



# RR EQUITY BROKERS PVT. LTD.

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## Know Your Client (KYC)

Please fill in ENGLISH and in BLOCK LETTERS with black ink

### Application Form (For Individuals Only)

Application No. :

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

##### 1. Name of Applicant (As appearing in supporting identification document)

Name

Father's / Spouse's Name

COLOUR  
PHOTOGRAPH  
Please affix  
a recent passport  
size photograph and  
sign across it

##### 2a. Gender Please tick (✓) Male Female 2b. Marital Status Please tick (✓) Single Married

2c. Date of Birth

3. Nationality Please tick (✓)  Indian  Others

4. Status Please tick (✓)  Resident Individual  Non Resident  Foreign National (Passport copy mandatory for NRIs and Foreign Nationals)

5. PAN  Please enclose a duly attested copy of your PAN Card.

Unique Identification Number (UID)/Aadhaar, if any \_\_\_\_\_

##### 6. Proof of Identity submitted for PAN exempt cases Please tick (✓)

UID (Aadhaar)  Passport  Voter ID  Driving License  Other  (please see guideline 'D' overleaf)

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

##### 1. Address for Correspondence

City / Town / Village  Pin Code

State  Country

##### 2. Contact Details

Tel. (Off.)  Tel. (Res.)

Mobile  Fax

E-Mail Id.

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

Passport  Ration Card  Registered Lease / Sale Agreement of Residence  Driving License  Voter Identity Card  \*Latest Bank Account Statement/Passbook  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill  Others  \*Not more than 3 months old.

##### 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 documents & tick (✓) against the document attached.

Passport  Ration Card  Registered Lease / Sale Agreement of Residence  Driving License  Voter Identity Card  \*Latest Bank Account Statement/Passbook  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill  Others  \*Not more than 3 months old.

#### 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. I hereby declare that I am not making this application for the purpose of contravention of any Act, Rules, Regulations or any statute of legislation or any notifications directions issued by any governmental or statutory authority from time to time. I hereby authorise sharing of the information furnished on this form with all SEBI registered KYC Registration Agencies/ SEBI Registered Intermediaries

Place : \_\_\_\_\_ Date : \_\_\_\_\_

#### SIGNATURE OF APPLICANT

#### FOR OFFICE USE ONLY

IPV Done  on

#### RR EQUITY BROKERS PVT. LTD.

(Originals/Verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary should contain  
Staff Name  
Emp.No./ARN. No  
Designation  
Name of the Organization  
Signature  
Date  
Documents Attestation

Seal/Stamp of the intermediary should contain  
Staff Name  
Emp.No./ARN. No  
Designation  
Name of the Organization  
Signature  
In Person Verification

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card.
2. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant 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 list mentioned under [E].
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 addresses 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/PIOCard/OCI Card and overseas address proof is mandatory.
8. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
9. 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.

### B. Proof of Identity (POI): List of documents admissible as Proof of Identity (\*Documents having an expiry date should be valid on the date of submission.):

1. PAN card with photograph. This is a 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.

### 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.)

1. Passport/Voters Identity 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 Managers of Scheduled Commercial Banks/Scheduled Co-operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly or Parliament/Documents issued by any Govt. or Statutory Authority.
6. 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.
7. 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.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. Investments(including SIPs), in Mutual Fund schemes upto Rs.50000/ per investor per year per mutual fund.

### E. List of people authorized to attest the documents after verification with the originals:

1. 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).
2. 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.
3. Government authorised officials who are empowered to issue Apostille Certificates.

In case of Mutual Fund following persons can additionally attest

1. KYD compliant mutual fund distributors.
2. Authorised officials of Asset Management Companies (AMC).
3. Authorised officials of Registrar & Transfer Agent (R&T) acting on behalf of the AMC.

### F. List of people authorized to perform In Person Verification (IPV):

1. Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (for investors investing directly).
2. In case of NRI applicants, a person permitted to attest documents in E(5) above, may also conduct the In Person Verification and confirm the Same in the KYC Form.

In case of Mutual Fund following persons can additionally attest

1. KYD compliant mutual fund distributors.
2. Authorised officials of Asset Management Companies (AMC).
3. Authorised officials of Registrar & Transfer Agent (R&T) acting on behalf of the AMC.