



Kotak Securities Ltd. Kotak Infinity, 8th floor, Building No 21, Infinity Park, Off Western Express Highway,
Gen A. K. Vaidya Marg, Malad (E), Mumbai - 400097. Tel - 91-22-30305757

KRA KYC COMMON UPDATION FORM A - INDIVIDUAL

☐ Trading code ☐ Demat Account No.

DP ID : IN300214 Date

KNOW YOUR CLIENT (KYC) ☐ NEW ☐ CHANGE REQUEST Acknowledgment No. _____

Please fill this form in ENGLISH and in BLOCK LETTERS. Please tick ☒ the appropriate now where CHANGE/CORRECTION is required IDENTITY DETAILS MANDATORY

Branch Inward Details

Recd on

Emp Name

Emp ID

Emp Sign

Branch Name

A. IDENTITY DETAILS

1. Name of the Applicant First name Middle name Last name
2. Father's / Spouse Name
3a. Gender ☐ Male ☐ Female 3b. Marital status ☐ Single ☐ Married 3c. Date of Birth
4a. Nationality ☐ Indian ☐ Other (Specify) 4b. Status ☐ Resident Individual ☐ Non Resident ☐ Foreign National
5a. PAN 5b. Aadhaar No. if any
6. Specify Proof of Identify submitted PAN Card/Other (Please specify)

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

B. ADDRESS DETAILS

☐ Correspondence Address

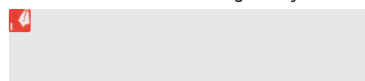
☐ Permanent Address

1. Address for Correspondence / Residence
City / Town / Village State
Country Pin Code Proof submitted
2. Permanent Address (if different from above or overseas address, mandatory for Non resident Applicant)
Address
City / Town / Village State
Country Pin Code Proof submitted
3. Contact Nos: Tel. (Off.) Tel. (Res.) Fax
E-mail ID MOBILE NO.
The mobile number mentioned here belongs to Name of relative SMS Flag ☐ Yes ☐ No
☐ Self ☐ Spouse ☐ Dependent parent ☐ Dependent children PAN of relative
The email ID mentioned here belongs to Name of relative
☐ Self ☐ Spouse ☐ Dependent parent ☐ Dependent children PAN of relative

Client Signature

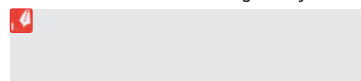
C. DECLARATION I / We hereby declare that the details furnished above are true & correct to the best of my knowledge and undertake to inform you of any changes therein immediately, and I/we may be held liable for any information is found to be false/misreading /misrepresenting. I/We are aware that the information provided herewith shall be updated in accounts maintained at Kotak Securities under intimation to me. The updation of my KYC record will be updated in KRA.

1st Holder / Authorised Signatory



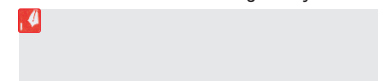
Name

2nd Holder / Authorised Signatory



Name

3rd Holder / Authorised Signatory



Name

☐ Address

Mobile No./Phone No.

☐ Email Id

Ver 1.01

FOR OFFICE USE ONLY

CRM Query ID 1

CRM Query ID 2

CRM Query ID 3

☐ Originals verified and Self-Attested Document copies received

In-Person-Verification (IPV) details:

Date

Name of the person doing IPV

Designation

Name of Organization

Signature

Seal/Stamp of the intermediary

Date

ACKNOWLEDGEMENT

1 Address Yes ☐ No ☐ CRM Query ID 1
2 Mobile No./Phone No. Yes ☐ No ☐ CRM Query ID 2
3 Email Id Yes ☐ No ☐ CRM Query ID 3

Name of the Employee Employee Code

From

having Trading Code

Client Id

For Kotak Securities Ltd. (Company Seal)

Employee Signature



Your request will be processed within a tentative period of 7 days from the date of receipt of complete documents. In case of queries regarding the status of the request, We request you to call on Customer Service No. 1800 209 9191/1800 222 299/30305757. Demat related complaints write at ks.demat@kotak.com for any other queries or complaints write at service.securities@kotak.com.

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 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 FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
- For foreign entities. CIN is optional; and in 9ie 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.
- 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/ 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.)

- Passport / Voters Identity Card / (UID)(Aadhaar) / Ration Card / Registered Lease or Safe 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.
- 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 Fil / sub account, Power of Attorney given by Fil / sub-account to the Custodians (which are duly notarized and/or apostited br consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse maybe accepted.

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/of 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, FIs, 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.
- 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	<input type="checkbox"/> Copy of the balance sheets for the last 2 financial years (to be submitted every year). <input type="checkbox"/> 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). <input type="checkbox"/> Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. <input type="checkbox"/> Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. <input type="checkbox"/> Copies of the Memorandum and Articles of Association and certificate of incorporation. <input type="checkbox"/> Copy of the Board Resolution for investment in securities market, <input type="checkbox"/> Authorised signatories list with specimen signatures,
Partnership firm	<input type="checkbox"/> Copy of the balance sheets for the last 2 financial years (to be submitted every year). <input type="checkbox"/> Certificate of registration (for registered partnership firms only). <input type="checkbox"/> Copy of partnership deed. <input type="checkbox"/> Authorised signatories list with specimen signatures. <input type="checkbox"/> Photograph, POI, POA, PAN of Partners
Trust	<input type="checkbox"/> Copy of the balance sheets for the last 2 financial years (to be submitted every year). <input type="checkbox"/> Certificate of registration (for registered trust only). <input type="checkbox"/> Copy of Trust deed. <input type="checkbox"/> List of trustees certified by managing trustees/CA <input type="checkbox"/> Photograph, POI, POA, PAN of Trustees.
HUF	<input type="checkbox"/> PAN of HUF <input type="checkbox"/> Deed of declaration of HUF/ List of coparceners. <input type="checkbox"/> Bank pass-book/bank statement in the name of HUF. <input type="checkbox"/> Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<input type="checkbox"/> Proof of Existence/Constitution document. <input type="checkbox"/> Resolution of the managing body & Power of Attorney granted to transact business on Its behalf. <input type="checkbox"/> Authorised signatories list with specimen signatures.
Banks / Institutional Investors	<input type="checkbox"/> Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. <input type="checkbox"/> Authorised signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<input type="checkbox"/> Copy of SEBI registration certificate. <input type="checkbox"/> Authorised signatories list with specimen signatures.
Army/Government Bodies	<input type="checkbox"/> Self-certification on letterhead. <input type="checkbox"/> Authorised signatories list with specimen signatures.
Registered Society	<input type="checkbox"/> Copy of Registration Certificate under Societies Registration Act. <input type="checkbox"/> List of Managing Committee members, <input type="checkbox"/> Committee resolution for persons authorised to act as authorised signatories with specimen signatures. <input type="checkbox"/> True copy of Society Rules and Bye Laws certified by the Chairman/Secretary



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KRA KYC COMMON UPDATION FORM B - INDIVIDUAL

Name _____ Date

☐ Trading code ☐ Demat Account No. DP ID : IN300214

Branch Inward Details

Recd on

Emp Name

Emp ID

Emp Sign

Branch Name

☐ 1. REQUEST FOR BANK DETAILS UPDATION/RTGS FACILITY

☐ Change

☐ Addition (Only for trading)

CRM Query ID 4

I want to avail RTGS/NEFT Facility : ☐ Yes ☐ No Default mapping ☐ Yes ☐ No

Bank Name: _____

Branch Address : _____ City : _____ Pin Code :

IFSC Code of beneficiary bank MICR Code :

Bank A/c No. _____ Bank A/c Type : ☐ Saving ☐ Current

Full name of First Holder in the Bank _____

Full name of Second Holder in the Bank _____

Full name of Third Holder in the Bank _____

I am enclosing the following documents as proof that the aforesaid account belongs to me:

1. Cancelled personalized cheque leaf of the above mentioned Bank Account and
2. Bank statement/Bank Passbook copy of the same.
3. In case Bank Account in Joint Name NOC from Account holder is required.

☐ 2. Consent to Receive Transaction Statement on Email (Only for DP)

CRM Query ID 5

I/We understand from you that a facility is being granted wherein I/We can get access to the transaction statements in respect of my/our above demat account in the Website of the Depository Participant or in the email address provided by me/us to the Depository Participant. I/We are also aware that the said facility is available subject to me/us complying with certain terms and conditions as prescribed by National Securities Depositories Ltd (NSDL). I/We have requested Kotak Securities Ltd to provide me the facility of accessing the transaction statements in the email account provided by me below/in the enclosed KYC form and Kotak Securities Ltd has agreed to the said request. In consideration of Kotak Securities Ltd agreeing to allow me/us to avail the said facility I/We agree to the following terms and conditions

- 1) I/We are aware that the on availing this facility transaction statements will not be received in paper form.
- 2) I/We will take all necessary steps to ensure confidentiality and secrecy of the login name and password of the internet/email account.
- 3) I/We am/are aware that the transaction statement may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised and I/We will not hold responsible Kotak Securities Ltd for any breach of secrecy.
- 4) I/We shall not hold kotak securities ltd liable if any problem arises with my/our computer network because of me/us receiving statements.
- 5) I/We are authorized by the other holders to receive the statements on their behalf in email IDs provided to kotak securities ltd
- 6) I/We shall immediately inform Kotak Securities Ltd regarding any change of email address provided by me/us for receiving the transaction statements.
- 7) I/We shall not hold responsible kotak securities ltd, if we do not receive statement due to incorrect email ids and / technical reasons.
- 8) I/We are aware that both the parties have the right to terminate the said facility on providing a 10 days advance written notice to the other party.
- 9) Please note the Email ID : _____

☐ 3. Request Form for Accepting Contract Notes and other Communication through Electronic mode and on Mobile Phone: (Only for trading)

Email ID: _____ CRM Query ID 6

I/We hereby agree to receive: (Please tick any one)

Mobile

☐ Contract notes and other communication on Email and mobile

☐ Contract notes and other communication through physical & digital mode*

☐ Contract notes and other communication through physical mode*

Please send all communication at my/our email id and mobile number as mentioned in the client registration form. I/ We agree that all information sent to the abovementioned email id shall be binding upon me/us. Further, I/We understand that nonreceipt of bounced mail notification by Kotak Securities Limited (KSL) shall amount to delivery of the contact note or such other information at my /our email id. I/We agree that KSL shall not be responsible for the non-receipt of the contract note/confirmation note/other correspondence by me/us due to any change in the address/email id/mobile number if not intimated by me/us. I/We am/are aware that for any change in the address/email id/mobile number, I/we am/are required to update the same to KSL in writing through a physical letter. If I/we avail online trading services provided by KSL, the said updation can also be made through a secured access to the website.

* Nominal charges may be debited to my account as per the prevalent policy of the company towards the physical delivery of various communication

The mobile number mentioned here belongs to Name of relative _____

☐ Self ☐ Spouse ☐ Dependent parent ☐ Dependent children PAN of relative

The email ID mentioned here belongs to Name of relative _____

☐ Self ☐ Spouse ☐ Dependent parent ☐ Dependent children PAN of relative

Client Signature

* I/We agree to activate my account from dormant status to active status



DECLARATION

I / We hereby declare that the details furnished above are true & correct to the best of my knowledge and undertake to inform you of any changes therein immediately, and I/we may be held liable for any information is found to be false/misreading /misrepresenting. I/We are aware that the information provided herewith shall be updated in accounts maintained at Kotak Securities under intimation to me.

1st Holder

Name _____

2nd Holder

Name _____

3rd Holder

Name _____

☐ Bank Updation / RTGS Facility

☐ Email Consent for Transaction Statement (Only for DP)

☐ Contract Note/Communication Preference (Only for Trading)

FOR OFFICE USE ONLY

CRM Query ID 4

CRM Query ID 5

CRM Query ID 6

Ver 1.01

Date

ACKNOWLEDGEMENT

1 Bank Updation / RTGS Facility

Yes ☐ No ☐

CRM Query ID 4

2 Email Consent for Transaction Statement (Only for DP)

Yes ☐ No ☐

CRM Query ID 5

3 Contract Note/Communication Preference (Only for Trading)

Yes ☐ No ☐

CRM Query ID 6

Name of the Employee _____

Employee Code _____

Your request will be processed within a tentative period of 7 days from the date of receipt of complete documents. In case of queries regarding the status of the request, We request you to call on Customer Service No. 1800 209 9191/1800 222 299/30305757. Demat related complaints write at ks.demat@kotak.com for any other queries or complaints write at service.securities@kotak.com.

From _____

having Trading Code

Client Id

For Kotak Securities Ltd. (Company Seal)

Employee Signature

