# **Know Your Client (KYC) Application Form (For Individuals Only)**



CVL FOCUS SHARES & SECURITIES PVT. LTD. Please fill in ENGLISH and in BLOCK LETTERS with black ink

A. Identity Details (please see guidelines over 1. Name of Applicant (As appearing in supporting identification)	•			
Name				
				PHOTOGRAPH
Father's/Spouse Name				
		-1.1		Please affix
2. Gender  Male  Female B. Marital status	Single Married C. Date of	Birth d d / m	m / y y y y	the recent passpo
3. Nationality Indian Other (Please specify)				size photograph a
<b>4. Status</b> Please tick (✓) ☐ Resident Individual ☐ Non F	Resident 🗌 Foreign National (Pass	oort Copy Mandatory fo	or NRIs & Foreign Nationals)	sign across it
5. PAN Pleas	se enclose a duly attested copy of yo	ır PAN Card		
Unique Identification Number (UID)/Aadhaar, if any:	ic chelose a daily attested copy of yo	ar 17414 Curu		
6. Proof of Identity submitted for PAN exempt cases	Please Tick (✓)			
☐ UID (Aadhaar) ☐ Passport ☐ Voter ID ☐ Drivi				(Please see guideline 'D
B. Address Details (please see guidelines over				
1. Address for Correspondence	erieai)			
City / Town / Village			Pin C	ode
State		Country	Time	
2. Contact Details				
Tel. (Off.) (ISD) (STD)		Tel. (Res.) (ISD) (S	TD)	
Mobile (ISD) (STD)		Fax (ISD) (S	TD)	
E-Mail Id.				
City / Town / Village  State  5. Proof of address to be provided by Applicant. P Passport Ration Card Registered Lease/Sal *Latest Telephone Bill (only Land Line) *Latest*	le Agreement of Residence □Dr t Electricity Bill □*Latest Gas Bill	ving License □Vote □Others (Please spe	r Identity Card □*Latest E cify)	st the document atta
*Not more than 3 Months old. Validity/Expiry date of		d / m m / y	у у у	
C. Other Details (please see guidelines overl	eaf)			
<b>1. Gross Annual Income Details</b> (Please tick (		ac 🗌 5-10 Lac	☐ 10-25 Lac ☐ >	25 Lacs
	OR	41		
Net-worth in ₹. (*Net worth should not be olde	er than T year)	as on (date)	d / m m / y y	у у
<b>2. Occupation</b> (Please tick(✓) any one and give	brief details):			
☐ Private Sector Service ☐ Public Sector		☐ Business ☐ P	rofessional 🗆 Agricu	ulturist □Retired
☐ Housewife ☐ Student ☐ Forex Deale	er 🗌 Others (Please specify	')		
<b>3. Please tick, if applicable:</b> ☐ Politically Ex	•	a Politically Expos	ed Person	
For definition of PEP, please refer guideline over	erleaf			
4. Any other information:				
DECI	LARATION		SIGNATU	JRE OF APPLICA
hereby declare that the details furnished above are tru undertake to inform you of any changes therein, imn false or untrue or misleading or misrepresenting, I amA	nediately. In case any of the abo	e information is fou	elief and	
Place:	Date:			
FOR OFFIC	E USE ONLY		IPV Done□ on □	d <b>/</b> m m <b>/</b> y y
AMC/Intermediary name <b>OR</b> code	Seal/Stamp of the intermed	liary should contain		intermediary should cor
	Staff Nan	ne		Staff Name
(Originals Verified) Self Certified Document copies received				Designation
(Attested) True copies of documents received	Name of the Org		Name o	of the Organization
Main Intermediary	Signatur	9		Signature
TYTOTT I ITCHINGUIGIY	Date			Date

# 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.
- 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.
- 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/PIOCard/OCICard 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. 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.
- 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.
  - 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.
  - 7. 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.)

- 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:

- 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.



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



Application No.

Please fill in ENGLISH and in BLOCK LETTERS with black ink

CVL FOCUS SHARES & SECURITIES PVT. LTD.

1. Name of Applicant (Please write complete name as per Certificate of Incorporation / F	segistration: leaving one hox blank between 2	words. Please do not abbreviate the Name'
The state of the s	agistration, rearing one box brain between 2	
		PULLETOSTA
2. Date of Incorporation d d / m m / y y y y  Place of Incorporation		PHOTOGRAPH
		Please affix
3. Registration No. (e.g. CIN)		the recent passpo
Date of commencement of business ddd/mm//yyyyy		size photograph o Authorised Signato
,	rate Partnership Trust / Chariti Non-Government Organisation Others (Please specify)	ies / NGOs and sign across in
5. Permanent Account Number (PAN) (MANDATORY)	Please enclose a duly attes	sted copy of your PAN Card
B. Address Details (please see guidelines overleaf)		
1. Address for Correspondence		
City True Adless		Destal Calls
City / Town / Village State	Country	Postal Code
2. Contact Details		
Tel. (Off.) (ISD) (STD) Mobile (ISD) (STD)	Tel. (Res.) (ISD) (STD) Fax (ISD) (STD)	
E-Mail ld.	Tax (ISD) (STD)	
City / Town / Village State  5. Proof of address to be provided by Applicant. Please submit ANY ONE    *Latest Telephone Bill (only Land Line)   *Latest Electricity Bill   *Latest Any other proof of address document (as listed overleaf). (Please specify)  *Not more than 3 Months old. Validity/Expiry date of proof of address submitted	t Bank Account Statement Registered	
C. New Other Details (please see guidelines overleaf)		
1. Gross Annual Income Details Please tick (✓): ☐ Below 1 Lac ☐ 1-5		
2. Net-worth in ₹. (*Net worth should not be older than 1 year)	as on (date) d	/ m m / y y y y
3. Name, PAN, DIN/UID, residential address and photographs of I (Please use the Annexure to fill in the details)	Promoters/Partners/Karta/Trustees	s/whole time directors
4. Is the entity involved/providing any of the following services ☐ Y - For Foreign Exchange / Money Changer Services ☐ YES ☐ NO — Ga - Money Lending / Pawning ☐ YES ☐ NO		g. casinos, betting syndicates)
5. Any other information:		
DECLARATION		
	NAME & SIGNATURE(S)	
orrect to the best of my/our knowledge and belief and I/we undertake on inform you of any changes therein, immediately. In case any of the	OF AUTHORISED	
orrect to the best of my/our knowledge and belief and I/we undertake on inform you of any changes therein, immediately. In case any of the bove information is found to be false or untrue or misleading or	OF AUTHORISED PERSON(S)	
orrect to the best of my/our knowledge and belief and I/we undertake on inform you of any changes therein, immediately. In case any of the bove information is found to be false or untrue or misleading or		
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	PERSON(S)	Date:

(Originals Verified) Self Certified Document copies received

 $\hfill \square$  (Attested) True copies of documents received

Designation

Name of the Organization

Signature

Date

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- 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.
- 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.
- 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:

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  applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
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- 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.)
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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-dedaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinationa Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
- Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
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(\*Sufficient documentary evidence in support of such claims to be collected.)

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- $2. \quad Investors \, residing \, in \, the \, state \, of \, Sikkim.$
- 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.
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## E. List of people authorized to attest the documents:

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- In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

# F. Incase of Non-Individuals, additional documents tobe obtained from non-individuals, over & above the POI & POA, 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, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations</li> <li>Photograph, POI, POA, 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</li> <li>Photograph, POI, POA, 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).Copy of Trust deed</li> <li>List of trustees certified by managing trustees/CA</li> <li>Photograph, POI, POA, 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, POI, POA, 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>Authorized signatories list with specimen signatures</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>Authorized signatories list with specimen signatures</li> </ul>
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	<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</li> <li>True copy of Society Rules and Bye Laws certified by the Chairman/Secretary</li> </ul>

# Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

	Photograph					
Name of Applicant	Whether Politically Exposed	□ PEP □ RPEP □ NO				
	Relationship with Applicant (i.e. promoters, whole time directors etc.)					
	Residential / Registered Address					
	DIN (For Directors) / UID (For Others)					
	Name					
	PAN					
Name of	Sr. No.					



Name & Signature of the Authorised Signatory(ies)