Know Your Client Application Form	t (KYC) (For Non-Individuals Only		Place for Intermediary Logo	Application No. :			
Please fill in ENGLISH a	and in BLOCK LETTERS	CVL	5 5				
- · · ·	ease see guidelines overleaf)						
1. Name of Applicant (Please	e write complete name as per Certificate of Inc	corporation / Registrati	on; leaving one box blank	between 2 words. Please do not abbreviate the Name).			
2. Date of Incorporation	d d / m m / y y y y	Place of Incorpor	ation				
3. Registration No. (e.g. CIN)							
4. Status Please tick (✓) □ □ FPI Category I □ FP □ Defence Establishment	PI Category II 🛛 FPI Category III 🗌 AC	OP 🗌 Bank 🗌		harities / NGOs HUF FI FI FI			
5. Permanent Account Num	iber (PAN) (MANDATORY)		Please enclose a	duly attested copy of your PAN Card			
B. Address Details (ple	ease see guidelines overleaf)						
1. Address for Corresponde	ence						
				Postal Code			
2. Contact Details				try			
2. Contact Details			Tel. (Res.) (ISD) (STI				
			Fax (ISD) (STI	D)			
				nents & tick (<) against the document attac			
				Postal Code			
 *Latest Telephone Bill Any other proof of a *Not more than 3 Months of 		Ⅱ □*Latest Bank A se specify)	Account Statement R	ments & tick (<) against the document attact			
	dhaar Number, residential addres sure to fill in the details)	s and photograp	hs of Promoters/Pa	artners/Karta/Trustees/whole time direct			
2. Any other informat	tion:						
	DECLARATION						
correct to the best of my/c to inform you of any char above information is fou	t the details furnished above are t our knowledge and belief and I/we ur nges therein, immediately. In case an und to be false or untrue or mislea are aware that I/we may be held liable	ndertake ny of the ading or C	IE & SIGNATURI F AUTHORISED PERSON(S)				
Place:							
Date:							
	F	OR OFFICE U	SE ONLY				
AMC/Intermediary name OR co				Seal/Stamp of the intermediary should cont			
(Originals Verified) Self Certi	ified Document copies received			Staff Name Designation			
☐ (Originals Vermes) Sen Certa ☐ (Attested) True copies of do				Name of the Organization			
				Signature			
				Date			

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

- 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.
- If any proof of identity or address is in a foreign language, then translation into English 3. is required.
- Name & address of the applicant mentioned on the KYC form, should match with the 4. documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be 5. 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.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, 8 their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC 9. (Continuous Discharge Certificate) is to be submitted.
- 10. For opening an account with Depository participant or Mutual Fund, for amin or, 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.

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). Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving license
- Identity card/ document with applicant's Photo, issued by any of the following: З. 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.
- Bank Account Statement/Passbook Not more than 3 months old. 3.
- Self-declaration by High Court and Supreme Court judges, giving the new address in 4. 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 Foreian 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.
- 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.

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 Governmentand 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.
- In case of institutional clients, namely, FIIs, Mfs, VCFs, FVCIs, Scheduled Commercial 5 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 (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.

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

Types 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 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 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 Investors (FII)	Copy of SEBI registration certificate Authorized signatories list with specimen signatures
Army/Government Bodies	 Self-certification on letterhead Authorized signatories list with specimen signatures
Registered Society	 Copy of Registration Certificate under Societies Registration Act 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

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

Name of Applicant _	\pplicant			PAN of the Applicant	Applicant	
Sr. No.	PAN	Name	DIN(For Directors)/ Aadhaar Number (For Others)	Residential/ Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph
Name & Signatu	Name & Signature of the Authorised Signatory(les)		Date			

CENTRAL KYC REGIST	RY Know Your Customer (KYC) Application Form Individual				
 Important Instructions: A) Fields marked with ** are mains B) Please fill the form in English C) Please fill the date in DD-MM D) Please read section wise detain at the end. 	and in BLOCK letters. F) List of two character ISO 3166 country codes is available at the end. I-YYYY format. G) KYC number of applicant is mandatory for update application.				
For office use only (To be filled by financial insti	Application Type* New Update tution) KYC Number (Mandatory for KYC update request) Account Type* Normal Simplified (for low risk customers) Small				
1. PERSONAL DETA	ILS (Please refer instruction A at the end)				
 □ Name* (Same as ID proof Maiden Name (If any*) Father / Spouse Name* Mother Name* Date of Birth* 	Prefix First Name Middle Name Last Name 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1				
Gender*	M- Male				
Marital Status* Citizenship* Residential Status*	Married Unmarried Others IN- Indian Others (ISO 3166 Country Code)) Resident Individual Non Resident Indian				
Occupation Type*	Foreign National Person of Indian Origin S-Service (Private Sector Public Sector Government Sector) O-Others (Professional Self Employed Retired Housewife Student) B-Business X- Not Categorised Signature/THUMB IMPRESSION				
2. TICK IF APPLICA	BLE 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 o	f Jurisdiction of Residence*				
Tax Identification Number Place / City of Birth*	or equivalent (If issued by jurisdiction)* ISO 3166 Country Code of Birth*				
3. PROOF OF IDENT	FITY (Pol)* (Please refer instruction C at the end)				
	he following Proof of Identity[Pol] needs to be submitted) Passport Expiry Date				
 C- PAN Card D- Driving Licence E- UID (Aadhaar) F- NREGA Job Card 	Image: Control of the control of th				
	nt notified by the central government) Identification Number s Account - Document Type code Identification Number				
PROOF OF ADDRESS (PoA)* 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end) (Certified copy of <u>any one</u> of the following Proof of Address [PoA] needs to be submitted)					
Proof of Address*	lesidential / Business Residential Business Registered Office Unspecifiec assport Driving Licence UID (Aadhaar) UID (Aadhaar) Implified Measures Account implified Measures Account - Document Type code Others please specify				
Line 1*	Pin / Post Code* State / U.T Code* ISO 3166 Country Code*				

CENTRAL KYC REGISTRY Know Your Customer (KYC) Application Form Individual					
Line 2					
Line 3					
District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*					
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					
Line 3 City / Town / Village* ISO 3166 Country Code*					
State*					
5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)					
Tel. (Off) Image: Control of the second					
FAX Email ID Email ID					
6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)					
Addition of Related Person Deletion of Related Person KYC Number of Related Person (if available*)					
Related Person Type* Guardian of Minor Assignee Authorized Representative Prefix First Name Middle Name Last Name					
Name*					
(If KYC number and name are provided, below details of section 6 are optional)					
PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction (H) at the end)					
A- Passport Number Passport Expiry Date					
B- Voter ID Card					
C - PAN Card					
D- Driving Licence Driving Licence Expiry Date					
E- UID (Aadhaar)					
E- NREGA Job Card notified by the central government)					
T 7. REMARKS (If any)					
8. APPLICANT DECLARATION					
I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and 1 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 aware that I may be held liable					
for it. [Signature / Thumb Impression]					
I hereby consent to receiving information from Central KYC Registry through SMS/Embil on the above religistared humber/dmailaddress Date · D D - M M - Y Y Y Y Place · Signature / Thumb Impression of Applicant					
9. ATTESTATION / FOR OFFICE USE ONLY					
Documents Received Certified Copies					
KYC VERIFICATION CARRIED OUT BY					
D M Y Y Name I					
Emp. Name Code					
Emp. Code					
Emp. Designation					
Emp. Designation Emp. Branch					

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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- 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.
- 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.
- 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:

- 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.
- 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

- 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 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.
- 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.
- 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.
- 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, 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.
- 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).
- 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 REACTIVATION REQUEST

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

					Date://
	Broking		UCC Code -		
					*Mandatory Fields
Update my KYC details as p	er below Re-activate my account and		vate my account and up	date KYC Details	Re-activate account with no change in KYC

То

- 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
	Modification	 Address Details Correspondence Permanent Email ID Mobile / Landline Number Signature Name Change in Trading Account Aadhaar Otherpls. specify 		
	Request For	Category	Existing Details	New Details
	Addition Modification	ີ Bank Details ຼັ Add with Default ຼີ Add without Default		
I/W	e wish to update the above chang	ges in KRA / Demat / Back office system		
1. 2.	/5-10 Lac / 10-25 Lac / >25 Lacs year)	to Trading : Gross Annual Income Details or Net-worth as on and give brief details): Private Sector/ Pu thers	() (Net	worth should not be older than 1
3.		Illy Exposed Person (PEP)/ Related to a Pe		ount Type – Individual)
4.	Please tick, if applicable, for any	of your Authorized Signatories/Promote	ers/Partners/Karta/Trustees/Whole	
5.		cally Exposed Person (PEP) (Account Typ (dd/mm/yyyy):		han 1 year) (Account Type – Non -



KYC MODIFICATION/ADDITION & ACCOUNT REACTIVATION REQUEST

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 Accou	ints to	be sent	t to th	ne 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 Auth	orized Signatory		Seal/Stamp of
Date			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.
- Demat Client Master or recent Holding Statement issued by DP bearing name of the client.
- 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)