

KYC CHANGE / ADDITION & ACCOUNT REACTIVATION REQUEST FORM | INDIVIDUAL | RBL

APPENDIX-'A'

Religare Broking Limited
Club 125 (Tower A) A-3,4 & 5, Sector- 125,
Noida-201301 (U.P.)

ACKNOWLEDGMENT NO. _____



PHOTO*



Ph.: 0120-4866666 Fax: 0120-4866275

(Please fill this update/modification form in ENGLISH and in BLOCK LETTERS)

(Please tick (symbol of tick) the box on Left margin of appropriate row where CHANGE/CORRECTION is required and provide the details in the corresponding row)

Update my KYC details as per below Re-activate my account and update my KYC details Re-activate my account with no change in KYC

A ACCOUNT DETAILS

Trading Account Number* _____
Demat Account No* _____ C - KYC Number, if available _____

B IDENTITY DETAILS

Aadhar Number PAN* _____

Name* (Same as ID Proof) Prefix _____ First Name _____ Middle Name _____ Last Name _____
 Father/Spouse Name* _____
 Gender M-Male F-Female T-Transgender Date of Birth*
 Marital Status* Married Unmarried Others _____ Please Specify _____
 Citizenship* IN-Indian Others _____ Please Specify _____
 Residential Status* Resident Individual Non Resident Indian Foreign National Person of Indian Origin
 Specify the proof of Identity Submitted Aadhar Card Any Other (Please Specify) _____

C NEW ADDRESS DETAILS

(Please refer instruction 'C' at the end)

1. New Correspondence Address _____
 City/Town/Village _____ District _____
 State _____ Pin Code _____ Country _____
 Address Type Residential/Business Residential Business Registered Office Unspecified _____ Please Specify _____
 Specify the proof of Address submitted _____ Validity / Expiry / /
 2. New Permanent Address (if different from above) _____
 City/Town/Village _____ District _____
 State _____ Pin Code _____ Country _____
 Address Type Residential/Business Residential Business Registered Office Unspecified _____ Please Specify _____
 Specify the proof of Address submitted _____ Validity / Expiry / /

D NEW CONTACT DETAILS

1. Contact Details (Please refer instruction 'F' at the end of Form)
 Tel (Off.) _____ Fax _____
 Tel (Res.) _____ Mobile _____
 E-mail ID _____ SMS Alert Facility*
 Email Alert Facility*

*Stock Exchange(s)/Depositories issue transaction alerts on subscription to SMS/E-mail alert facility directly. *Email & Mobile No. are mandatory in Trading & Depository Account.

E DECLARATION(s)

1. 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
 2. Declaration for Electronic Communication Yes No
 I wish to receive all future communication to me including but not limited to Contract note, Bills and Statement of Account to be sent to the above mentioned ID

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 hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Place : _____

Date : / /

Sign. of Applicant

SIGNATURE OF ALL ACCOUNT HOLDER(S)

FOR OFFICE USE ONLY

KYC Verifier / IPV Details

Name of the person who has done the IPV : _____
 Designation : _____ Employee ID : _____

Name of Sub Broker/Authorised Person : _____
 Name of Organization : **Religare Broking Limited**

C-KYC Institution Code : IN0653
 Signature of the person who has done the IPV : _____

Originals Verified and Self-Attested Documents Copies received

Sign. of 1st Holder Sign. of 2nd Holder Sign. of 3rd Holder

Place : _____

Date / /

Place : _____

Date / /

1. PERSONAL DETAILS

Name* (Same as per KYC Records) Prefix _____ First Name _____ Middle Name _____ Last Name _____
 Maiden Name (If any*) _____
 Mother Name* _____
 Occupation Type* S-Service (Private Sector Public Sector Government Sector)
 O-Others (Professional Self Employed Retired Housewife Student)
 B-Business Not Categorized _____ (Please Specify)

2. PROOF OF IDENTITY (PoI)* (Please refer instruction 'B' at the end)

(Certified copy of any one of the following Proof of Identity (PoI) needs to be submitted)

A-Passport Number _____ Passport Expiry Date DD / MM / YYYY
 B-Voter ID Card _____
 C-Driving Licence _____ Driving Licence Expiry Date DD / MM / YYYY
 D-UID (Aadhaar) _____
 Z-Others (any document notified by the central government) _____
 Identification Number _____

3. PROOF OF ADDRESS (POA) (Current / Permanent / Overseas details)

Passport Number _____ Passport Expiry Date DD / MM / YYYY
 Voter ID Card _____
 Driving Licence _____ Driving Licence Expiry Date DD / MM / YYYY
 UID (Aadhaar) _____
 Others (any document notified by the central government) _____
 Identification Number _____

4. INCOME DECLARATION (Please specify gross annual income details) (Financial Document to provided in case client is active derivative Segment.


Income Range Per Annum* Below ₹1Lac ₹1-5Lac ₹5-10Lac ₹10-25Lac ₹25Lac-1Crore Above ₹1Crore
 OR Net-worth Amount* (₹) As on Date : DD / MM / YYYY (Net worth should not be older than 1 year)

5. FATCA DECLARATION : (Please refer instruction 'G' at the end)

(A) I do not have any residence for tax purposes with jurisdiction (Out Side India)
 (B) I have the residence for tax purposes with jurisdictions out side India (if opted for 'B', please fill additional FATCA Declaration form)

6. DETAILS OF RELATED PERSON (If Opted related person if required to provide his/her KYC)


Addition of Related Person Deletion of Related Person KYC Number of Related Person (If available*) _____
 Related Person Type* Guardian of Minor Authorized Representative
 Name* Prefix _____ First Name _____ Middle Name _____ Last Name _____
 (If KYC Number and name are provided, POI details are optional)
PROOF OF IDENTITY (PoI) OF RELATED PERSON* (Please see instruction (H) at the end)
 A-Passport Number _____ Passport Expiry Date DD / MM / YYYY
 B-Voter ID Card _____
 C-Driving Licence _____ Expiry Date DD / MM / YYYY
 D-UID (Aadhaar) _____
 Z-Others (any document notified by the central government) _____
 Identification Number _____


 Related Person Signature


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 your 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 hereby consent to receiving information from Central KYC Registry through SMS/Email on my registered number/email address.

 Signature of 1st Holder

 Signature of 2nd Holder

 Signature of 3rd Holder

Date DD / MM / YYYY

Place :

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KYC Verifier / IPV Details

Name of the person who has done the IPV :
 Designation :
 Employee ID :
 Name of Sub Broker/Authorised Person :
 Name of Organization : **Religare Broking Limited**
 C-KYC Institution Code : IN0653
 Signature of the person who has done the IPV
 Originals Verified and Self-Attested Documents Copies received

Place : Date DD / MM / YYYY

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CATEGORIZATION OF THE CLIENT FOR COMMODITY

Category
(Please Specify)

- Farmers/FPOs Value Chain Participants (VCPs) Proprietary Traders
 Domestic Financial Institutional investors Foreign Participants Others

Note: If you have select category except "Other" Please fill the declaration of Commodity.

DECLARATION

I, S/o / D/o / W/o
give my consent to download my KYC Records from the Central KYC Registry (CKYCR), only for the purpose of verification of my identity and address from the database of CKYCR Registry.
I understand that my KYC Record includes my KYC Records /Personal information such as my name, address, date of birth, PAN number etc.

Place :

Date :

/ /

SIGNATURE OF APPLICANT



Signature of all Account Holder(s)

INSTRUCTION / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

- 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/ commodities derivatives on behalf of company / firm / others.
- 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.
- 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 current & 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 / PIO Card / OCI Card 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 along with other statutory approvals required for investment in commodities. (as applicable)
- 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.
- 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) & Address (POA): - List of documents admissible as Proof of Identity & Address:

- Passport.
- Driving license.
- Unique Identification Number (UID) (Aadhaar).
- Voter's Identity Card issued by Election Commission of India.
- Job card issued by NREGA duly signed by an officer of the State Government.
- Letter issued by the National Population Register containing details of name, address, or any other document as notified by the Central

Government in consultation with the Regulator.

C. In case of "Officially Valid Documents (OVD)" listed in Proof of Identity & Address does not contain updated address, the document as prescribed below shall be deemed to be the OVD for the limited purpose of proof of address for three month under Conditions that welcome letter after KYC should not returned back in reasonable time to start transaction in account:

- Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
- Property or Municipal tax receipt.
- Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
- Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.
- For FII / sub account, Power of Attorney given by FII / subaccount to the Custodians (which are duly notarized and / or apostilled or consularised) that gives the registered address should be taken.

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 Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
- Investors residing in the state of Sikkim.
- UN entities / multilateral agencies exempt from paying taxes / filing tax returns in India.
- SIP of Mutual Funds upto Rs. 50,000/- p.a.
- 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:

- 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, 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.