I/We request you to make the following Additions / Deletion / Modifications to my/our account in your records. Account details are as under:

* Trading Account (UCC) _____ Client Type Individual/Non-Individual

*Please tick Request & Category

Request For	Category	Existing Details	New Details
<input type="checkbox"/> Modification	<input type="checkbox"/> Address Details <input type="checkbox"/> Correspondence <input type="checkbox"/> Permanent <input type="checkbox"/> Email ID <input type="checkbox"/> Mobile / Landline Number <input type="checkbox"/> Signature <input type="checkbox"/> Name Change in Trading Account <input type="checkbox"/> Aadhaar <input type="checkbox"/> Other _____ pls. specify		
Request For	Category	Existing Details	New Details
<input type="checkbox"/> Addition <input type="checkbox"/> Modification	<input type="checkbox"/> Bank Details <input type="checkbox"/> Add with Default <input type="checkbox"/> Add without Default		

I/We wish to update the above changes in KRA / Back office system

1. Additional Information Related to Trading / Account: Gross Annual Income Details (please specify): Income Range per annum: Below Rs 1 Lac / 1-5 Lac / 5-10 Lac / 10-25 Lac / >25 Lacs or Net-worth as on _____ (_____) (Net worth should not be older than 1 year)
2. Occupation (please tick any one and give brief details): Private Sector/ Public Sector/ Government Service/Business/ Professional/ Agriculturist/ Retired/ Housewife/ Student/ Others _____
3. Please tick, if applicable: Politically Exposed Person (PEP)/ Related to a Politically Exposed Person (PEP) (Account Type – Individual)
4. Please tick, if applicable, for any of your Authorized Signatories/Promoters/Partners/Karta/Trustees/Whole Time Directors: Politically Exposed Person (PEP)/ Related to a Politically Exposed Person (PEP) (Account Type – Non - Individual)
5. Net-worth as on (date) _____ (dd/mm/yyyy): _____ (*Net worth should not be older than 1 year) (Account Type – Non - Individual)

KYC MODIFICATION/ADDITION & ACCOUNT

Ownership Declaration - Contact Detail (s) A. E-mail- I hereby declare that the E-mail ID given by me belongs to Me or my family
 In case of family, the owner of E-mail ID is my Spouse Dependent Children Dependent Parent
 B. Mobile- I hereby declare that the Mobile given by me belongs to Me or my family in case of family, the owner of Mobile is my Spouse Dependent Children Dependent Parent.

Declaration for Electronic Communication: Yes No I/we wish to receive all future communication to me including but not limited to Contract note, Bills and Statement of Accounts to be sent to the above mentioned E-mail ID

DECLARATION

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, I am/we are aware that I/we may be held liable for it. I/we hereby give consent to receive all communication from GIRIRAJ STOCK BROKING PRIVATE LIMITED.

	First / Sole Holder	Second Holder	Third Holder
Name			
PAN			
Signature *			

FOR OFFICE USE ONLY

We have given/sent the client a copy of the Client Master upon Updation / Modification of details requested by the above Client.

	Name of Authorized Signatory	
Date		Seal/Stamp of Giriraj Stock Broking Private Limited
Place		
		Signature of the Authorized Signatory

UCC of Client:	Name of Employee	Employee Code	Signature of Employee
Documents Verified With Originals & In-Person Verification Done by Relationship Manager			
Processed & Updated By:			

INSTRUCTIONS

- ❖ Copy of cancelled Cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
- ❖ Refer the supporting documents mentioned in "Instruction checklist for filing KYC Form and for updating the changes in CKYC/ KRA / Back Office System should be submitted.
- ❖ Income Proof: Copy of ITR Acknowledgement / Net-worth Certificate/ In case of salary income - Salary Slip, Copy of Form 16 / Self declaration with relevant supporting documents/ Any other relevant documents substantiating ownership of assets.
- ❖ Aadhaar Card to be submitted for Aadhaar Details updation
- ❖ Beneficial Ownership Details if any for Non-Individual Client (Corporate/ Partnership Firm/Trust/ Unincorporated Association/Body of Individuals)