

CLIENT CODE: _____ CLIENT NAME: _____



PART – A

INDSEC SECURITIES AND FINANCE LIMITED

Exchange	Segment	SEBI Registration No.	Date on SEBI Registration Certificate
National Stock Exchange of India Limited (NSE)	Capital Market and Wholesale Debt Market Segment	INB230601039*	27 th May, 1994
	Futures and Option Segment	INF230601039*	25 th May, 2000
	Currency Derivative Segment	INE230601039*	23 rd January, 2009
BSE Limited (BSE)	Capital Market and Wholesale Debt Market Segment	INB010633435*	1 st September, 1994
* (SINGLE SEBI REGISTRATION NO. INZ000236731 DATED 13 TH MARCH 2019)			

Depository	SEBI Registration No.	Date on SEBI Registration Certificate
National Securities & Depository Limited (NSDL)	IN-DP-475-2020	2 nd December, 1996

REGISTERED / CORRESPONDENCE OFFICE ADDRESS

301/302, "215 Atrium", A Wing, Andheri Kurla Road, Chakala, Andheri (East), Mumbai - 400 093

CONTACT DETAILS

- **Dealing Room (Equity):** +91-22 - 6114 6114 / 4514 6114 • **Debt (WDM):** +91-22 - 6114 6117
- **Operations:** +91-22 - 6114 6100 • **Fax:** +91-22 – 6710 6874 • **Website:** www.indsec.co.in
- **E-mail:** isfl@indsec.co.in • **Investor's Grievances:** isfl_invgrv@indsec.co.in

Compliance Officer – Broking	Compliance Officer – DP	CEO/MD
Mr. Diamond Dand Tel No : +91-22-6114 6107 Email Id: co@indsec.co.in	Mr. Yogesh Kokatay Tel No : +91-22-6114 6131 Email Id: co@indsec.co.in	Mr. Nandkishore Gupta Tel No : +91-22-6114 6100 Email ID: ngupta@indsec.com

For any grievance/dispute please contact Indsec Securities and Finance Limited at the above address or email id- **isfl_invgrv@indsec.co.in** and Phone no. **+91-22-6114 6100**. In case not satisfied with the response, please contact the concerned exchange(s) at:

Exchange	Contact Nos.	Website	Email ID
National Stock Exchange of India Limited	+91-22-26598191 / 1800 266 0050	www.nseindia.com	ignse@nse.co.in
BSE Limited	+91-22-2272 8569 / 5817	www.bseindia.com	ISC.Mumbai@bseindia.com

Name of Clearing Member	Indsec Securities & Finance Ltd.
Clearing No.	06010
DP ID	IN300062
CM BP ID	IN500909
CLIENT ID	10000070

ACCOUNT OPENING KIT (Part A)

INDEX

SN	Particulars	Significance	Pg.#
Mandatory Documents as prescribed by SEBI & Exchanges			
1.	Account Opening Form	KYC form - Document captures the basic information about the constituent, Annexure – I–Details of Promoters / Partners / Karta / Trustees and whole time directors, Annexure II – Details of Persons authorized to deal in securities on behalf of company/firm/ others and an instruction/check list. (Part – I)	Part A (2-13)
		Document captures the additional information about the constituent relevant to trading account and an instruction/check list. (Part – II)	Part A (14-16)
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Part B (2-7)
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	Part B (8-11)
4.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	Part B (12-13)
5.	Policies and Procedures	Document describing significant policies and procedures of the stock broker. <ul style="list-style-type: none"> Business Policy Document - Defining the various policy relating to the clients dealing with the company Proprietary Trading - Disclosure of Proprietary Trading by Broker To Clients 	Part B (14-15) Part A – 16
6.	Investor Charter		Part C
7.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	Part A – 17
Voluntary Documents as provided by the Stock Broker			
8.	Running account authorization funds & securities	The client authorizes the broker to keep the stock and funds balance till instructions received from him	Part A – 17
9.	Declarations / Disclosures required under PMLA	The clients is required to make disclosures which are required for the purpose of monitoring for prevention of money laundering	Part A – 18
10.	Declaration from Client that trades done on own behalf	The client specifies that the trades are done for own/family purpose and not for broking business	Part A – 18
11.	Self-Certification	FATCA/CRS Declaration Form	Part A – 19 – 23
12.	Request for Aadhaar Linking	In compliance with Prevention of Money Laundering Act (PMLA) Rules, 2017, the client is required to provide AADHAR Number of all authorized signatories for accounts opened / operated with Financial Intermediary	Part A – 24

Signature Tally: (PART – A)

For Non Individual Clients			
Page No.	No. of Signatures	Page No.	No. of Signatures
3	1 (As per Mode of Operation)	16	1 (As per Mode of Operation)
7	1 (separately of each Related Person)	17	3 (As per Mode of Operation)
8	1 (As per Mode of Operation)	18	2 (As per Mode of Operation)
10	1 (All Authorised Signatories)	19	1 (As per Mode of Operation)
14	According to Trad. Pref. (As per Mode of Operation)	23	1 (As per Mode of Operation – If applicable)
15	1 (of Introducer)	24	1 (separately of each Authorised Signatories)
15	1 (of all Authorised Signatories)		
NOTE: PLEASE AFFIX RUBBER STAMP WHERE SIGNATURES ARE REQUIRED TO BE DONE			

**Important Instructions:**

- A) Fields marked with "*" are mandatory fields.
 B) Tick '✓' wherever applicable.
 C) Please fill the date in DD-MM-YYYY format.
 D) Please fill the form in English and in BLOCK letters.
 E) KYC number of applicant is mandatory for update application.
 F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 G) List of two character ISO 3166 country codes is available at the end.
 H) Please read section wise detailed guidelines / instructions at the end.
 I) For particular section update, please tick (✓) 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 institution) KYC Number

(Mandatory for KYC update request)

1. ENTITY DETAILS* (Please refer instruction A at the end)

Name*

Entity Constitution Type*

☐ Others (Specify)

(Please refer instruction B at the end)

Date of Incorporation / Formation*

Date of Commencement of Business

Place of Incorporation / Formation*

Country of Incorporation / Formation*

TIN or Equivalent Issuing Country

PAN *

Form 60 furnished

TIN / GST Registration Number

2. PROOF OF IDENTITY (PoI)* (Please refer instruction B at the end)
☐ Officially valid document(s) in respect of person authorised to transact

☐ Certificate of Incorporation / Formation

☐ Registration Certificate

Regn 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

☐ Activity Proof - 1 (For Sole Proprietorship Only)

☐ Activity Proof - 2 (For Sole Proprietorship Only)
3. ADDRESS* (Please see instruction C at the end)**3.1 Registered Office Address / Place of Business***

Proof of Address*

☐ Certificate of Incorporation / Formation

☐ Registration Certificate

☐ Other Document

Line 1*

Line 2

Line 3

City / Town / Village*

District*

PIN / Post Code*

State / U.T Code*

ISO 3166 Country Code*

3.2 Local Address in India (If different from Above)*

Line 1*

Line 2

Line 3

City / Town / Village*

District*

PIN / Post Code*

State / U.T Code*

ISO 3166 Country Code*

4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided* may be used) (Please refer instruction D at the end)

Tel. (Off)

FAX

Mobile

Email ID

Mobile

Email ID

5. NUMBER OF RELATED PERSONS

(Please refer instruction E at the end)

[illegible]

Signature / Thumb Impression of Authorised Person(s)

A Clarification / Guidelines for filing Entity Details section

1 Entity Constitution Type

A - Sole Proprietorship
B - Partnership Firm
C - HUF
D - Private Limited Company
E - Public Limited Company
F - Society
G - Association of Persons (AOP) / Body of Individuals (BOI)

H - Trust
I - Liquidator
J - Limited Liability Partnership
K - Artificial Liability Partnership
L - Public Sector Banks
M - Central/State Government Department or Agency
N - Section 8 Companies (Companies Act, 2013)

O - Artificial Jurisdical Person
P - International Organisation or Agency /Foreign Embassy or Consular Office etc.
Q - Not Categorized
R - Others
S - Foreign Portfolio Investors

2 In case of companies and partnerships, PAN of the entity is mandatory. In case of other entities, FORM 60 may be obtained if PAN is not available.

B Clarification / Guidelines for filling 'Proof of Identity[Pol]' section

- 1 Activity Proof - 1 and Activity Proof - 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
- 2 Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
- 3 Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
- 4 'Equivalent e-document' means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 5 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 6 KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.

C Clarification / Guidelines for filling 'Proof of Address [PoA]' section

- 1 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 2 Certified copy of document or equivalent e-document to be submitted.

D Clarification / Guidelines for filling 'Contact Details' section

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add '0' in the beginning of Mobile number.

E Clarification / Guidelines for filling 'Related Person Details' section

- 1 Personal Details
 - The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 Proof of Address [PoA]
 - PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
 - State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
 - In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
 - REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.
- 3 If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.
- 4 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

F Provision for capturing signature of multiple authorised persons is to be made by the RE.

List of two digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State/U.T	Code	State / U T	Code	State / U T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List of ISO 3166 two digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GO	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Island	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Island	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Moyotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SI
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NZ	Taiwan province of china	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hongkong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire Cote d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion Reunion	RE	Virgin Island, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao Curacao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy Saint Barthelemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French Part)	MF		

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

Important Instructions:

- A) Fields marked with "*" are mandatory fields.
 B) Tick "✓" wherever applicable.
 C) Please fill the date in DD-MM-YYYY format.
 D) Please fill the form in English and in BLOCK letters.
 E) KYC number of applicant is mandatory for update application.
 F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 G) List of two character ISO 3166 country codes is available at the end.
 H) Please read section wise detailed guidelines / instructions at the end.
 I) For particular section update, please tick (✓) 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 ☐ Delete

(To be filled by financial institution) KYC Number

(Mandatory for KYC update and delete request)

1. DETAILS OF RELATED PERSON* (Please refer instruction E at the end)

☐ Addition of Related Person

☐ Deletion of Related Person

☐ Update Related Person Details

KYC Number of Related Person (if available*)

If KYC number is available, only 'Related Person Type' & 'Name' is mandatory

Related Person Type*

- ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor
☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify)

DIN (Director Identification Number)

(Mandatory if Related Person Type is Director)

1.1 PERSONAL DETAILS (Please refer instruction E at the end)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name				
Mother Name				
Date of Birth*				
Gender*	<input type="checkbox"/> M- Male <input type="checkbox"/> F- Female <input type="checkbox"/> T-Transgender			
Nationality*	<input type="checkbox"/> IN- Indian <input type="checkbox"/> Others (ISO 3166 Country Code)			
PAN*	<input type="checkbox"/> Form 60 furnished			

1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction E at the end)

I 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
 II ☐ E-KYC Authentication
 III ☐ Offline verification of Aadhaar

☐ PHOTO*


Address

Line 1*				
Line 2				
Line 3				
District*		Pin / Post Code*	State / U.T Code*	ISO 3166 Country Code*

☐ 1.3. CURRENT ADDRESS DETAILS (Please refer instruction E and the end)

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

I 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
 II ☐ E-KYC Authentication
 II ☐ Offline verification of Aadhaar
 IV ☐ Deemed PoA
 V ☐ Self Declaration

Address

Line 1*																	
Line 2																	
Line 3																	
District*						Pin / Post Code*						City / Town / Village*					
												State / U.T Code*			ISO 3166 Country Code*		

1. 4 CONTACT DETAILS (All communication will be sent on provided mobile no. / Email-ID) (Please refer instruction D at the end)

Tel. (Off)						Tel. (Res)						Mobile					
Email ID																	

2. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I 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.
- I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : -- Place:

Signature /Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification
☐ Digital KYC process ☐ Equivalent e-document

KYC VERIFICATION CARRIED OUT BY

Date --
Emp. Name
Emp. Code
Emp. Designation
Emp. Branch

INSTITUTION DETAILS

Name
Code

Name of Applicant: _____

PAN of Applicant: _____

Sr. No.	PAN	Name	DIN (for Directors) /UID (for Others)	Residential / Registered Address	Mobile No & Email ID	Relationship with Applicant (i.e. Promoter/ Whole Time Directors etc.)	Whether Politically Exposed	Photograph
1							<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	Please affix recent passport size photograph
2							<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	Please affix recent passport size photograph
3							<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	Please affix recent passport size photograph
4							<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	Please affix recent passport size photograph

PEP: Politically Exposed Person

RPEP: Related to Politically Exposed Person



Name Signature of the Authorized Signatory(ies) (As per Mode of Operation)

Date: _____ (dd-mm-yyyy)

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Name of Applicant: _____

PAN of Applicant: _____

Sr. No.	PAN	Name	UID	Designation	Residential Address	Mobile No & Email ID	Whether Politically Exposed	Signature(s)	Photograph
1							<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO		Please affix recent passport size photograph and sign across it
2							<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO		Please affix recent passport size photograph and sign across it
3							<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO		Please affix recent passport size photograph and sign across it
4							<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO		Please affix recent passport size photograph and sign across it

Note: Any change in the list of Authorized Signatories shall be intimated immediately. Date: _____ (dd/mm/yyyy)

PEP: Politically Exposed Person

RPEP: Related to Politically Exposed Person

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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, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities 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 authorized 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 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.
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.
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): - List of documents admissible as Proof of Identity:

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID Card/ Driving License.
2. PAN card with photograph.
3. 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.
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 the new address in 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 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.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled 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.
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 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).
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	<ul style="list-style-type: none">• Copy of the balance sheets for the last 2 financial years (latest 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.• Authorized signatories list with specimen signatures.
Partnership firm	<ul style="list-style-type: none">• Copy of the balance sheets for the last 2 financial years (latest to be submitted every year).• Certificate of registration (for registered partnership firms only).• Copy of partnership deed.• Authorized signatories list with specimen signatures.• Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none">• Copy of the balance sheets for the last 2 financial years (latest 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	<ul style="list-style-type: none">• 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	<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.• Authorized signatories list with specimen signatures.
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.• Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none">• Copy of SEBI registration certificate.• Authorized signatories list with specimen signatures.
Army/ Government Bodies	<ul style="list-style-type: none">• Self-certification on letterhead.• Authorized signatories list with specimen signatures.
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 authorized to act as authorized signatories with specimen signatures.• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

A. BANK ACCOUNT(S) DETAILS

Bank Name	Branch address	Bank account no.	Account Type: Saving/Current/ Others-In case of NRI/NRE/NRO	MICR Number	IFSC code

(In case of more Bank Accounts please provide details in separate Annexure)





B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary name	DP ID	Beneficiary ID (BO ID)

(In case of more Depository Accounts please provide details in separate Annexure)

C. TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Exchanges	NSE & BSE	NSE	
All Segments	Cash	F&O	Currency
			

If you do not wish to trade in any of segments, please mention here _____.

D. PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years: _____

E. OTHER DETAILS

- Gross Annual Income Details (please specify):** Income Range per annum:
☐ Below Rs 1 Lac / ☐ 1-5 Lac / ☐ 5-10 Lac / ☐ 10-25 Lac / ☐ 25 Lac-1 crore / ☐ >1 crore
- Net-worth as on** (date) _____ (dd-mm-yyyy): _____
 (*Net worth should not be older than 1 year)
- Any other information:** _____

F. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

- If client is dealing through the sub-broker, provide the following details:

Sub-broker's Name: _____

SEBI Registration number: _____

Registered office address: _____

Ph: _____ Fax: _____ Website: _____

- Whether dealing with any other stock broker/sub-broker (if in case dealing with multiple stock brokers/sub-brokers, provide details of all in a separate annexure)

Name of stock broker: _____

Name of Sub-Broker, if any: _____

Client Code: _____ Exchange: _____

Details of disputes/dues pending from/to such stock broker/sub-broker: _____

G. ADDITIONAL DETAILS


- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) : **Physical Contract Note**
Specify your Email id, if applicable : **N.A.**
- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): **N.A.**
- Number of years of Investment/Trading Experience: _____
- In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of **persons authorized to deal in securities on behalf of company/firm/others**: **Refer Annexure II**
- Any other information: _____

H. INTRODUCER DETAILS (optional)

Name of the Introducer: _____
(Surname) (Name) (Middle Name)

Status of the Introducer: ☐Sub-broker / ☐Remisier / ☐Authorized Person / ☐Existing Client/ ☐Others, please specify

Address and phone no. of the Introducer: _____

Signature of the Introducer:  _____

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 confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
- I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website i.e. **www.indsec.co.in**

 _____

 _____

Place _____

Date _____

 _____

Signature of Client/ (all) Authorized Signatory (ies)

FOR OFFICE USE ONLY

UCC Code allotted to the Client:

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents.

I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

For Indsec Securities and Finance Limited

Signature of the Authorised Signatory

Seal/Stamp of the stock broker

Date _____

INSTRUCTIONS/ CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list:

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

**In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.*

- All Clients are required to provide Copy of ITR Acknowledgement and/or Copy of Annual Accounts for last 2 years at the time of Account Opening and on a yearly basis thereafter.
- 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 master or recent holding statement issued by DP bearing name of the client.
- For non-individuals:**
 - Form need to be initialized by all the authorized signatories.
 - Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

DISCLOSURE OF PROPRIETARY TRADING BY BROKER TO CLIENTS

We refer to circular No. SEBI/MRD/SE/Cir-42/2003 dated 19th November 2003 issued by Securities and Exchange Board of India, in connection with the above and in terms of the said circular we disclose that we undertake proprietary trading, arbitrage as well as investment business on our account in addition to client based business.

For Indsec Securities & Finance Limited

Authorised Signatory

Date: _____ (dd/mm/yyyy)



Authorised Signatory with Stamp

TARIFF SHEET (STATEMENT OF CHARGES)

1) Brokerage Rates*

i. Cash Market (Normal Stock)

a. Delivery _____ b. Jobbing (One side) _____

ii. Cash Market (Penny Stock–Market Value < Rs.10/-)

a. Delivery _____

iii. Cash Market (Auction Trade)

a. Demat Account with us 1% b. Demat Account with other DP 2%

iv. F & O – Open Position

v. F & O – Jobbing

vi. F & O – Options

* Brokerage Rates at any point of time will not exceed the maximum limit as prescribed by SEBI/ Exchanges from time to time

2) Statutory Charges

Goods & Services Tax (GST), Securities Transaction Tax, Stamp Duty, Exchange Turnover Charges, any other statutory and regulatory dues will be charged extra at the rates prevailing from time to time as prescribed by Government/ SEBI/ Exchanges;

3) Delayed payment charges – 18% p.a. for a period beyond T+2 days

For Indsec Securities & Finance Limited

Authorised Signatory

Date: _____ (dd/mm/yyyy)



Authorised Signatory with Stamp

RUNNING ACCOUNT AUTHORIZATION (VOLUNTARY CLAUSES)

We are dealing through you as a client in **Capital Market** and/or **Future & Option segment** and/or **Currency Derivative segment** in order to facilitate ease of operations and upfront requirement of margin for trade, We authorize you as under:

1. We request you to maintain running balance in my account & retain the credit balance in any of our account and to use the unused funds towards our margin/ pay-in /other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation, unless we instruct you otherwise.
2. We request you to settle my fund once in every calendar *(Strike out whichever is not applicable)*:

Month

Quarter  _____

Or such other higher period as allowed by SEBI/Stock Exchange from time to time.

3. In case we have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by SEBI/ Exchanges.
4. We confirm you that we will bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.
5. We confirm you that we can revoke the above mentioned running account authorization at any time.

Thanking you

Date: _____ (dd/mm/yyyy)



Authorised Signatory with Stamp

DECLARATIONS / DISCLOSURES REQUIRED UNDER PMLA

1) If NRI or FN,

a. Whether holding prominent public function in Foreign Country? If yes, then explain the type of function performed

b. Whether any of your close relative is occupying a prominent Public Function in a Foreign Country? If yes, then please provide details _____

2) List of companies in which not allowed to trade (*attach a separate list if required*):

a)	b)
c)	d)
e)	f)

3) I am interested directly/ through my relative(s) in the following body corporate (*attach a separate list if required*):

Name of the body corporate	Nature of Interest	Address of Corporate / ISIN

Date: _____ (dd/mm/yyyy)



Client's Signature

DECLARATION

TO WHOMSOEVER IT MAY CONCERN

I Mr. / Ms. _____, hereby declare that all trades entered by me with **INDSEC SECURITIES AND FINANCE LTD.** on BSE / NSE are for my/our corporate/personal account.

I confirm I do not operate for any client and no contracts are issued by me/us.

Date: _____ (dd/mm/yyyy)



Client's Signature

SELF-CERTIFICATION - FATCA/CRS Declaration Form

Name of Applicant: _____ **PAN of Applicant:** _____

Part I :	
A.	Is the account holder a Government Body / International Organization / Listed Company on Recognized Stock Exchange <input type="checkbox"/> Yes <input type="checkbox"/> No <i>If "No", then proceed to point B</i> <i>If "yes" please specify name of stock exchange(s), if you are listed company _____ and proceed to sign the declaration</i>
B.	Is the account holder (Entity/Financial Institution) a tax resident of any country other than India <input type="checkbox"/> Yes <input type="checkbox"/> No <i>If "yes", then please fill of FATCA/ CRS Self Certification Form</i> <i>If "No", proceed to point C</i>
C.	Is the account holder an Indian Financial Institution <input type="checkbox"/> Yes <input type="checkbox"/> No <i>If "yes", please provide your GIIN: _____</i> <i>If "No", proceed to point D</i>
D.	Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen <input type="checkbox"/> Yes <input type="checkbox"/> No <i>If "yes", then please fill of FATCA/ CRS Self Certification Form</i> <i>If "No", proceed to sign the declaration</i>

Customer Declaration:

- (i) Under penalty of perjury, we certify that:
1. The applicant is –
 - a. an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S.
 - b. an estate the income of which is subject to U.S. federal income tax regardless of the source thereof.
(This clause is applicable only if the account holder is identified as a US person)

OR
 2. The applicant is an applicant taxable as a tax resident under the laws of country outside India. (This clause is applicable only if the account holder is a tax resident outside of India and is not a US person)

OR

 3. The applicant is neither a US person nor a resident for Tax purpose in any country other than India.
(Tick whichever is applicable out of 1,2,3 above)
- (ii) We understand that Indsec Securities and Finance Limited ("ISFL") is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. ISFL is not able to offer any tax advice on FATCA/CRS or its impact on the applicant. We shall seek advice from professional tax advisor for any tax questions.
- (iii) We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- (iv) We agree that as may be required by domestic regulators/tax authorities, ISFL may also be required to report, reportable details to CDBT or close or suspend my account.
- (v) We certify that I/we provide the information on this form and to the best of our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Signature:			
Name:			
Designation			
Date (DD/MM/YYYY) :			

(To be signed as per Mode of Operations & Company Seal to be affixed)

Part II : SELF-CERTIFICATION FORM (ENTITY) FOR FOREIGN ACCOUNT TAX COMPLIANCE ACT ("FATCA") AND COMMON REPORTING STANDARDS (CRS)

Section 1: Entity information

Name of Entity										
Entity Constitution Type	<input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Partnership Firm <input type="checkbox"/> HUF <input type="checkbox"/> Private Limited Company <input type="checkbox"/> Public Limited Company <input type="checkbox"/> Society <input type="checkbox"/> AOP/BOI <input type="checkbox"/> Trust <input type="checkbox"/> Liquidator <input type="checkbox"/> Limited Liability Partnership <input type="checkbox"/> Artificial Juridical Person <input type="checkbox"/> Other (Specify) _____									
Entity Identification type	<input type="checkbox"/> TIN <input type="checkbox"/> Company Identification Number <input type="checkbox"/> US GIIN <input type="checkbox"/> Global Entity Identification Number (EIN) <input type="checkbox"/> Other (Specify) _____									
Entity Identification No. of the type selected above*										
Entity Identification issuing Country										
Country of Residence for tax purpose										

(* duly-attested copy(ies) to be submitted)

Section 2: Classification of Non-Financial Entities

We (on behalf of the entity) certify that the entity is:

A.	An entity incorporated and taxable in US (Specified US person)								<input type="checkbox"/> Yes <input type="checkbox"/> No											
	If "Yes", please provide your U.S. Taxpayer Identification Number (TIN)				<div>TIN</div> <table border="1"> <tr> <td></td><td></td><td>-</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table>								-							
		-																		
B.	An entity incorporated and taxable outside of India (other than US)								<input type="checkbox"/> Yes <input type="checkbox"/> No											
	If "Yes", please provide your TIN or its functional equivalent				<div>TIN</div> <table border="1"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table>															
Provide your TIN issuing country																				
C.	Please provide the following additional details if you are not a Specified US Person : FATCA / CRS classification for Non-financial entities (NFE) <input type="checkbox"/> Active NFE <input type="checkbox"/> Passive NFE without any controlling Person <input type="checkbox"/> Passive NFE with Controlling Person(s): US <input type="checkbox"/> Others <input type="checkbox"/> <input type="checkbox"/> Direct Reporting NFE (Choose this if any entity has registered itself for direct reporting for FATCA and thus ISFL is not required to do the reporting) Please provide GIIN number: _____																			

Section 3: Classification of financial institutions (including Banks)

I/We (on behalf of the entity) certify that the entity is:

A.	An entity is a U.S. financial institution	<input type="checkbox"/> Yes <input type="checkbox"/> No														
If "Yes", <div style="display: flex; justify-content: space-between; align-items: flex-start; margin-top: 10px;"> <div style="width: 45%;"> <p>(i) please provide your Taxpayer Identification Number (TIN)</p> <div style="border: 1px solid black; width: 100%; height: 20px; margin-top: 5px;"></div> </div> <div style="width: 50%;"> <div style="border: 1px solid black; padding: 2px; text-align: center; font-size: 0.8em;">TIN</div> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 2px;"> <tr> <td style="width: 10%; height: 20px;"></td> <td style="width: 10%;"></td> <td style="width: 10%; text-align: center;">-</td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> </tr> </table> </div> </div> <p>(ii) Please provide GIIN, if any</p> <div style="border-bottom: 1px solid black; width: 80%; margin-top: 5px;"></div>					-											
		-														
If "No", please tick one of the following boxes below:																
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 55%;">FATCA classification</th> <th style="width: 45%;">Please provide the Global Intermediary Identification number (GIIN) or other information where</th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/> Reporting Foreign Financial Institution in a Model 1 Inter-Governmental Agreement ("IGA") Jurisdiction</td> <td></td> </tr> <tr> <td><input type="checkbox"/> Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction</td> <td></td> </tr> <tr> <td><input type="checkbox"/> Participating FFI in a Non-IGA Jurisdiction</td> <td></td> </tr> <tr> <td><input type="checkbox"/> Non-reporting FI</td> <td></td> </tr> <tr> <td><input type="checkbox"/> Non-Participating FI</td> <td></td> </tr> <tr> <td><input type="checkbox"/> Owner-Documented FI with specified US owners</td> <td></td> </tr> </tbody> </table>			FATCA classification	Please provide the Global Intermediary Identification number (GIIN) or other information where	<input type="checkbox"/> Reporting Foreign Financial Institution in a Model 1 Inter-Governmental Agreement ("IGA") Jurisdiction		<input type="checkbox"/> Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction		<input type="checkbox"/> Participating FFI in a Non-IGA Jurisdiction		<input type="checkbox"/> Non-reporting FI		<input type="checkbox"/> Non-Participating FI		<input type="checkbox"/> Owner-Documented FI with specified US owners	
FATCA classification	Please provide the Global Intermediary Identification number (GIIN) or other information where															
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<input type="checkbox"/> Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction																
<input type="checkbox"/> Participating FFI in a Non-IGA Jurisdiction																
<input type="checkbox"/> Non-reporting FI																
<input type="checkbox"/> Non-Participating FI																
<input type="checkbox"/> Owner-Documented FI with specified US owners																

Section 4: Controlling person declaration

1 – Controlling Person Type:

Code	Particulars
C01	CP of legal person – ownership
C02	CP of legal person – other means
C03	CP of legal person – senior managing official
C04	CP of legal arrangement – trust-settlor
C05	CP of legal arrangement – trust-trustee
C06	CP of legal arrangement – trust-protector
C07	CP of legal arrangement – trust-beneficiary

Code	Particulars
C08	CP of legal arrangement – trust-other
C09	CP of legal arrangement – Other-settlor equivalent
C10	CP of legal arrangement – Other-trustee equivalent
C11	CP of legal arrangement – Other-protector equivalent
C12	CP of legal arrangement – Other-beneficiary equivalent
C13	CP of legal arrangement – Other-other equivalent

2 – Identification Type:

Code	Particulars
A	Passport
B	Election Id Card
C	PAN Card
D	Govt. Issued ID Card

Code	Particulars
E	Driving License
G	UIDAI Letter
H	NREGA job card
Z	Others

3 – Occupation Type:

Code	Particulars
S	Service
B	Business
O	Others

If you are classified as “Passive NFE with Controlling Person(s)” or “Owner documented FFI” or “Specified US person”, please provide the following details:

SN	Name of controlling person	Correspondence Address	Country of residence for tax purpose	TIN	TIN issuing country	Controlling person type (#1)
1						
2						
3						
4						
5						

Details	Controlling Person 1	Controlling Person 2	Controlling Person 3	Controlling Person 4	Controlling Person 5
Identification Type (#2)					
Identification Number <i>(duly-attested copy to be submitted)</i>					
Occupation Type (#3)					
Occupation					
Birth Date (DD/MM/YYYY)					
Nationality					
Country of Birth					

Section 5: Declaration

- (i) Under penalty of perjury, we certify that:
1. The number shown on this form is the correct taxpayer identification number of the applicant, and
 2. The applicant is –
 - a. an applicant taxable as a US person under the laws of the United States of America (“U.S.”) or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S.,
 - b. an estate the income of which is subject to U.S. federal income tax regardless of the source thereof,
- OR**
3. The applicant is an applicant taxable as a tax resident under the laws of country outside India.
- (ii) We understand that ISFL is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. ISFL is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. We shall seek advice from professional tax advisor for any tax questions.
- (iii) We agree to submit a new form within 30 days if any information or certification on this form gets changed.
- (iv) We agree that as may be required by domestic regulators/tax authorities, ISFL may also be required to report, reportable details to CDBT or close or suspend our account.
- (v) We certify that we provide the information on this form and to the best of our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

☐ We hereby confirm that details provided are accurate, correct and complete

Signature:

Name:

Designation:

Date (DD/MM/YYYY) :

(To be signed as per Mode of Operations & Company Seal to be affixed)

Note:

For more details/ clarifications, references can be made to “Guidance note on implementation of reporting requirements under rules 114F to 114H of the Income-tax Rules, 1962” available on Income Tax India website (Link: <http://incometaxindia.gov.in/news/guidance-note-for-fatca-crts-31-12-2015.pdf>)

Request for Aadhaar Linking in Broking / Demat Account

Instructions

- a) This form should be submitted separately for each authorized signatory (PAN Wise)
- b) Please fill data in CAPITAL LETTERS
- c) While providing Aadhaar card copy, please indicate the purpose as "Provided for linking in Broking/ Demat Account", sign on the copy with date
- d) Submission of this form does not warranty linking of Aadhaar Number in your accounts. It is subject to authentication with UIDAI database & other required validations. Please ensure your mobile number is updated in your Aadhaar database

To,

Indsec Securities and Finance Limited (ISFL)

301/302, 215 Atrium, A Wing, Andheri Kurla Road

Chakala, Andheri (East), Mumbai – 400093

1. PAN: _____

I request ISFL to link my below given Aadhaar Number in all my broking / demat accounts serviced by ISFL (where I am signatory in individual capacity or is appointed as authorized signatory).

2. Name: _____

Aadhaar No.: _____

Email ID: _____

Mobile No.: _____

Enclosed: ☐ Self-attested copy of Aadhaar Card (OR)


☐ Letter issued by UIDAI containing Aadhaar Enrolment No. (wherever physical Aadhaar card not received / official Aadhaar card number is not issued)

Consent & Signature

I hereby provide my consent to Indsec Securities and Finance Limited (ISFL) for the following:

- A. For validating my Aadhaar Number with UIDAI through Agencies Approved by UIDAI.
- B. For updating/linking my Aadhaar number based on the PAN given in all my/our accounts maintained with ISFL for KYC & other related due diligence purpose in line with PMLA requirements and Account enrichment purpose.
- C. I authorize ISFL to download / share my Aadhaar & associated demographic information (including any updated information) with other SEBI Registered Intermediaries like KRAs, CERSAI etc. to facilitate single submission / update across all my/ our accounts associated with such intermediaries based on PAN or other key information available with such intermediaries.
- D. Further declare that this consent will remain valid for updation in all my / our new accounts opened by ISFL.

[Signature / Thumb
Impression]

 Signature / Thumb Impression