N

Know Your Client (KYC) Application Form (For Non-Individuals Only)



Place for Intermediary Logo

Application No. :

Name of the Organization

Signature Date

Please fill in ENGLISH and in BLOCK LETTERS

(Attested) True copies of documents received

Contact Details	. Identity D																										
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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.
- Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- 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 the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository participant or Mutual Fund, for 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/Multinational 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 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.)

- In case of transactions undertaken on behalf of Central Government and/or State Governmentand by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
- 2. Investors residing in the state of Sikkim.
- 3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- 4. SIP of Mutual Funds upto Rs 50,000/- p.a.
- 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:

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

Types of entity	Documentary requirements
Corporate	 Copy of the balance sheets for the last 2 financial years (to be submitted every year) Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD(to be submitted every year) Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations Photograph, POI, POA, PAN of individual promoters holding control — either directly or indirectly Copies of the Memorandum and Articles of Association and certificate of incorporation Copy of the Board Resolution for investment in securities market Authorised signatories list with specimen signatures
Partnership firm	 Copy of the balance sheets for the last 2 financial years (to be submitted every year) Certificate of registration (for registered partnership firms only) Copy of partnership deed Authorised signatories list with specimen signatures Photograph, POI, POA, PAN of Partners
Trust	 Copy of the balance sheets for the last 2 financial years (to be submitted every year) Certificate of registration (for registered trust only).Copy of Trust deed List of trustees certified by managing trustees/CA Photograph, POI, POA, PAN of Trustees
HUF	PAN of HUF Deed of declaration of HUF/List of coparceners Bank pass-book/bank statement in the name of HUF Photograph, POI, POA, PAN of Karta
Unincorporated Association or a body of individuals	 Proof of Existence/Constitution document Resolution of the managing body & Power of Attorney granted to transact business on its behalf Authorized signatories list with specimen signatures
Banks/Institutional Investors	 Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years Authorized signatories list with specimen signatures
Foreign Institutional Investors (FII)	 Copy of SEBI registration certificate Authorized signatories list with specimen signatures
Army/Government Bodies	Self-certification on letterhead Authorized signatories list with specimen signatures
Registered Society	 Copy of Registration Certificate under Societies Registration Act List of Managing Committee members Committee resolution for persons authorised to act as authorised signatories with specimen signatures True copy of Society Rules and Bye Laws certified by the Chairman/Secretary
	Please Submit the KYC Documents on A4 Size Paper Only

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Detai	Details of Promoters/Partners/Karta/Trustees		ctors forming a par	and whole time directors torming a part of Know Your Cilent (KYC) Application Form tor Non-Individua	pplication Form	for Non-Individua
Name of A	Name of Applicant			PAN of the Applicant	Applicant	
S. No.	PAN	Name	DIN(For Directors)/ Aadhaar Number (For Others)	Residential/ Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph
Name & Signat	Name & Signature of the Authorised Signatory(ies)		Date Date			

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

Important Instructions:

- A) Fields marked with '* are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (\checkmark) 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 inst	itution) KYC Number (Mandatory for KYC update request)								
	Account Type* Normal Simplified (for low risk customers) Small								
☐ 1. PERSONAL DETAILS (Please refer instruction A at the end)									
	Prefix First Name Middle Name Last Name								
☐ Name* (Same as ID prod									
Maiden Name (If any*)									
Father / Spouse Name*									
Mother Name*									
Date of Birth*	D D - M M - Y Y Y Y P								
Gender*	☐ M- Male ☐ F- Female ☐ T-Transgender								
Marital Status*	☐ Married ☐ Unmarried ☐ Others								
Citizenship*	□ IN- Indian □ Others (ISO 3166 Country Code □)								
Residential Status*	☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National ☐ Person of Indian Origin								
Occupation Type*	□ S-Service (□ Private Sector □ Public Sector □ Government Sector)								
	□ O-Others (□ Professional □ Self Employed □ Retired □ Housewife □ Student) □ B-Business								
	☐ X- Not Categorised								
☐ 2. TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)									
ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)									
	of Jurisdiction of Residence*								
Tax Identification Number	or equivalent (If issued by jurisdiction)*								
Place / City of Birth*	ISO 3166 Country Code of Birth*								
3. PROOF OF IDEN	TITY (Pol)* (Please refer instruction C at the end)								
(Certified copy of any one of	the following Proof of Identity[Pol] needs to be submitted)								
A- Passport Number	Passport Expiry Date								
☐ B- Voter ID Card									
C- PAN Card									
☐ D- Driving Licence	Driving Licence Expiry Date DD - MM - Y Y Y Y								
E- UID (Aadhaar)									
☐ F- NREGA Job Card									
` •	ent notified by the central government)								
S- Simplified Measures Account - Document Type code									
4. PROOF OF ADD									
	ANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)								
—	the following Proof of Address [PoA] needs to be submitted)								
	Residential / Business Registered Office Unspecified								
	Passport □ Driving Licence □ UID (Aadhaar) ### John Street □ UID (Aadhaar) ##################################								
	Simplified Measures Account - Document Type code								
Address									
Line 1*									
Line 3	City / Town / Village*								
District*	Pin / Post Code* State / U.T Code* ISO 3166 Country Code*								

4.2 CORF	RESPON	IDENC	CE / LC	DCAL A	DDRI	ESS D	ETAIL	.S * (F	Pleas	e see	inst	ructio	n E a	t th	e end)															
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District*																															
4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked) Same as Current / Permanent / Overseas Address details																															
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6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end) Addition of Related Person. Deletion of Related Person. (If available*)																															
□ Addition of Related Person □ Deletion of Related Person KYC Number of Related Person (if available*) □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □																															
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INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

- 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 per the below mentioned list.
- 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.
- 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 the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/ Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- 11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity(POI): List of documents admissible as Proof of Identity:

- PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
- Unique Identification Number (UID) (Aadhaar)/Passport/Voter IDcard/Driving license.
- Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

 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
- Self-declaration by High Court and Supreme Court judges, giving ing the new address in respect of their own accounts.
- Proof of address issued by any of the following: Bank Managers
 of Scheduled Commercial Banks/Scheduled Co-Operative
 Bank/Multinationa Foreign Banks/Gazetted Officer/Notary
 public/Elected representatives to the Legislative Assembly/
 Parliament/Documents issued by any Govt. or Statutory
 Authority.
- Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- For FII/sub account, Power of Attorney given by FII/subaccount to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse may be accepted.

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.
- 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.
- UN entities/multilateral agencies exempt from paying taxes/ filing tax returns in India.

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.



Date: ____/___

KYC MODIFICATION/ADDITION & ACCOUNT REACTIVATION REQUEST FORM

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

	Broking	Depository (NSDL)	/(CDSL)		Both					
	Drowing	Depository (Nobel)	, (0002)		2011		*Mandatory Fields			
Update my KYC details as	ner helow R		ındate KYC	Detai	ls F	e-activ	vate account with no change in KYC			
Update my KYC details as per below Re-activate my account and update KYC Details Re-activate account with no change in KYC Stewart & Mackertich Wealth Management Ltd. Lee Road, Vaibhav, Kolkata – 700020 We request you to make the following Additions / Deletion / Modifications to my/our account in your records. Account details are as under:										
* CDSL DP ID: 12016000	NSDL DP ID: IN30)1629* Trading	g Account(U	CC) _		Client	Type Individual/Non-Individual			
*Please tick Request & Category										
Request For		Category	Exis	ting [Details		New Details			
☐ Modification	Corr Perr Perr Signatu Name Accour Aadhaa	e / Landline Number ure Change in Trading nt ar pls. specify								
Request For		Category	Exis	ting [Details		New Details			
□ Addition□ Modification	□ Add	Details I with Default I without Default Details pls. specify pls. specify								
I/We wish to update the above	changes in KRA / Der									
 Additional Information Re 1 Lac / 1-5 Lac /5-10 Lac / year) Occupation (please tick an 	1 Lac / 1-5 Lac /5-10 Lac / 10-25 Lac / >25 Lacs or Net-worth as on () (Net worth should not be older than 1 year)									
Retired/ Housewife/ Stude 3. Please tick, if applicable: P		son (PFP)/ Related to a Poli	itically Expo	sed P	erson (PFP)	(Accor	unt Type – Individual)			
4. Please tick, if applicable, for Person (PEP)/ Related to a	Please tick, if applicable, for any of your Authorized Signatories/Promoters/Partners/Karta/Trustees/Whole Time Directors: Politically Exposed Person (PEP)/ Related to a Politically Exposed Person (PEP) (Account Type – Non - Individual)									
Net-worth as on (date)	(dd/mm/yy	yy):((*Net worth	shou	ıld not be ol	der tha	an 1 year) (Account Type – Non -			



KYC MODIFICATION/ADDITION & ACCOUNT REACTIVATION REQUEST FORM

Ownership Declaration - Contact Detail (s) A. E-mail- I hereby declare that the E-mail ID given by me belongs to Me or my family In case of family, the owner of E-mail ID is my Spouse Dependent Children Dependent Parent B. Mobile- I hereby declare that the Mobile given by me belongs to Me or my family in case of family, the owner of Mobile is my Spouse Dependent Children Dependent Parent.											
Declaration for Electronic Communication: Yes No I/we wish to receive all future communication to me including but not limited to Contract note, Bills and Statement of Accounts, Demat Transaction/ Holding Statements to be sent to the above mentioned E-mail ID											
		DECLARATION									
you of any change	es therein, immediately. In case any o ve may be held liable for it. I/we her	of the above information is found to be eby give consent to receive all comm	e false or untru	ge and belief and I/we undertake to inform e or misleading or misrepresenting, I am/we Stewart & Mackertich Wealth Management							
	First / Sole Holder	Second Holder		Third Holder							
Name											
PAN											
Signature *											
We have given/se	FOR OFFICE USE ONLY We have given/sent the client a copy of the Client Master upon Updation/ Modification of details requested by the above Client.										
	e of Authorized Signatory			Seal/Stamp of							
Date				Stewart & Mackertich Wealth							
Place		Signature of the Authorized Sig	natory	Management Limited							
		Name of	Employee	Signature of							
UCC of Client:		Employee	Code	Employee							
	rified With Originals & In-Person one by Relationship Manager										
Processed & U	pdated By:										
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INSTRUCTIONS

- Copy of cancelled Cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
- Demat Client Master or recent Holding Statement issued by DP bearing name of the client.
- Refer the supporting documents mentioned in "Instruction checklist for filing KYC Form and for updating the changes in CKYC/ KRA / Demat / Back Office System should be submitted.
- Income Proof: Copy of ITR Acknowledgement / Net-worth Certificate/ In case of salary income Salary Slip, Copy of Form 16 / Self declaration with relevant supporting documents/ Any other relevant documents substantiating ownership of assets.
- ❖ Aadhaar Card to be submitted for Aadhaar Details updation
- Beneficial Ownership Details if any for Non-Individual Client (Corporate/ Partnership Firm/Trust/ Unincorporated Association/Body of Individuals)