# Know Your Client (KYC)

# AFFINITY SECURITIES PRIVATE LIMITED

Application No. :

App	olication Form (For Non-Individuals Only)	Registered & Correspondence Office Address : Shaila Tower, 9th Floor, Room No. 903, J1/16 EP & GP Block								
Plea	se fill in ENGLISH and in BLOCK LETTERS with black ink	Salt Lake, Sector-V, Kolkata - 700 091 Telefax : +91 33 4004-2356								
Α	IDENTITY DETAILS (please see guidelines overleaf)									
1.	Name of Applicant (Please write complete name as per Certi	icate of Incorporation / Registration; leaving one box blank between 2 words. Ple	ease do not abbreviate the Name).							
2.	Date of Incorporation d d / m m / y y y  Place of Incorporation	<u>y                                    </u>	PHOTOGRAPH							
3.										
	Date of commencement of business d d d / m m /	_ y	the recent passport size photograph of							
4.	Status Please tick ( ) Private Ltd. Co. Public Ltd. Co. Body Corporate Partnership Trust / Charities / NGOs authorised signatory									
	☐ FI ☐ FII ☐ HUF ☐ AOP ☐ Bank ☐ Government Body ☐ Non-Government Organisation and sign across it									
	□ Defence Establishment □ Body of Individuals □ Society □ LLP □ Others (Please specify)									
5.	5. Permanent Account Number (PAN) (MANDATORY) Please enclose a duly attested copy of your PAN Card									
B. Address Details (please see guidelines overleaf)										
1.	Address for Correspondence  City/Town/Village State	Country	Pin code							
2.	Contact Details   Tel. (Off.) (ISD) (STD)	Tel. (Res.) (ISD)   (STD)								
3.	Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (<') against the document attached.    *Latest Telephone Bill (only Land Line)   *Latest Electricity Bill   *Latest Bank Account Statement   Registered Lease / Sale Agreement of Office Premises   Any other proof of address document (as listed overleaf) (Please specify)  *Not more than 3 Months old. Validity/Expiry date of proof of address submitted									
4.	*Not more than 3 Months old. <b>Validity/Expiry date of proof Registered Address (If different from above)</b>	of address submitted d d / m/m / y y y y								
4.	City/Town/Village		Pin code							
5.	Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.  □ *Latest Telephone Bill (only Land Line) □ *Latest Electricity Bill □ *Latest Bank Account Statement □ Registered Lease / Sale Agreement of Office Premises □ Any other proof of address document (as listed overleaf) (Please specify)  *Not more than 3 Months old. Validity/Expiry date of proof of address submitted d   d   /   m   m   /   y   y   y									
С	New Other Details (please see quidelines overleaf)									
1.	, ,	s of Promoters / Partners / Karta / Trustees / whole time directors								
2.	Is the entity involved/providing any of the following serv	ces YES NO								
	- For Foreign Exchange / Money Changer Services	☐ YES ☐ NO - Gaming / Gambling / Lottery Services (e.g. casinos, betting	g syndicates) □ YES □ NO							
	- Money Lending / Pawning									
3.	Any other information :									
	DECLARATION									
I/W	e hereby declare that the details furnished above are true and co	rect to the best of OF AUTHORISED NAME & SIGNATURE(S)								
	our knowledge and belief and I/we undertake to inform you	of any changes PERSON(S)								
	rediately. In case any of the above information is found to be false of									
mis	eading or misrepresenting, I am/we are aware that I/we may be he	nable for it. Place : Date :	d   d   / m   m   / y   y   y   y							
		FOR OFFICE USE ONLY								
AM	C/Intermediary name <b>OR</b> code	Name of the Organization : AFFINITY SECURITIES PRIVATE LIMITED  Staff Name :								
(Ori	Seal / Stamp									
	Attested) True copies of documents received	Signature :	of the Intermediary							
		Date :   d   d   /   m   m   /   y   y   y								

## 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 ner the below mentioned list
- 3. 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.
- 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.
- For foreign entities, CIN is optional; and in the absence of DIN no. for ttie 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 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.
- 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).
- 2. Unique Identification Number (UID) (Aadhaar) / Passport/Voter ID card/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 Maintenance bill/Insurance Copy.

- 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.
- 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/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/sub-account to the Custodians (which are duly notarized and/or apostiled or consulaiised) that gives the registered address should betaken.
- 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.)

- 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.
- Investors residing in the state of Sikkim.
- $3. \qquad \text{UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.} \\$
- 4. SIP of Mutual Funds upto Rs 50,000/- p.a.
- 5. In case of institutional clients, namely, Flls, 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 Ad, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly ratified 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).
- 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 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, POL POA, PAN arid 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 gianted 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		

## **ANNEXURE-A**

# DETAILS OF PROMOTERS / PARTNERS / KARTA / TRUSTEES AND WHOLE TIME DIRECTORS AND PERSONS AUTHORIZED TO DEAL IN SECURITIES ON BEHALF OF COMPANY / FIRM / OTHERS FORMING A PART OF KNOW YOUR CLIENT (KYC) APPLICATION FORM FOR NON-INDIVIDUALS

Particulars	1st Signatory	2nd Signatory	3rd Signatory
Name			
Residential / Registered address with City, State and Pin code			
Telephone No.			
vesignation/Relationship with Applicant (i.e. promoters, whole time directors etc.)			
Qualification			
Experience			
Income Tax No. (PAN/GIR) DIN No.* (For Directors) UID/Aadhaar No. (For Others) Passport No. Voter ID No. Ration Card No.			
Equity Stake (%)			
Name of Bank			
avings / Current A/c No.			
ddress of the bank with City, State and Pin code			
Whether Politically Exposed Person	□ PEP □ RPEP □ NO	□ PEP □ RPEP □ NO	□ PEP □ RPEP □ NO
Photograph of the Signatory			
andatory			
·			
me of the Authorised Signate	ory:		
nature with Seal:			