CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

Important Instructions:

- A) Fields marked with '* are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (\checkmark) in the box available before the section number and strike off the sections not required to be updated.



For office use only	Application Type* New Update											
(To be filled by financial instit	,											
	Account Type [⋆] ☐ Normal ☐ Simplified (for low risk customers) ☐ Small											
☐ 1. PERSONAL DETA	ILS (Please refer instruction A at the end)											
	Prefix First Name Middle Name Last Name											
☐ Name* (Same as ID proof												
Maiden Name (If any*)												
Father / Spouse Name*												
Mother Name*												
Date of Birth*	D D — M M — Y Y Y Y											
Gender*	☐ M- Male ☐ F- Female ☐ T-Transgender											
Marital Status*	Marital Status*											
Citizenship*	☐ IN- Indian ☐ Others (ISO 3166 Country Code ☐)											
Residential Status*	Resident Individual Non Resident Indian											
	☐ Foreign National ☐ Person of Indian Origin											
Occupation Type*	□ S-Service (□ Private Sector □ Public Sector □ Government Sector)											
	□ O-Others (□ Professional □ Self Employed □ Retired □ Housewife □ Student) □ B-Business □ SIGNATURE/THUMB											
	X- Not Categorised											
TA TIOK IF ARRIVAN	DESCRIPTION FOR TAX PURPOSES IN HURIOPICTION(O) OUTSIDE INDIA (Please refer instruction B at the and)											
	RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)											
	EQUIRED* (Mandatory only if section 2 is ticked)											
ISO 3166 Country Code of	Jurisdiction of Residence*											
	or equivalent (If issued by jurisdiction)*											
Place / City of Birth*	ISO 3166 Country Code of Birth*											
□ 2 BROOF OF IDENT	ITY (Pol)* (Please refer instruction C at the end)											
—												
	ne following Proof of Identity[Pol] needs to be submitted)											
A- Passport Number	Passport Expiry Date DD-MM-YYYY											
B- Voter ID Card												
C- PAN Card												
D- Driving Licence	Driving Licence Expiry Date DD - MM - Y Y Y Y											
E- UID (Aadhaar)												
F- NREGA Job Card												
	t notified by the central government)											
S- Simplified Measures	Account - Document Type code Identification Number											
4. PROOF OF ADDR												
	NENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)											
	ne following Proof of Address [PoA] needs to be submitted)											
D ((A) +	esidential / Business Registered Office Unspecified											
	assport Driving Licence UID (Aadhaar) oter Identity Card NREGA Job Card Others											
□ Si	oter Identity Card ☐ NREGA Job Card ☐ Others ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐											
Address												
Line 1*	\ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ 											
Line 2	City / Town / Village*											
Line 3	Pin / Post Code* State / U.T Code* ISO 3166 Country Code*											

4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction E at the end)																																										
Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')																																										
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Line	2																																									
Line	3		<u> </u>					<u> </u>		Ш							_	1	<u> </u>		<u> </u>									٧n	/ V		ge*							Щ	<u> </u>	_
Dist	rict*										F	Pin /	Po	st Co	bc	e*							S	tate	e /	U.1	C	ode	e*				ISC	3 (166	6 C	oun	try	Cod	e* [_
_	□ 4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked) □ Same as Current / Permanent / Overseas Address details □ Same as Correspondence / Local Address details																																									
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□ 5	5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)																																									
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INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

- 1. Self attested copy of PAN card is mandatory for all clients.
- 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.
- 5. 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/ PIOCard/OCICard 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.
- 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:

- 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 IDcard/Driving license.
- 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.)

 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 ing 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/Multinationa 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/subaccount 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.)

- 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, 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.
- UN entities/multilateral agencies exempt from paying taxes/ filing tax returns in India.

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).
- 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
	Update my KYC details as p	per below Re-act	ivate my account an	d update KYC Details	Re-activate ac	ccount with no change in KY(
, Fa uite ′W∈	aj Stock Broking Pvt Ltd irlie Place , HMP Hose No -421A, Kolkata -700001 request you to make the foll ading Account (UCC) ase tick Request & Category	owing Additions / Deleti	on / Modifications to			
	Request For	Cate	gory	Existing Details		New Details
	Modification	☐ Signature	ondence ent ndline Number inge in Trading			
	Request For	Cate	egory	Existing Details		New Details
	Addition Modification	Bank Detail Add wit Add wit				
I/W	/e wish to update the above o	l changes in KRA / Back off	ice system			
1. 2. 3. 4.	Additional Information Relation 1-5 Lac /5-10 Lac / 10-25 Layear) Occupation (please tick any Retired/ Housewife/ Studer Please tick, if applicable: Poplease tick, if applicable, for	one and give brief details ont/ Others litically Exposed Person	h as on	blic Sector/ Government S blitically Exposed Person () (Net worth s ervice/Business/ P PEP) (Account Typ	hould not be older than 1 rofessional/ Agriculturist/ e – Individual)
5.	Person (PEP)/ Related to a l Net-worth as on (date) Individual)	Politically Exposed Perso	n (PEP) (Account Typ	e – 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						
ou of any changes tl	herein may be	immediately. In case any o	f the a	bove information is found to b	e false or u	ntru	lge and belief and I/we undertake to inform e or misleading or misrepresenting, I am/we GIRIRAJ STOCK BROKING PRIVATE LIMITED. Third Holder			
Name										
PAN										
Signature *										
We have given/sent	the clie	ent a copy of the Client Mas	ter up	FOR OFFICE USE ONLY on Updation / Modification of	details req	uest	ed by the above Client.			
Name of	Autho	orized Signatory					Seal/Stamp of			
Date						Giri	iraj Stock Broking Private Limited			
Place			Si	gnature of the Authorized Sigr	natory					
			Г	Name of	Employ	ee	Signature of			
UCC of Client:				Employee	Code		Employee			
		h Originals & In-Person ationship Manager								
Processed & Upda	ated By	r:								
				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)