

**SADRAVYA MONEY MANAGEMENT PRIVATE LIMITED**  
**KNOW YOUR CLIENT (KYC) Application Form - For Non-Individual**

NEW  CHANGE REQUEST (Please tick the appropriate)

Application No.:

Please fill this form ENGLISH and in BLOCK LETTERS  
 (Please tick the box on left margin of appropriate row WETTISNGE/CORRECTION is required and provide the details in the corresponding row)

**A. Identity Details (please see guidelines overleaf)**

- Name of Applicant (Please write complete name as per Certificate of Incorporation/ Registration ; leaving one box blank between 2 words. Please do not abbreviate the Name).  
\_\_\_\_\_
- Date of Incorporation   /   /      
 Place of Incorporation \_\_\_\_\_
- Registration No. (e.g. CIN) \_\_\_\_\_  
 Date of commencement of business   /   /
- Status Please tick ( ) Private Ltd. Co.  Public Ltd. Co.  Body Corporate  Partnership  Trust/Charities/NGOs   
 FI  FII  HUF  AOP  Bank  Government Body  Non-Government Organisation   
 Defence Establishment  Body of Individuals  Socieity  LLP  Others (Please specify) \_\_\_\_\_
- Permanent Account Number (PAN) MANDATORY \_\_\_\_\_

**PHOTOGRAPH**

Please affix the recent passport size photograph of Authorised Signatory and sign across it

**B. Address Details (please see guidelines overleaf)**

- Address for Correspondence  
 \_\_\_\_\_  
 City / Town / Village \_\_\_\_\_ Postal Code \_\_\_\_\_  
 State \_\_\_\_\_ Country \_\_\_\_\_
- Contact Details  
 Tel. (Off.) \_\_\_\_\_ Tel. (Res.) \_\_\_\_\_ Fax \_\_\_\_\_  
 Mobile No \_\_\_\_\_ E-Mail Id. \_\_\_\_\_
- Proof of Address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick ( ) against the document attached.  
 \*Lates Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Bank Account Statement  Registered Lease/Sale Agreement of Office Premises L.  
 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   /   /
- Registered Address (if different from above)  
 \_\_\_\_\_  
 City / Town / Village \_\_\_\_\_ Postal Code \_\_\_\_\_  
 State \_\_\_\_\_ Country \_\_\_\_\_
- Proof of Address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick ( ) against the document attached.  
 \*Lates Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Bank Account Statement  Registered Lease/Sale Agreement of Office Premises  
 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   /   /

**OTHER DETAILS**

- Gross Annual Income Details Please Tick ( )  
 Below ` 1 Lac  ` 1-5 Lac  ` 5-10 Lac  ` 10-25 Lac  ` 25 Lac - 1 Crore  ` More than 1 Crore
- Net-worth (Net worth should not be older than 1 year) Amount ` \_\_\_\_\_ as on (date)   /   /
- Name, PAN, DIN/UID, residential address and photographs of Promoters/Partners / Karta / Trustees / Whole Time Directors  
 Please use Annexure to fill in details). \_\_\_\_\_
- Is the entity involved providing any of the following services  
 - For Foreign Exchange Money Changer Services  Yes  No. - Gaming / Gambling / Lottery Services  Yes  No.  
 - Money Lending/Pawning  Yes  No. (e.g., casinos, betting syndicate)  Yes  No.
- Any other information :

**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 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.

Date :   /   /

\_\_\_\_\_  
 NAME & SIGNATURE(S) OF AUTHORISED PERSON (S)

**FOR OFFICE USE ONLY**

In Person Verification (IPV) Details :  
 Name of the person who has done the IPV : \_\_\_\_\_  
 Designation : \_\_\_\_\_ Employee ID : \_\_\_\_\_  
 Name of the Organization : **SADRAVYA MONEY MANAGEMENT PRIVATE LIMITED**  
 Date of IPV:   /   /      
 Signature of the person who has done the IPV \_\_\_\_\_

Seal/Stamp of the Intermediary

- (Originals Verified) True copies of Documents received  
 (Self Attested) Self Certified Document copies received

\*Please note that the KYC Application Form and overleaf instructions should be printed on the same page (back to back) if printed separately then both the page should be attached and signed by the applicant.\*

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### IMPORTANT POINTS :

1. Self attested copy of PAN card is mandatory for all clients
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 & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. 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 / 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
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
- II. 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

##### POI :

1. PAN card with photograph. This is 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

#### B. 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 I-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 of Scheduled Commercial Banks/Scheduled Co 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 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 ICWA1, 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 apostilled 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 eg 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.

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 Bank (Name, Designation & Seal should be affixed on the copy)In case of NRIs, authorized officials of overseas branches of Sch Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, and Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents

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

**Name of Applicant** \_\_\_\_\_

**PAN of the Applicant**

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Sr. No.	PAN	Name	DIN for Directors / UID (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time Directors etc.)	Whether politically Exposed	Photograph
1	Please attach a copy of your Pan Card			Please attach proof of your residential address		<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
2	Please Attach a copy of your PAN Card			Please attach proof of your residential address		<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
3	Please Attach a copy of your PAN Card			Please attach proof of your residential address		<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
4	Please Attach a copy of your PAN Card			Please attach proof of your residential address		<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
5	Please Attach a copy of your PAN Card			Please attach proof of your residential address		<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
6	Please Attach a copy of your PAN Card			Please attach proof of your residential address		<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	

 (Signature)  
**Name & signature of the Authorised Signatory (ies)**      **Date DD / MM / YYYY**      **PEP: Politically Exposed Person**  
**RPEP: Related to Politically Exposed Person**

**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
<b>Corporate</b>	<ul style="list-style-type: none"> <li>● Copy of PAN CARD &amp; Address Proof of Company</li> <li>● Original Signed cancelled cheque of Company.</li> <li>● Bank Statement of Company (Duly Stamped) by Bank (Two Set) stamped by bank.</li> <li>● Copy of Pan Card &amp; Address Proof of all Directors. (Name should match in all proofs)</li> <li>● Signed cancelled cheque of all Directors (Original) (Name should. Cancelled Cheque, if no name on Cheque, Bank Statement duly stamped by bank reqd.).</li> <li>● Board Resolution to deal in securities market and authorization to sign the documents on behalf of the company to its director/s.</li> <li>● Photographs of all Directors in Annexure Sheet duly cross signed on photo.</li> <li>● Net worth Certificate of company certified by CA.</li> <li>● List of Directors.</li> <li>● Share Holding Pattern including Promoters Holding.</li> <li>● List of Authorised Signatories duly signed by Directors.</li> <li>● Last Two years Audited Financial Accounts (Two Sets) .</li> <li>● Memorandum &amp; Article of Association (Two Sets)</li> </ul> <p><b>(ALL DOCUMENTS SHOULD BE SELF CERTIFIED.)</b></p>
<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>● Copy of PAN CARD &amp; Address Proof of HUF Firm</li> <li>● Original Signed cancelled cheque of HUF Firm</li> <li>● Bank Statement of HUF Firm</li> <li>● Copy of Pan Card &amp; Address Proof of all Karta (Name should match in all proofs)</li> <li>● Original Signed cancelled cheque of Karta • Bank Statement of Karta</li> <li>● Karta's Details, Co-Parceners detail along with their photo (duly cross signed),their Pan card and address proofs in annexure detail page.</li> <li>● If Co-parcener are minor, then DOB certificate • HUF declaration</li> </ul> <p><b>(ALL DOCUMENTS SHOULD BE SELF CERTIFIED.)</b></p>
<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>● Authorized 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>● Authorized 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>● Authorized 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>● Authorized 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>● Rue copy of Society Rules and Bye Laws certified by the Chairman/SecretarY•</li> </ul>