#### KYC CHANGE/ADDITION & ACCOUNT REACTIVATION REQUEST FORM - For Non individuals **Religare Broking Limited** Acknowledgement no RELIGARE | BROKING Club 125 (Tower A) A-3,4 & 5, Sector- 125, Noida-201301 (U.P.) Ph: 0120-4866666 Fax: 0120-4866275 (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 **ACCOUNT DETAILS** C - KYC Number A. (Mandatory for KYC Update request) Trading Account Number Demat Account No **ENTITY DETAILS** Name of the 1. **Applicant** Date of incorporation/ Place of incorporation/ 2. formation formation 3. Date of commencement of business 4. Country of Incorporation / Formation Registration No. (e.g. CIN) 5. PAN 6. TIN/GST Registration No. TIN/Equivalent Issuing Country 7. Entity Constitution Type (please tick ✓ any one) Private Limited Co. Public Ltd. Co. Liquidator ALP FI FII AJP AOP BOI Government Body Section 8 Companies (Company Act, 2013) CGD/SGD or Agency Defense Establishment LLP Bank FPI-Category I BOI Society FPI-Category III Partnership Others (Please specify) ..... FPI-Category II Trust C. PROOF OF IDENTITY (Pol) Officially valid document(s) in respect of person authorised to transact Certificate of Incorporation / Formation Registration Certificate No. Memorandum and Articles of Association Partnership Deed Trust Deed Resolution of Board / Managing Committee Power of attorney granted to its manager, officers or employees to transact on its behalf **ADDRESS DETAILS** Registered Office Address/Place of Business Proof of Address Certificate of Incorporation/Formation Registration Certificate Other Document Line 1 Line 2 City/Town/Village Line 3 State District PIN/Post Code Country Local Address in India (if different from above) Line 1 Line 2 Line 3 City/Town/Village State District PIN/Post Code Country Specify the proof of address submitted for Local Address in India **CONTACT DETAILS** 1. Contact Details Tel. (Off.) Tel. (Res.) Mobile No. \*SMS Alert Facility Yes No F-Mail ID \*E-mail Alert Facility Yes No \*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)

F.	DECLARATION  1. Ownership Declaration - Contact Detail (s)  A. E-mail- We hereby declare that E-mail ID given by us belongs to □ Director □ Karta of HUF □ Authorised person of company / partnership firm / trust □ Other (Pls specify)  B. Mobile We hereby declare that Mobile given by us belongs to □ Director □ Karta of HUF □ Authorised person of company / partnership firm / trust □ Other (Pls specify)																											
	□ Authorised person of company / partnership firm / trust □ Other (Pls specify)  2. Declaration for Electronic Communication □ Yes □ No  We wish to receive all future communication to us including but not limited to Contract note,  Bills and Statement of Accounts to be sent to the above mentioned E-mail ID																											
	I/We hereby consent to receiving information from KRA Registration Agency/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.    Signature of the Authorised Signatory(ies)   Date:   Date:																											
G.	NUMBER OF RELA	ATED F	PER	SOI	NS			(K	YC	to	be p	rovi	dec	d for	all	rela	ted	pers	sons	s)								
H. 1.	. Name, PAN, residential address and photographs of Promoters/ Partners / Karta / Trustees and whole time directors:  If space is insufficient, enclose																											
2.	DIN of whole time directors  Illustrative format enclosed Annexure Al																											
3.	3. Aadhaar number of Promoters / Partners / Karta																											
I.	REMARKS (If any)	1 1	1		1 1	1	1 1		ı		1	1	1	1	1		1	1		ı	ı	ı	ı			ı		
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K.	J. FATCA DECLARATION:  (A) I/We do not have any residence for tax purposes with jurisdiction (Out Side India) (B) I/We have the residence for tax purposes with jurisdictions out side India (if opted for 'B', please fill additional FATCA Declaration form)  K. INCOME DETAILS  Gross Annual Income Range per annum Income Details (please specify)  Below ₹1 Lac  ₹1-5 Lac  ₹5-10 Lac  ₹10-25 Lac (Net worth Amount (₹) (Net worth should not be older than 1 year)																											
L.	CATEGORIZATION	OF TI	HE (	CLII	ENT	FOR	CON	ИMC	DDI	ΤY																		
	Category (Please Specify)  Farmers/FPOs Value Chain Participants (VCPs) Proprietary Traders  Others  Note: If you have select category except "Other" Please fill the declaration of Commodity.																											
Sign. of 1st Signatory  Sign. of 2nd Signatory  Sign. of 3rd Signatory  2nd Signatory Name  3rd Signatory Name																												
181.5	oignatory Name					2nd Si	gnator	y Nai	me 								i 3ra	Signa	atory	inam	e							
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																												
	e of IPV: DDD/ M																		Se	al/S	tamp	of t	he Ir	nterm	edia	ary		
Met	thod of receipt of Docur	nent:				Sign	ature	of th	ne pe	erso	on wh	no ha	as do	one t	he IF	ן ∨י			Sia	natur	re of	the A	utho	rised	Sim	nato		
☐ Original Verified, Self Attested Documents & Certified copies received Date Date Date Date Date Date Date Date																												

# DETAILS OF AUTHORISED SIGNATORY(IES) / PROMOTERS / PARTNERS / KARTA / TRUSTEES / WHOLE TIME DIRECTORS & TWO DIRECTORS FORMING A PART OF KNOW YOUR CLIENT (KYC) APPLICATION FORM FOR NON-INDIVIDUALS

App	Application Type									
CKYC Number           PAN of the Applicant										
Nar	Name of Applicant									
1.										
	Addition of Related Person  Deletion of Related Person  Deletion of Related Person									
	Update Related Person Details  CKYC Number of Related Person (if available)  Please affix your recent passport									
	size photograph									
	(If CKYC number is available, Only "Related Person Type" & "Name" is mandatory)									
	Related Person Type									
	Power of Attorney Holder Court Appointment Official									
	Beneficial Owner									
	DIN (Director Identification Number) (Mandatory if related person type is director)									
	Please tick, If applicable Politically Exposed Person (PEP) Related to a Politically Exposed Person (RPER									
	Not a Politically Exposed Person (PEP) Not Related to a Politically Exposed Person (RPEP)									
1.1	PERSONAL DETAILS									
	Prefix First Name Middle Name Last Name									
	Name (Same as ID Proof)									
	Maiden Name									
	Father/Spouse Name									
	Date of Birth DDDMMMYYYYY									
	Gender									
	Nationality									
	PAN L L L L L L L L L L L L L L L L L L L									
1.2	PROOF OF IDENTITY AND ADDRESS									
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 Cardd									
	☐ 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									
	Address									
	Line 1									
	Line 2									
	District State State									
	PIN/Post Code Country Country									

1.3	CURRENT ADDRESS DETAILS							
1.	☐ Same as above mentioned address (in such cases address details as below need not be provided)  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 Cardd							
	☐ 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							
4.	CONTACT DETAILS							
	Tel. (Off)                   Tel. (Resi)							
	Mobile Email ID							
5.	DECLARATION							
Ag nui I I/ I to I I you info I ai								
Pla	Place Name & Signature of the Authorised Signatory(ies)							
	ATTESTATION / FOR OFFICE USE ONLY							
In	person Verification (IPV) Details / KYC Verification Carried out by :							
Na	me of the person who has done the IPV:							
De	signation:Employee ID:							
Na	me of Authorised Person							
Na	Name of the Organization: Religare Broking Ltd. Emp. Branch Seal/Stamp of the Intermediary							
Da	te of IPV: DD / MM M / Y Y Y Y Y Signature of the person who has done the IPV							
Ме	thod of receipt of Document:							
	Original Verified, Self Attested Documents & Certified copies received Date Date Date Date Date Date Date Date							

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

#### A. IMPORTANT POINTS:

- 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.
- 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.
- 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.
- 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)
- 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.
- 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.
- 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.
- 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.)
- 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:

- 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, 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> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>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).</li> <li>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.</li> <li>Photograph, OVD, PAN of individual promoters holding control - either directly or indirectly.</li> <li>Copies of the Memorandum and Articles of Association and certificate of incorporation.</li> <li>Copy of the Board Resolution for investment in securities market.</li> <li>Authorised signatories list with specimen signatures.</li> </ul>											
Partnership Firm	<ul> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>Certificate of registration (for registered partnership firms only).</li> <li>Copy of partnership deed.</li> <li>Authorised signatories list with specimen signatures alongwith KYC.</li> <li>Photograph, OVD, PAN of Partners.</li> </ul>											
Trust	<ul> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>Certificate of registration (for registered trust only).</li> <li>Copy of Trust deed.</li> <li>List of trustees certified by managing trustees / CA.</li> <li>Photograph, OVD, PAN of Trustees.</li> </ul>											
HUF	<ul> <li>PAN of HUF.</li> <li>Deed of declaration of HUF / List of coparceners.</li> <li>Bank pass-book / bank statement in the name of HUF.</li> <li>Photograph, OVD, PAN of Karta.</li> </ul>											
Unincorporated association or a body of individuals	<ul> <li>Proof of Existence / Constitution document.</li> <li>Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf.</li> <li>Authorised signatories list with specimen signatures alongwith KYC.</li> </ul>											
Banks/ Institutional Investors	<ul> <li>Copy of the constitution / registration or annual report / balance sheet for the last 2 financial years.</li> <li>Authorised signatories list with specimen signatures alongwith KYC.</li> </ul>											
Foreign Institutional Investors (FII)	Copy of SEBI registration certificate.     Authorised signatories list with specimen signatures alongwith KYC.											
Army/Government Bodies	Self-certification on letterhead.     Authorised signatories list with specimen signatures alongwith KYC.											
Registered Society	<ul> <li>Copy of Registration Certificate under Societies Registration Act.</li> <li>List of Managing Committee members.</li> <li>Committee resolution for persons authorised to act as authorised signatories with specimen signatures alongwith KYC.</li> <li>True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.</li> <li>Power of Attorney granted to transact business on its behalf.</li> </ul>											