

Please fill the Application in **English** and in **BLOCK Letters** with **Black Ink**:**Trading / DP Code / Application No:****A. Identity Details: (Please See the Guide Lines over Leaf)**

1. Name of the Applicant (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name).

Name:

Please affix a recent
passport Size Photo
and sign across it

2. Date of Incorporation:

DD / MM / YYYY

Place

3. Registration No (Eg CIN)

DD / MM / YYYY



Date of Commencement of Business:

DD / MM / YYYY

4. Status: (Please Tick)

☐ Private Ltd Co.☐ Public Ltd Co.☐ Body Corporate☐ Partnership☐ Trust / Charities / NGOs☐ FI☐ FN☐ HUF☐ AOP☐ Bank☐ Govt. Body☐ Non-Govt. Organization☐ Defence Establishment☐ LLP☐ Society☐ Body of Individuals☐ Others (Please Specify):

5. Permanent Account Number (PAN) (MANDATORY)

Please enclose a duly attested copy of your PAN Card

B. Address Details: (Please See the Guide Lines over Leaf)

1. Address for Correspondence

City/ Town/Village:

Pin Code:

State:

Country

2. Contact Details:

Tel (Off):

(ISD)

(STD)

Tel (Resi):

(ISD)

(STD)

Mobile No:

(ISD)

(STD)

Fax No:

(ISD)

(STD)

Email id:

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached

☐ Registered Lease Sale Agreement of office Premises☐ Latest Telephone Bill (Only LL)*☐ Latest Electricity Bill*☐ Latest Bank Account Statement*☐ Any other proof of address document (as listed overleaf)

* Not more than 3 months old.

Validity/Expiry date of proof of address submitted

DD / MM / YYYY

4. Permanent Address of Resident Applicant if different from B1 above OR Overseas Address (Mandatory) for Non-Resident Applicant

City/ Town/Village:

Pin Code:

State:

Country

5. Proof of address to be provided by Applicant. Please Submit ANY ONE of the following valid document & tick (✓) against the document attached.

☐ Registered Lease Sale Agreement of office Premises☐ Latest Telephone Bill (Only LL)*☐ Latest Electricity Bill*☐ Latest Bank Account Statement*☐ Any other proof of address document (as listed overleaf)

* Not more than 3 months old.

Validity/Expiry date of proof of address submitted

DD / MM / YYYY

C. Other Details (please see guidelines overleaf)

1. Gross Annual Income Details:

☐ Upto 1 lac☐ 1-5 Lac☐ 5-10 Lac☐ 10-25 Lac☐ 25 Lac- 1 Crore☐ > 1 Crore

2. Net worth

(Should not be older than one Year)

as on Date

DD / MM / YYYY

3. Name, PAN, DIN/UID, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors

(Please use the Annexure to fill in the details)

4. Is the entity involved/providing any of the following service

☐ Yes☐ No

For Foreign Exchange/Money Changer Services

☐ Yes☐ No

Money Lending / Pawning

☐ Yes☐ No

Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates)

☐ Yes☐ No

5. Any other information:

Declaration : - I hereby declare that the details furnished above are true and correct to the best of my / our 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 / we are aware that I / we may be held liable for it. I/We hereby authorise you to debit service request charges if any, to my/our trading account maintained with you.

Signature of Authorised Person



Place:

Date:

/

/

For Office Use Only:

Inperson Verification Carried Out On

DD / MM / YYYY

Name of Official:

Designation:

Employee / AP Code:

Signature & Branch /AP Seal

☐ (Originals Verified) Self Certified Documents & (Attested) True copies of documents received

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 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 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 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.)

- In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs 50, 000/- p.a.
- In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people 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 document

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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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)	<ul style="list-style-type: none"> Copy of SEBI registration certificate. Authorized signatories list with specimen signatures.
Army/ Government Bodies	<ul style="list-style-type: none"> Self-certification on letterhead. Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> 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.

Name of the Applicant: _____ PAN NO: _____

Name & Signature of the Authorised Signatory(ies)Date:

D	D	/	M	M	/	Y	Y	Y	Y
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PEP: Politically Exposed Person

RPEP: Related to Politically Exposed Person

HUF DECLARATION

To,

Date:

Way2wealth Brokers Private Limited
 Way2wealth Commodities Private Limited
 Front Line Grandeur, Ground Floor,
 No.14, Walton Road,
 Bangalore – 560 001

Dear Sir,

I, the undersigned _____ the present Karta and we the undersigned _____, the present adult members of the Hindu Undivided family of _____ (hereinafter referred to as “the said joint family”) are desirous of opening a Trading Account with Way2Wealth Brokers Pvt. Ltd / Way2wealth Commodities Private Limited at its Branch in the name of _____, Hindu Undivided Family.

In the event of the Brokers acceding to our desire and opening the said Account, I _____, Karta in my personal capacity and for and on behalf of not only the present members, but the future members of the said joint family with intent to bind our interest in the undivided family property and our several separate properties and also with intent to bind so far as possible the interest of the minor members of the said joint family undertake and agree with the BROKERS.

(a) That Shri _____ as the Karta of the said joint family is entitled to deal in connection with the said family without any authority from the other members of the said joint family.

(b) To give written notice thereof to the BROKERS in the event of any Partition or any separation of any members of the said joint family.

(c) Any amount due to the BROKERS from the said joint family under its account with the BROKERS shall be recoverable from all or any of us personally and also from the properties of the said joint including the share of the minors therein.

(d) Any member who shall have separated from the said joint family shall continue to be liable to the BROKERS for any amount due under the account of the said joint family pending notice in writing to the BROKERS of such separation.

Names and ages of the Minor Members of the Hindu Undivided family

Name		DOB		Sex		Relation Ship	
Name		DOB		Sex		Relation Ship	
Name		DOB		Sex		Relation Ship	
Name		DOB		Sex		Relation Ship	
Name		DOB		Sex		Relation Ship	

Yours Faithfully,

Name		DOB		Sex		Relation Ship		Sign	
Name		DOB		Sex		Relation Ship		Sign	
Name		DOB		Sex		Relation Ship		Sign	
Name		DOB		Sex		Relation Ship		Sign	
Name		DOB		Sex		Relation Ship		Sign	



(Signature of Karta)