

# PRIVATE CLIENTS

## Barclays Securities (India) Private Limited

Registered office: 208 Ceejay House, Shivsagar Estate, Dr Annie Beasant Road  
Worli, Mumbai 400018, India Telephone: +91-22-6719 6363, CIN U67120MH2006PTC161063

### Know your client (KYC) Application Form Part 1 for Non-individuals

Please fill this form in **English** and in **Block Letters**.

#### A. Identity details of applicant/client

1. Name of the applicant:

2. Date of incorporation: / /  & Place of incorporation:

3. Date of commencement of business: / /

4. a. PAN:  b. Registration No. (e.g. CIN):

5. Status (please tick any one):

Private Ltd Co  Public Ltd Co  Body Corporate  Partnership

Trust  Charities  FI  FII

HUF  AOP  Bank  LLP

Government Body  BOI  Society

Non-Government Organization (NGO's)  Defense Establishment

Others (please specify)

#### B. Address details

1. Address for correspondence:

City/town/village:  Pin Code:

State:  Country:

2. Contact Details: (please prefix STD code)

Telephone (Office)  Telephone (Residence)

Mobile number:  Fax:

Email id:

3. Specify the proof of address submitted for correspondence address:

4. Registered Address (if different from above):(In case of FII-other, Foreign address is mandatory for PMS account)

City/town/village:  Pin Code:

State:  Country:

5. Specify the proof of address submitted for registered address:

### C. Other details

1. Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors:

2. DIN/UID of Promoters/Partners/Karta and whole time directors:

### 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.

Applicant/Client name:

Name and Signature of the authorised signatory(ies) (Company seal)

First signatory signature

First signatory name

Second signatory signature

Second signatory name

Third signatory signature

Third signatory name

Date   /   /

For office use only  
In-Person Verification Details (IPV)

(Originals verified) True copies of documents received

(Self-Attested) Self-certified document copies received

I have met Mr/Ms

Mr/Ms

, &

Mr/Ms

in person and hereby confirm the identity and address provided in this form, signed by the applicant(s).

Name of the employee

Employee ID

Designation

Organisation

Signature (with stamp)

Place of meeting

Date of IPV

//

Seal/Stamp of BSIPL

Signature of the Authorised Signatory

## Instructions/Check list for filling KYC form Part 1

### 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 authorised 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 authorised for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name and address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence and 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 number 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: (\*Documents having an expiry date should be valid on the date of submission.)

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

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

<b>Types of entity</b>	<b>Documentary requirements</b>
<b>Corporate</b>	<ul style="list-style-type: none"> <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>
<b>Partnership firm</b>	<ul style="list-style-type: none"> <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>
<b>Trust</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Certificate of registration (for registered trust only).</li> <li>• Copy of Trust deed.</li> <li>• List of trustees certified by managing trustees/CA.</li> <li>• Photograph, POI, POA, PAN of Trustees.</li> </ul>
<b>HUF</b>	<ul style="list-style-type: none"> <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>
<b>Unincorporated association or a body of individuals</b>	<ul style="list-style-type: none"> <li>• Proof of Existence/Constitution document.</li> <li>• Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf.</li> <li>• Authorised signatories list with specimen signatures.</li> </ul>
<b>Banks/Institutional Investors</b>	<ul style="list-style-type: none"> <li>• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.</li> <li>• Authorised signatories list with specimen signatures.</li> </ul>
<b>Foreign Institutional Investors (FII)</b>	<ul style="list-style-type: none"> <li>• Copy of SEBI registration certificate.</li> <li>• Authorised signatories list with specimen signatures.</li> </ul>
<b>Army/ Government Bodies</b>	<ul style="list-style-type: none"> <li>• Self-certification on letterhead.</li> <li>• Authorised signatories list with specimen signatures.</li> </ul>
<b>Registered Society</b>	<ul style="list-style-type: none"> <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>

## Annexure for Photographs and identity details (or on the letter head of the Non Individual Entity)

Addendum to KYC Application Form Part 1

Client Name

Mention Category: Karta, Partner, Wholetime Director, Individual Promoter, Trustee below:

The below table includes details of all Whole time Directors and individual Promoters holding more than 5% in the share capital of the company.

	1	2	3	4
<b>Name and residential address</b>				
<b>Category</b>				
<b>Designation</b>				
<b>Date of Birth</b>				
<b>PAN*</b>				
<b>DIN/UID**</b>				
<b>Photograph</b>	Photograph Please affix your recent passport size photograph and sign across it	Photograph Please affix your recent passport size photograph and sign across it	Photograph Please affix your recent passport size photograph and sign across it	Photograph Please affix your recent passport size photograph and sign across it
<b>Signature</b>				

All the above mentioned persons are authorized signatories to the account.

\* Self attested copy of the PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorised to deal in securities on behalf of the company/firm/others

\*\*DIN/UID in case of Promoters/Partners/Karta/Whole time Directors

**For Authorised Signatories and persons authorised to deal in securities on behalf of the company/firm/others**

	1	2	3	4
<b>Name and residential address</b>				
<b>Designation</b>				
<b>Date of Birth</b>				
<b>PAN*</b>				
<b>DIN/UID**</b>				
<b>Photograph</b>	Photograph Please affix your recent passport size photograph and sign across it	Photograph Please affix your recent passport size photograph and sign across it	Photograph Please affix your recent passport size photograph and sign across it	Photograph Please affix your recent passport size photograph and sign across it
<b>Signature</b>				

\* Persons authorised to deal in securities on behalf of the company/firm/others

\*\*DIN/UID in case of Promoters/Partners/Karta/Whole time Directors