

KYC CHANGE/ADDITION & ACCOUNT REACTIVATION REQUEST FORM - For Non individuals

Religare Broking Limited

Club 125 (Tower A) A-3,4 & 5, Sector- 125,
Noida-201301 (U.P.)
Ph.: 0120-4866666 Fax: 0120-4866275

Acknowledgement no



(Please fill this update/modification form in ENGLISH and in BLOCK LETTERS)

(Please tick (symbol of tick) the box on Left margin of appropriate row where CHANGE/CORRECTION is required and provide the details in the corresponding row)

Update my KYC details as per below Re-activate my account and update my KYC details Re-activate my account with no change in KYC

A. ACCOUNT DETAILS	C - KYC Number	(Mandatory for KYC Update request)
Trading Account Number	Demat Account No	

B. ENTITY DETAILS	
1. Name of the Applicant	
2. Date of incorporation/ formation	DDMMYYYY Place of incorporation/ formation
3. Date of commencement of business	DDMMYYYY
4. Country of Incorporation / Formation	
5. PAN	Registration No. (e.g. CIN)
6. TIN/GST Registration No.	TIN/Equivalent Issuing Country
7. Entity Constitution Type (please tick ✓ any one)	<input type="checkbox"/> Private Limited Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Liquidator <input type="checkbox"/> HUF <input type="checkbox"/> ALP <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> AJP <input type="checkbox"/> AOP <input type="checkbox"/> BOI <input type="checkbox"/> Government Body <input type="checkbox"/> Section 8 Companies (Company Act, 2013) <input type="checkbox"/> CGD/SGD or Agency <input type="checkbox"/> Defense Establishment <input type="checkbox"/> BOI <input type="checkbox"/> Society <input type="checkbox"/> LLP <input type="checkbox"/> Bank <input type="checkbox"/> FPI-Category I <input type="checkbox"/> FPI-Category II <input type="checkbox"/> FPI-Category III <input type="checkbox"/> Partnership <input type="checkbox"/> Trust <input type="checkbox"/> Others (Please specify)

C. PROOF OF IDENTITY (PoI)	
<input type="checkbox"/> Officially valid document(s) in respect of person authorised to transact	
<input type="checkbox"/> Certificate of Incorporation / Formation	
<input type="checkbox"/> Registration Certificate No.	
<input type="checkbox"/> Memorandum and Articles of Association <input type="checkbox"/> Partnership Deed <input type="checkbox"/> Trust Deed	
<input type="checkbox"/> Resolution of Board / Managing Committee	
<input type="checkbox"/> Power of attorney granted to its manager, officers or employees to transact on its behalf	

D. ADDRESS DETAILS	
1. Registered Office Address/Place of Business	
Proof of Address <input type="checkbox"/> Certificate of Incorporation/Formation <input type="checkbox"/> Registration Certificate <input type="checkbox"/> Other Document	
Line 1	
Line 2	
Line 3	City/Town/Village
District	State
PIN/Post Code	Country
2. Local Address in India (if different from above)	
Line 1	
Line 2	
Line 3	City/Town/Village
District	State
PIN/Post Code	Country
3. Specify the proof of address submitted for Local Address in India	

E. CONTACT DETAILS		
1. Contact Details		
Tel. (Off.)	Fax	
Tel. (Res.)	Mobile No.	*SMS Alert Facility Yes <input type="checkbox"/> No <input type="checkbox"/>
E-Mail ID		*E-mail Alert Facility Yes <input type="checkbox"/> No <input type="checkbox"/>
*Stock Exchange (s) / Depositories issue transaction alerts on subscription to SMS/E-mail alert facility directly. Email and Mobile No. are mandatory for Trading and Depository Account.		

Signature of the Authorised Signatory(ies)

1.3 CURRENT ADDRESS DETAILS

Same as above mentioned address (in such cases address details as below need not be provided)

1. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

A - Passport Number

B - Voter ID Card

C - Driving Licence

D - NREGA Job Card

E - National Population Register Letter

F - Proof of Possession of Aadhaar

2. E-KYC Authentication

3. Offline verification of Aadhaar

4. Deemed Proof of Address -

5. Self Declaration

Address

Line 1

Line 2

Line 3 City/Town/Village

District State

PIN/Post Code Country

4. CONTACT DETAILS

Tel. (Off) Tel. (Resi)

Mobile Email ID

5. DECLARATION

- I/We hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.
- 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.

Date

Place



Name & Signature of the Authorised Signatory(ies)

ATTESTATION / FOR OFFICE USE ONLY

In person Verification (IPV) Details / KYC Verification Carried out by :

Name of the person who has done the IPV: _____

Designation: _____ Employee ID: _____

Name of Authorised Person _____

Name of the Organization: **Religare Broking Ltd.** Emp. Branch _____

Date of IPV: / / Signature of the person who has done the IPV _____

Method of receipt of Document:

Original Verified, Self Attested Documents & Certified copies received Date

Seal/Stamp of the Intermediary

Signature of the Authorised Signatory

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters / Partners / Karta / Trustees and whole time directors and persons authorised to deal in securities/commodities derivatives on behalf of company / firm / others.
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 authorised 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 current & 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 / PIO Card / OCI Card 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 along with other statutory approvals required for investment in commodities. (as applicable)
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) & Address (POA): - List of documents admissible as Proof of Identity & Address:

1. Passport.
2. Driving license.
3. Unique Identification Number (UID) (Aadhaar).
4. Voter's Identity Card issued by Election Commission of India.
5. Job card issued by NREGA duly signed by an officer of the State Government.
6. Letter issued by the National Population Register containing details of name, address, or any other document as notified by the Central Government in consultation with the Regulator.

C. In case of "Officially Valid Documents (OVD)" listed in Proof of Identity & Address does not contain updated address, the

document as prescribed below shall be deemed to be the OVD for the limited purpose of proof of address for three month under Conditions that welcome letter after KYC should not returned back in reasonable time to start transaction in account:

1. Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
2. Property or Municipal tax receipt.
3. Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
4. Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.
5. 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.

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.
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.
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.

E. List of people authorised 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, authorised 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, KYC details of all related persons to be provided as per regulatory requirement, as mentioned below:

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> • 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, OVD, PAN and DIN numbers of whole time directors / two directors / person authorised to transact / beneficial owner in charge of day to day operations. • Photograph, OVD, 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	<ul style="list-style-type: none"> • 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. <ul style="list-style-type: none"> • Authorised signatories list with specimen signatures alongwith KYC. • Photograph, OVD, PAN of Partners.
Trust	<ul style="list-style-type: none"> • 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. <ul style="list-style-type: none"> • List of trustees certified by managing trustees / CA. • Photograph, OVD, PAN of Trustees.
HUF	<ul style="list-style-type: none"> • PAN of HUF. <ul style="list-style-type: none"> • Deed of declaration of HUF / List of coparceners. • Bank pass-book / bank statement in the name of HUF. <ul style="list-style-type: none"> • Photograph, OVD, PAN of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> • Proof of Existence / Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorised signatories list with specimen signatures alongwith KYC.
Banks/ Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution / registration or annual report / balance sheet for the last 2 financial years. • Authorised signatories list with specimen signatures alongwith KYC.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate. <ul style="list-style-type: none"> • Authorised signatories list with specimen signatures alongwith KYC.
Army/Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead. <ul style="list-style-type: none"> • Authorised signatories list with specimen signatures alongwith KYC.
Registered Society	<ul style="list-style-type: none"> • 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 alongwith KYC. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary. • Power of Attorney granted to transact business on its behalf.