

Name: \_\_\_\_\_

**CHECKLIST FOR INDIVIDUAL CLIENTS (MANDATORY)**

- 1) Photograph duly signed across
- 2) Landline Telephone No. (with STD Code), Mobile No And Email Id req.
- 3) Please tick occupation any one and give brief details.
- 4) Self attested copy of PAN card is mandatory.
- 5) If any proof of identity or address is in a foreign language, then translation into English is required.
- 6) Whether Registered with any other broker (in case dealing with multiple stock brokers provide details of all)
- 7) Introducer's Sign & Address (along with Sub Broker PAN & SEBI Regn. No.)
- 8) Name & Address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- 9) If correspondence & permanent address are different, then proofs for both have to be submitted.
- 10) Sole proprietor must make the application in his individual name & capacity.
- 11) Personal Details (Date of Birth, Gender, Education. Qualification, Occupation, Marital Status, and Nationality) should be filled properly.
- 12) Bank Account Statement /Passbook – Not more than 3 months old.
- 13) Please sign in the trading preferences column(where you wish to trade)
- 14) Demat account detail Req with proof
- 15) Gross Annual Income Details/Net-worth.
- 16) The IPV officer should do Proper In Person Verification

**Enclosures (self attested):-**

1. Xerox Copy of Pan Card (both sides.)
2. Residential Address proof (Passport / Driving License / Voter ID Card / Ration Card/ Bank passbook / Electricity Bill / (landline) Telephone Bill / Flat Maintenance Bill / Flat Maintenance bill/Insurance copy/Registered Lease or Sale Agreement of Residence.
3. Correspondence address proof req. if details given
4. UCC detail/Photo Identity proof (Copy of PAN Card, driving license, Voter Id, UID.
5. Current year IT return statement & Balance sheet required
6. Additional documents in case of trading in Derivatives Segments.  
1 Copy of ITR Acknowledgment, In case of salary income- Slip, copy of Form 16, Net worth certificate, bank account statement for last 6 month, Copy of Annual Accounts, Copy of Demat account holding statement.

\_\_\_\_\_  
CHECKED BY

Remarks: Code: \_\_\_\_\_ Name: \_\_\_\_\_

### **CHECKLIST FOR NON-INDIVIDUAL CLIENTS (MANDATORY)**

- 1) Name, Registered Address, Correspondence Address, Tel No, Fax No. etc (Proof of established)
- 2) Investor type details.
- 3) Date of Incorporation / Commencement of Business/ Registration details/status
- 4) Latest Bank Account Statement
- 5) Income tax no. (PAN) (Of Company / Firm / Karta) and of individual req.
- 6) Demate account details by name of client based on category of client req.
- 7) Whether regd. with any other broker or not (if yes then details of the same)
- 8) Details of all Directors / Partners / Parceners (for HUF)
- 9) Details of Whole time Director (for corporate)
- 10) Name and address details of person authorized to do trade req.
- 11) Investment / Trading Experience details req.
- 12) Trading preference
- 13) Introducer's detail (along with Sub Broker & Registration No.)
- 14) Annexure (Personal details of directors/ partners/ Parceners of HUF) along with photographs signed across (at least one other than client)
- 15) List of Director on letter head of company / firm (Form 32 in case of death/ retirement or new appointment of Director if different from memorandum)
- 16) Witness Signature with name of signatory req. (Same person should not be witness for client & sub-broker in the Agreement)
- 17) Proper In Person Verification by IPV officer req.
- 18) Authorized Directors/Partners/Karta with seal should attest all proofs.

### **Enclosures (attested by Director/ Partner/Karta)**

- a) Certificate of Commencement of Business, Certificate of Incorporation, Memorandum & Articles of Association (in case of body corporate) or Partnership Deed (in case of partnership firm) or other constitutional documents as the case may be
- b) Copy of PAN card of corporate / partners / directors / karta of HUF duly authenticated. And of individual also (both Side)
- c) Copy of Balance Sheet and IT Returns Statement for last 2 years (to be submitted every year)
- d) Declaration in case of partnership firm in specified format on letterhead (Preferable as per sample enclosed)
- e) Copy of Bank Pass Book (with last four month statement)
- f) Proof of Demate Account (Latest)(client must be first holder)
- g) Board Resolution in case of corporate / trust in specified format on company/firm letterhead (Preferable as per sample enclosed)
- h) Latest Share holding pattern and List of directors on letterhead (in case of company)
- i) Residential address / registered address proof req.( Bank passbook / Electricity Bill / (landline) Telephone Bill / Bank Passbook (by the name of client.)