

PART I - KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Non-Individuals)



ZUARI FINSERV PRIVATE LIMITED

Registered Office : Jaikisaan Bhawan, Zuarinagar, Goa-403 726 (India)

Corporate Office : Plot No. 2, Zamrudpur Community Centre, Kailash Colony Extension, New Delhi-110048

E-mail: wecare@adventz.zuarimoney.com • Website: www.zuarimoney.com

Please fill this form in ENGLISH and in BLOCK LETTERS

A. IDENTITY DETAILS																				
1.	Name of the Applicant																			
2.	Date of Incorporation	D	D	M	M	Y	Y	Y	Y	Place of incorporation										
3.	Date of commencement of business	D	D	M	M	Y	Y	Y	Y											
4.	a) PAN									b) Registration No. (e.g. CIN)										
5.	Status (please tick any one) ☐ Private Limited Co. ☐ Bank ☐ Partnership ☐ Public Ltd. Co. ☐ Government Body																			
	☐ FI ☐ Body Corporate ☐ Non Government Organization ☐ FII ☐ Trust ☐ Defense Establishment ☐ HUF ☐ Charities																			
	☐ Society ☐ AOP ☐ NGO's ☐ LLP ☐ BOI ☐ Others (please specify) _____																			
B. ADDRESS DETAILS																				
1.	Correspondence Address																			
		City/Town/Village							PIN Code											
		State							Country											
2.	Specify the proof of address submitted for correspondence address																			
3.	Contact Details	Tel. (Off)				Tel. (Res.)				Fax No.										
		Mobile No.				E-mail ID														
4.	Registered Address (if different from above)																			
		City/Town/Village							PIN Code											
		State							Country											
C. OTHER DETAILS																				
1.	Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors										If Space is insufficient, enclose these details separately (illustrative format inclosed)									
2.	DIN of whole time directors																			
3.	Aadhaar Number of Promoters/Partners/Karta																			
D. DECLARATION																				
I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misrepresenting, I am/we are aware that I/we may be held liable for it.										Name & Signature of the Authorised Signatory(ies)		✓								
										Date		D		D	M	M	Y	Y	Y	Y
FOR OFFICE USE ONLY																				
S No.	Particulars																			
1	☐ Originals verified and Self-Attested Documents copies received																			
2	In-Person-Verification (IPV) details:																			
	a) Name of the person doing IPV																			
	b) Designation																			
	c) Name of Organization	Zuari Finserv Private Ltd.																		
	d) Signature																			
	e) Date	D										D	M	M	Y	Y	Y	Y		
Name & Signature of the Authorised Signatory of Zuari Finserv Private Limited										Seal/Stamp of the Zuari Finserv Private Ltd.										
Date										D		D	M	M	Y	Y	Y	Y		

INSTRUCTIONS / CHECKLIST 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 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 authorized 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 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.
- 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/ 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.
 - 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 apostilled or consularised) that gives the registered address should be taken.
 - The proof of address in the name of the spouse may be accepted.
 - Aadhaar Letter issued by UIDAI

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.
- 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 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 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/whole time 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. - Authorized signatories list with specimen signatures
Banks/ Institutional Investors	- Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. - Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	- Copy of SEBI registration certificate. - Authorized signatories list with specimen signatures
Army/ 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.

**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										

1.	Name											Photograph	
	Relationship with Applicant (i.e. promoters, whole time directors etc.)												
	PAN												
	DIN of Whole time directors/Aadhaar No. of Promoters/Partners/Karta												
	Residential / Registered Address												
	City/Town/Village						PIN						
	State						Country						

2.	Name											Photograph	
	Relationship with Applicant (i.e. promoters, whole time directors etc.)												
	PAN												
	DIN of Whole time directors/Aadhaar No. of Promoters/Partners/Karta												
	Residential / Registered Address												
	City/Town/Village						PIN						
	State						Country						

3.	Name											Photograph	
	Relationship with Applicant (i.e. promoters, whole time directors etc.)												
	PAN												
	DIN of Whole time directors/Aadhaar No. of Promoters/Partners/Karta												
	Residential / Registered Address												
	City/Town/Village						PIN						
	State						Country						

4.	Name											Photograph	
	Relationship with Applicant (i.e. promoters, whole time directors etc.)												
	PAN												
	DIN of Whole time directors/Aadhaar No. of Promoters/Partners/Karta												
	Residential / Registered Address												
	City/Town/Village						PIN						
	State						Country						

**Name & Signature of the
Authorised Signatory(ies)**

✓

Date

D	D	M	M	Y	Y	Y	Y
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