Annexure – 1 SET OF ACCOUNT OPENING DOCUMENT

Name of member:						
SEBI Registration No. for Exchange 1(mention name):						
SEBI Registration No. for Exchange 2(mention name):						
Registered office address:						
Ph:Fax: E-mail: Website:						
Correspondence office address:						
Ph:Fax:E-mail: Website:						
Compliance officer name, phone no. & email id:						
CEO/Partner/Proprietor name, phone no. & email id:						

S. No.	Name of the Document	Brief Significance of the Document			
MAN	DATORY DOCUMENTS AS PRESCR	LIBED BY SEBI & EXCHANGES			
1	KYC (Account Opening) application form	KYC form - Document captures the basic information about the constituent and an instruction/check list.			
2	Uniform Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the commodities market.			
3	Rights and Obligations of Members, Authorized Persons and Clients	Document stating the Rights & Obligations of member, Authorized Person and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).			
4	Do's and Don'ts for the Investors	Document detailing do's and don'ts for trading on exchange, for the education of the investors.			

5	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the Commodity Exchange(s) (to be added by the member).					
VOLUNTARY DOCUMENTS AS PROVIDED BY THE MEMBER *							
6	6						
7							

- For any grievance/dispute please contact member (name) at the above address or email id-xxx@email.com and Phone no. 91-XXXXXXXXXX. In case not satisfied with the response, please contact the concerned exchange(s) at xyz@email.com and Phone no. 91-XXXXXXXXXXX.
- *Following documents should not form part of either mandatory or Voluntary documents:
 - 1) Authorization letter for any inter family / group company / related accounts adjustment
 - 2) Authorization of adjustment of funds among securities exchange and commodities exchange

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 institu	tion) KYC Number		(Mandatory t	for KYC update request)
	Account Type*	Normal Simplified (for low risk customers)	Small
☐ 1. PERSONAL DETAIL	LS (Please refer instruction A at	the end)		
	Prefix First N	lame	Middle Name	Last Name
☐ Name* (Same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				
Date of Birth*				РНОТО
Gender*	☐ M- Male	☐ F- Female	☐ T-Transgender	
Marital Status*	☐ Married	☐ Unmarried	Others	
Citizenship*	☐ IN- Indian	Others (ISO 31	66 Country Code)	
Residential Status*	☐ Resident Individual ☐ Foreign National	☐ Non Resident II☐ Person of India		
Occupation Type*	☐ S-Service (☐ Private Se☐ O-Others (☐ Profession		☐ Government Sector) ☐ Retired ☐ Housewife	☐Student)
	□ B-Business□ X- Not Categorised			
☐ 2. TICK IF APPLICAB	LE □ RESIDENCE FOR TA	X PURPOSES IN JURISDI	CTION(S) OUTSIDE INDIA	(Please refer instruction B at the end)
	QUIRED* (Mandatory only if see		(-,	,
ISO 3166 Country Code of		Stion 2 is ticked)		
•	or equivalent (If issued by jurisdi	ction)*		
Place / City of Birth*		ISO 3166 Country	Code of Birth*	
•				
☐ 3. PROOF OF IDENTI	TY (Pol)* (Please refer instruct	ion C at the end)		
(Certified copy of any one of the	e following Proof of Identity[Pol] n	eeds to be submitted)		
☐ A- Passport Number		,	Passport Expiry Date	$\begin{array}{ c c c c c c c c c c c c c c c c c c c$
☐ B- Voter ID Card				
☐ C- PAN Card				
☐ D- Driving Licence			Driving Licence Expiry Dat	
☐ E- UID (Aadhaar)			9,,	
F- NREGA Job Card				
Z- Others (any document	notified by the central governmen	nt)	Identification Number	er
☐ S- Simplified Measures	Account - Document Type of	code	Identification Number	er
4. PROOF OF ADDRI	FSS (PoA)*			
_	ENT / OVERSEAS ADDRESS D	ETAILS (Please see instruction	n D at the end)	
_	e following Proof of Address [PoA		2 at and only	
_	_	-	Business Regi	stered Office Unspecified
	ssport	Driving Licence	UID (Aadhaar)	
□Vo	ter Identity Card	NREGA Job Card		lease specify
☐ Sir Address	mplified Measures Account -	Document Type code		
Line 1*				
Line 2				
Line 3			City / Town / V	/illage*
District*	Pin / Pos	st Code*	State / U.T Code*	ISO 3166 Country Code*

4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction E at the end)							
☐ Same as Current / Permanent / Overseas Ad	dress details (In case of multiple	e correspondence / local addresses, ple	ease fill 'Annexure A1')				
Line 1*							
Line 2							
Line 3		City / To	own / Village*				
District*	Pin / Post Code*	State / U.T Code*	ISO 3166 Country Code*				
4.3 ADDRESS IN THE JURISDICTION DETA	_		, , ,				
Same as Current / Permanent / Overseas Ad	dress details	Same as Correspondence / Local A	ddress details				
Line 1*							
Line 2		0,47	() (1)				
Line 3			wn / Village*				
State*		ZIP / Post Code*	ISO 3166 Country Code*				
☐ 5. CONTACT DETAILS (All communications	will be sent on provided Mobile no	/ Email-ID) (Please refer instruction F at the	he end)				
Tel. (Off)	Tel. (Res)	M	obile				
FAX — — — — — — — — — — — — — — — — — — —	Email ID						
☐ 6. DETAILS OF RELATED PERSON (In o	case of additional related persons,	please fill 'Annexure B1') (please refer inst	truction G at the end)				
Addition of Related Person Deletion of Rela	ted Person K	YC Number of Related Person (if available	e*)				
Related Person Type*		☐ Authorized Represe					
Prefix	First Name	Middle Name	Last Name				
Name*	d name are provided, below details	of section 6 are optional)					
·	·						
PROOF OF IDENTITY [Pol] OF RELATED PERS	SON (Please see Instruction (n) at						
A- Passport Number		Passport Expiry Date					
B- Voter ID Card							
C- PAN Card							
D- Driving Licence		Driving Licence Expir	y Date DD-MM-YYYY				
E- UID (Aadhaar)							
F- NREGA Job Card							
Z- Others (any document notified by the cer	tral government)	Identification N	Number				
S- Simplified Measures Account - Docu	iment Type code	Identification N	Number				
☐ 7. REMARKS (If any)							
8. APPLICANT DECLARATION							
I hereby declare that the details furnished above are true and the said immediately. In account of the places information in formation in formation in formation in formation in formation.							
therein, immediately. In case any of the above information is for it.	lund to be false or untrue or misleading or m	isrepresenting, I am aware that I may be neid liable					
I hereby consent to receiving information from Central KYC Re	egistry through SMS/Email on the above reg	istered number/email address					
Date: DD-MM-YYYY	Place :		Signature / Thumb Impression of Applicant				
	1 1000 .						
9. ATTESTATION / FOR OFFICE USE	ONLY						
Documents Received							
KYC VERIFICATION CARRIED	OUT BY	INSTI	TUTION DETAILS				
Date D - M M - Y	YYY	Name					
Emp. Name		Code					
Emp. Code							
Emp. Designation							
Emp. Branch							
[Employee Signature]			[Institution Stamp]				
[Employee Signature]							

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

General Instructions:

- 1 Fields marked with '*' are mandatory fields.
- 2 Tick '✓' wherever applicable.
- 3 Self-Certification of documents is mandatory.
- 4 Please fill the form in English and in BLOCK Letters.
- 5 Please fill all dates in DD-MM-YYYY format.
- Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- 7 KYC number of applicant is mandatory for updation of KYC details.
- 8 For particular section update, please tick (🗸) in the box available before the section number and strike off the sections not required to be updated.
- 9 In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

A Clarification / Guidelines on filling 'Personal Details' section

- 1 Name: Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 Either father's name or spouse's name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

Tax identification Number (TIN): TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

C Clarification / Guidelines on filling 'Proof of Identity [PoI]' section

- 1 If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- 2 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
- 3 In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 3 (S)

code may be memori	cu iii poiiit 5 (5).
Document Code	Description
01	Identity card with applicant's photograph issued by Central/State Government Departments, Statutory/Regulatory Authorities, Public Sector
	Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person.

O Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent / Overseas Address details' section

- 1 PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
- 2 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 3 In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

code may be mention	ica in point 4.1.
Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water
	bill).
02	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if
	they contain the address.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies,
	public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements
	with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

E Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section

- 1 To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
- In case of multiple correspondence / local addresses, Please fill 'Annexure A1'

F Clarification / Guidelines on filling 'Contact details' section

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-999999999).
- 2 Do not add '0' in the beginning of Mobile number.

G Clarification / Guidelines on filling 'Related Person details' section

1 Provide KYC number of related person if available.

H Clarification / Guidelines on filling 'Related Person' details – Proof of Identity [Pol] of Related Person' section

1 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State / U.T	Code
Andaman & Nicobar	AN
Andhra Pradesh	AP
Arunachal Pradesh	AR
Assam	AS
Bihar	BR
Chandigarh	СН
Chattisgarh	CG
Dadra and Nagar Haveli	DN
Daman & Diu	DD
Delhi	DL
Goa	GA
Gujarat	GJ
Haryana	HR

State / U.T	Code
Himachal Pradesh	HP
Jammu & Kashmir	JK
Jharkhand	JH
Karnataka	KA
Kerala	KL
Lakshadweep	LD
Madhya Pradesh	MP
Maharashtra	MH
Manipur	MN
Meghalaya	ML
Mizoram	MZ
Nagaland	NL
Orissa	OR

State / U.T	Code
Pondicherry	PY
Punjab	PB
Rajasthan	RJ
Sikkim	SK
Tamil Nadu	TN
Telangana	TS
Tripura	TR
Uttar Pradesh	UP
Uttarakhand	UA
West Bengal	WB
Other	XX

List of ISO 3166 two- digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	Al	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	ВН	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	ВО	Guam	GU	Myanmar	MM	Switzerland	СН
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	10	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM TC
Canada Cayman Islands	CA KY	Indonesia	ID IR	Oman	OM	Turks and Caicos Islands	TV
		Iran, Islamic Republic of		Pakistan	PK	Tuvalu	UG
Central African Republic Chad	CF TD	Iraq Ireland	IQ IE	Palau Palestine, State of	PW PS	Uganda Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA PA	United Arab Emirates	AE
China	CN	Israel	IM IL	Panama Papua New Guinea	PA PG	United Arab Emirates United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE		UM
Colombia	CO	Japan	JP	Philippines	PH	United States Minor Outlying Islands Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	10	Poland	PN PL	Vanuatu	VU
Congo, the Democratic Republic of	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
the Cook Islands	CK	Vonya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kenya Kiribati	KE	Qatar	QA	Virgin Islands, British	VN
Cote d'Ivoire !Côte d'Ivoire	CI	Korea, Democratic People's Republic	KP KP	Reunion !Réunion	RE RE	Virgin Islands, U.S.	VI
Croatia	HR	of Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
	CU						
Cuba Curação !Curação	CW	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
		Kyrgyzstan	KG	Rwanda	RW	Yemen Zambia	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy !Saint Barthélemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
		Lesotho	LS	Saint Lucia	LC		
Djibouti Dominica	DJ DM	Liberia	LR	Saint Edda Saint Martin (French part)	MF		

Annexure A1

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual | Correspondence / Local Address

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.



For office use only	Application Type*	☐ New	Update				
(To be filled by financial institution)	KYC Number				(Mandatory fo	r KYC update request)	
1. CORRESPONDENCE	LOCAL ADDRESS	DETAILS	(Please see instruction E	at the end)			
Same as Current / Permanent /	Overseas Address deta	ils					
Line 1*							
Line 2							
Line 3					City / Town / Vi	llage*	
District*	Pin /	Post Cod	e*	State / U.T	Code*	ISO 3166 Country Code*	
2. CONTACT DETAILS (All co	ommunications will be sen	on provided	d Mobile no./ Email-ID) (Pleas	se refer instruc	tion F at the end)		
Tel. (Off) FAX		Tel. (Res Email ID			Mobile		
3. APPLICANT DECLARATION							
 I hereby declare that the details furnished a therein, immediately. In case any of the ab- liable for it. 		,	•	, ,	•		
Date : DD-MM-YY	Y Y Place	:				Signature / Thumb Impression of Applicant	

Annexure B1

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

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.



For office use only	Application Type* ☐ New ☐ Upda	ate
(To be filled by financial institu	ution) KYC Number	(Mandatory for KYC update request)
☐ 1 DETAILS OF RELAT	ED PERSON (Please refer instruction G at the end)	
Addition of Related Person		CYC Number of Related Person (if available*)
Related Person Type*	☐ Guardian of Minor ☐ Assignee	
•	Prefix First Name	Middle Name Last Name
Name*	(If KYC number and name are provided, below details	of section 1 are optional)
PROOF OF IDENTITY (Pol) OF RELATED PERSON* (Please see instruction (H) a	at the end)
☐ 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		
Z- Others (any documen	t notified by the central government)	Identification Number
☐ S- Simplified Measures	s Account - Document Type code	Identification Number
2. APPLICANT DECL	ARATION	
	nished above are true and correct to the best of my knowledge and be	
therein, immediately. In case any of liable for it.	the above information is found to be false or untrue or misleading or	misrepresenting, I am aware that I may be neid [Signature / Thumb Impression]
Date : DD - MM -	Y Y Y Y Place:	Signature / Thumb Impression of Applicant
3. ATTESTATION / FO	R OFFICE USE ONLY	
Documents Received	Certified Copies	
KYC VERI	FICATION CARRIED OUT BY	INSTITUTION DETAILS
Date	0 — M M — Y Y Y Y	Name
Emp. Name		Code
Emp. Code		
Emp. Designation		
Emp. Branch		
	[Employee Signature]	[Institution Stamp]

ANNEXURE I PARTI

KNOW YOUR CLIENT (KYC) Application Form - For Non Individuals

	IDENTITY DETAILS		and a state of the	I is required and provide the details in the co	mesperiality (en)
	Name of the Applicant				
	2a. Date of incorporation	1 1	2h Plac	e of incorporation	
	Date of commencement of be	usiness /	1	o or moorportation	
	4a. PAN	uoniuss /			
L	4b. Registration No. (e.g. CIN)				
	 Status (Please tick ✓ the appropriate 	la			
	Private Limited Co.	Public Ltd. Co.	☐ Body Corporate	Partnership	☐ Trust
	Charities	☐ NGO's	□ FI	☐ FII	☐ HUF
	☐ AOP	☐ Bank	☐ Government Bod		
	□ BOI	Society	☐ LLP	FPI - Category I	FPI - Category II
L	FPI - Category III	Others (Please :	specify)		
1000	ADDRESS DETAILS				
	1. Address for Correspondence	ce			
	City / Town / Village				Pin Code
	State			Country	
	2. Specify the Proof of Addre	ess submitted for Co	orrespondence Address	S:	
	3. Contact Details				
	Tel. (Off.)			Fax	
	Tel. (Res.)			Mobile No	
	E-Mail Id.				
	4. Registered Address (If o	different from above	e)		
	, , , , , , , , , , , , , , , , , , ,		,		
	O. (T. 117)				
	City / Town / Village State			Country	Pin Code
L	1777—A 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1				
	OTHER DETAILS (If space	is insufficient, enclose th	ese details separately [Illustr	ative format enclosed])	
F	O ITILITY DE IT ILLO			tagra/Varta/Trustage and whole tim	and the second s
Г	Name, PAN, residential act	ddress and photogra	apris of Promoters/Par	thers/Karta/Trustees and whole tim	e directors:
		ddress and photogra	apns of Promoters/Par	thers/Karta/Trustees and whole tim	e directors;
		ddress and photogr	apns of Promoters/Par	mersikaria mustees and whole tim	e directors;
	1. Name, PAN, residential ad		apns of Promoters/Par	mersikanar mustees and whole tim	e directors;
	Name, PAN, residential action And the second seco	ors:		mersikariai mustees and whole um	e directors;
	1. Name, PAN, residential ad	ors:		mersikanar mustees and whole um	e directors;
	Name, PAN, residential acc. 2a.DIN of whole time director 2b.Aadhar number of Promo	ors:		mersikariai mustees and whole um	e directors;
	1. Name, PAN, residential acceptance. 2a.DIN of whole time director 2b.Aadhar number of Promo	ors : oters/Partners/Karta			e directors;
	1. Name, PAN, residential acceptance 2a.DIN of whole time directo 2b.Aadhar number of Promo DECLARATION I/We hereby declare that the detail and I/we undertake to inform you of	ors : oters/Partners/Karta Is furnished above are tr fany changes therein, in	: rue and correct to the best o innediately. In case any of th	f my/our knowledge and belief e above information is found to	e directors;
	1. Name, PAN, residential acceptance. 2a.DIN of whole time director 2b.Aadhar number of Promo DECLARATION I/We hereby declare that the detail	ors : oters/Partners/Karta Is furnished above are tr fany changes therein, in	ue and correct to the best o nmediately. In case any of th ve are aware that I/we may b	f my/our knowledge and belief e above information is found to	
	1. Name, PAN, residential acceptance 2a.DIN of whole time directo 2b.Aadhar number of Promo DECLARATION I/We hereby declare that the detail and I/we undertake to inform you of	ors : oters/Partners/Karta Is furnished above are tr fany changes therein, in	: rue and correct to the best o innediately. In case any of th	f my/our knowledge and belief e above information is found to	Name & Signature of the Authorised Signatory
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1. Name				
2. Relationship with Applicant (i.e. promoters, whole time directors etc.)				PHOTOGRAPH
3a. PAN	3b. DIN			
Bc. Aadhar (UID) Number				Please affix
I. Residential/ Registered Address				your recent passport
				size photograph and
City / Town / Village			Pin Code	sign across it
State		Country	Fill Code	
I. Name				
Relationship with Applicant (i.e. promoters, whole time directors etc.)				PHOTOGRAPH
a. PAN	3b. DIN			
3c. Aadhar (UID) Number				Please affix
. Residential/ Registered Address				your recent passport
				size photograph and sign across it
City / Town / Village			Pin Code	sign across it
State		Country	1 11 3000	
. Name				
Relationship with Applicant (i.e. promoters, whole time directors etc.)				PHOTOGRAPH
a. PAN	3b. DIN			
Sc. Aadhar (UID) Number				Please affix
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				size photograph and
City / Town / Village			Pin Code	sign across it
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1. Name				
Relationship with Applicant (i.e. promoters, whole time directors etc.)				
DANI				PHOTOGRAPH
Sa. PAN	3b. DIN			PHOTOGRAPH
	3b. DIN			
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3c. Aadhar (UID) Number	3b. DIN			Please affix your recent passport size photograph and
3c. Aadhar (UID) Number 4. Residential/ Registered Address	3b. DIN		Pin Code	Please affix your recent passport
3c. Aadhar (UID) Number	3b. DIN	Country	Pin Code	Please affix your recent passport size photograph and
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		Country	Pin Code	Please affix your recent passport size photograph and sign across it PHOTOGRAPH Please affix your recent passport

INSTRUCTIONS/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 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

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is required.

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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.

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, 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 a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided. 10

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, ior executives of state owned corporations, important political party officials, etc.

Proof of Identity (POI): - List of documents admissible as Proof of Identity:

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving

PAN card with photograph.

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

C. Proof of Address (POA): - List of documents admissible as Proof of Address:

Passport/Voters Identity Card/Ration Card/Unique Identification Number (UID)/
Aadhar Letter/Registered lease or Sale Agreement of Residence/Driving License/
Flat Maintenace bill/Insurance Copy.

Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 2 3 months old.

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.
- 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.
 - 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, Flls, 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.

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. □ Authorised signatories list with specimen signatures.
Banks/ Institutional Investors	□ Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. □ Authorised signatories list with specimen signatures.
Foreign Institutional Investors (FII)	□ Copy of SEBI registration certificate. □ Authorised signatories list with specimen signatures.
Army/ Government Bodies	Self-certification on letterhead. Authorised 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.

Annexure - 1 Part - II

For Individuals

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	ically Expo				a Politically Expo		son (PEP)	
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Concerned Member's Name with whom the AP is registered:

Registered office address:

		Email:		We	ebsite:
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J. 18	NTRODUCER D	ETAILS (optional)			
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Nam Sign: WITI Nam Sign Addr	I/We hereby knowledge a In case an misrepresent I/We further document(s), be bound by	declare that the details and belief and I/we und in a policy of the above informing. I am/we are aware having read/been exp/non-mandatory documents of the confirm having read are a such provisions as or a policy such provisions as or a policy of the confirm having read are a policy such provisions as or a policy of the confirm having read are a policy such provisions as or a policy of the confirm having read are a policy such provisions as or a policy of the confirm having read are a policy of the confirmation have a policy of t	ess and phone in account holder h Name Signatu Address ECLARATION furnished above dertake to information is founce that I/we may indicate the comment of	re are true and come you of any character to be false or the contents of the contents of the comments. I/We documents. I/We	orrect to the best of my/ou ange therein, immediately r untrue or misleading o
Nam Sign: WITI Nam Sign Addr	I/We hereby knowledge a In case an misrepresent I/We further document(s), be bound by that the stan website, if an	declare that the details and belief and I/we und in a policy of the above informing. I am/we are aware having read/been exp/non-mandatory documents of the confirm having read are a such provisions as or a policy such provisions as or a policy of the confirm having read are a policy such provisions as or a policy of the confirm having read are a policy such provisions as or a policy of the confirm having read are a policy such provisions as or a policy of the confirm having read are a policy of the confirmation have a policy of t	ess and phone in account holder h Name Signatu Address ECLARATION furnished above dertake to information is founce that I/we may indicate the comment of	re are true and come you of any character to be false or the contents of the contents of the comments. I/We documents. I/We	orrect to the best of my/ou ange therein, immediately runtrue or misleading or it. ents of the tariff sheet and the 'Rights and Obligations I/We do hereby agree to have also been informed



	Documents verified with Originals
Name of the Employee	
Employee Code	
Designation of the employee	
Date	
Signature	
ocuments. I/We have also made the and Dont's' and Guidance Note. I/ Indertake that any change in the tarif	e client aware of 'Rights and Obligations' document (s), RDD, 'D We have given/sent him a copy of all the KYC documents. IN sheet and all the voluntary/non-mandatory documents would be d
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Annexure – 1 Part - II

For Non-Individuals

Please fill this form in ENGLISH and in BLOCK LETTERS.

PHOTOGRAPH

Please affix Authorized Signatories recent pesaport size photographs and sign

	orth as on (chan 1 year)	date)	(dd/mm/yyyy)		_	(*Net worth s	should not
whole tin directors If you have	a landine co	ential address and p		of Promoters/P	artners/	Karta/Truste	es and
Bank Name	Branch address	(S) DETAILS Bank account no.	Account Ty	pe: Saving/Cui Others	rrent	MICR Number	IFSC code
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	epository Participant Depository Name (NSDL/CE		y Name	Beneficiary name	DP II		ficiary ID 30 ID)

Note: Provide a copy of either Demat Master or a recent holding statement issued by DP bearing name of the client.

D. TRADING PREFERENCES

Note: Please sign in the relevant boxes against the Exchange with which you wish to trade. The Exchange not chosen should be struck off by the client.

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Deta	ails of any action	vproceedings							
	mmodity exchange								
one	ctors/authorized	persons	in	charge	during	the	last	3	year

i.ume of the Introducer			
	(Surname)	(Name)	(Middle Name)
Status of the Introducer	: Authorized Person/Existing C	lien/Others,	7
please specify	Address and phone n		
Signature of the introdu			
K. ADDITIONAL DETA			
 Whether you wish t No]: 	o receive communication from	Member in electron	ic form on your Email-id ()
(If yes then fill in Appen	dix-A)		

DECLARATION

- 1. 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.
- I/We confirm having read/been explained and understood the contents of the tariff sheet and all voluntary/non-mandatory documents.
- 3. IWe further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document' and 'Do's and Dord's'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on Member's designated website, if any.

Place	()
Date	Signature of (all) Authorized Signatory (ies)*

*Form need to be signed by all the authorized signatories.

FOR OFFICE USE ONLY

	Documents verified with Originals
Name of the Employee	
Employee Code	
Designation of the employee	
Date	
Signature	
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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, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in commodity 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 authorized for attesting the documents, as per the below mentioned list.

 If any proof of Identity or address is in a regional 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.

Sole proprietor must make the application in his individual name & capacity.

 For non-residents and foreign nationals, (allowed to trade subject to RBI and FIPB/FEMA guidelines and other applicable statutory approvals), 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 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.

10. 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:

- Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
- PAN card with photograph.
- Identity card 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: (Note: 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.
- Bank Account Statement/Passbook -- Not more than 3 months old.
- 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.

5 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.

6 The proof of address in the name of the spouse may be accepted.

D. Exemptions to PAN

(Note: Sufficient documentary evidence in support of such claims to be collected.)

- 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 (subject to the continued exemption granted by Government).

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 takeever 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 commodity markel. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in commodity derivatives on behalf of
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
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
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.

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

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