Know	Your	Client	(KYC)	
------	------	--------	-------	--

Ν

	Please fill in ENGLISH and in BLOCK LETTERS with black ink	ing.21 Barakhamba Road, 102 E-mail: equity@rrfcl.com Website : www.rr Application Form (For N	finance.com on-Individuals Or	nly) Applicaito	n No.	
	A. Identity Details (please see guidelines ov					
	I. Name of Applicant (Please write complete name a	s per Certificate of Incorporation/Registratio	n; leaving one box blank b	etween 2 words. Please	do not abbreviate the Na	me)
	2. Date of Incorporation	m m / y y y y				
	Place of Incorporation					Please affix
	3. Registration No. (e.g. CIN) Date of commencement of business					the recent passport size photograph of
		i d / m m / y y y Public Ltd. Co. Body Corporate	Partnership	Trust/Charities/NO	504	Authorised Signatory
		AOP Bank	Government Body	Non-Government		and sign across it
	Defence Establishment Body of Individuals		Others (Please Spece)		organisation	
	5. Permanent Account Number (PAN) (MAN	DATORY)	PI	ease enclose a duly atte	ested copy of your PAN Ca	rd
►Ï	B. Address Details (please see guidelines ov	erleaf)				
	I. Address for Correspondence	,				
	City/Town/Village State		Country		Postal Code	
	2. Contact Details Tel. (Off.) (ISD) (STD) Mobile (ISD) (STD)		Tel.(Res.) (151			
	E-mail Id.		rax (131			
	City/Town/Village State 5. Proof of address to be provided by Appli * Latest Telephone Bill (only Land Line) *				Postal Code (√) against the d Lease / Sale Agreement o	
	Any other proof of address document (as listed over * Not more than 3 Months old. Validity/Expiry	leaf) (Please Specify)		Ŭ	0	
►Ì	C. Other Details (please see guidelines over					
	I. Gross Annual Income Details (Please tick () : Income range per annum : 🗌 Below I	Lac 🗌 I-5 Lac 🗌	5-10 Lac 🗌 10-25	Lac 🗌 25 Lacs - I C	rore \Box > I Crore
	2. Net-worth in ₹. (*Net worth should not be older than I year)			as on (date	e)	m / y y y y
	("Net worth should not be older than 1 year) 3. Name, PAN, DIN/UID, residential address (Please fill Annexure for the details)	and photograph of Promoters/P	artners/Karta/Trust	ees/whole time d	irectors	
	4. Is the entity involved/providing any of the			s, betting syndicates)	🗌 Yes 🗌 No	
	For Foreign Exchange / Money Changer Services Money Lending / Powning Yes No Any other information:					
	- Money Lending / Powning Yes No 4. Any other information:					
	- Money Lending / Powning 🗌 Yes 🗌 No		NAME & SIGN OF AUTHO	. ,		
a t	Money Lending / Powning Yes No Any other information: DECLARATION I/We hereby declare that the details furnished above are true and corr and I/We undertake to inform you of any changes therein, immediately, be false or untrue or misleading or misrepresenting, I/we am/are aware	In case any of the above information is found to that I/we may be held liable for it.		RISED	<i>E</i>	
a t	Money Lending / Powning Yes No Any other information: DECLARATION I/We hereby declare that the details furnished above are true and corr and I/We undertake to inform you of any changes therein, immediately.	In case any of the above information is found to that I/we may be held liable for it. Date:	OF AUTHO PERSON	RISED	R.	
a t I	Money Lending / Powning Yes No Any other information: DECLARATION I/We hereby declare that the details furnished above are true and corr and I/We undertake to inform you of any changes therein, immediately. be false or untrue or misleading or misrepresenting, I/we am/are aware Place:	In case any of the above information is found to that I/we may be held liable for it. Date:	OF AUTHO	RISED I(S)	•	
a t I N	Money Lending / Powning Yes No Any other information: DECLARATION I/We hereby declare that the details furnished above are true and corr and I/We undertake to inform you of any changes therein, immediately, be false or untrue or misleading or misrepresenting, I/we am/are aware	In case any of the above information is found to that I/we may be held liable for it. Date: FOR OFFIC	OF AUTHO PERSON CE USE ONLY	RISED I(S) Designatu	•	

INSTRUCTIONS / CHECK LIST FORM FILLING KYC FORM

A. IMPORTANT POINTS:

- I. Self attested copy of PAN card is mandatory for all clients.
- 2. Copies of all the documents submitted by the applicant should be selforiginals 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.
- 3. 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.
- 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.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of
 passport/PIOCard/OCIC 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:

- PAN card with photograph. This is a mandatory requiremet 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 ailiated 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.)
 - I. 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.
- 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 Conferencial Banks/Scheduled Co-Operative Bank/ Multinationa 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 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.
- 8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarications 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.
- 2. Investors residing in the state of Sikkim.
- 3. UN entities/multilateral agencies exempt from paying taxes/ling tax returns in India.
- 4. SIP of Mutual Funds upto Rs 50,000/- p.a.
- 5. In case of institutional clients, namely, FIIs, Mfs, VCFs, FVCIsnt for all , 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 :

Type 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 SEB1 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	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 HUE
	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	Proof of Existence/Constitution document.
or a Body of Individuals	 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.

	s and who	le time di	rectors	forming a	part of	Know	four Clie	nt (KTC) Ap	plicatio	n rorm	tor Non	-individuals
me of Applicant							PA	N of the Applica	nt			
Name												
PAN		DIN (For	· Directors)	/ UID (for O	hers)							
Residential /Registered Address												
												PHOTOGRAPH
City/Town/Village State				Count	'y		Pii	1 Code				
Relationship with Applicant (i.e. promoters, whole time directors e	etc.)											
Wether Politically Exposed	□ P	EP (Politically	Exposed Pe	erson)	RPEP (Rel	ated to Po	olitically Exp	osed Person)	🗆 NO			
Name												
PAN Residential /Registered Address		DIN (For	Directors)	/ UID (for O	hers)							
												PHOTOGRAPH
City/Town/Village							Pii	n Code			_	THUTUGHATH
State				Count	у							
Relationship with Applicant (i.e. promoters, whole time directors e	etc.)											
Wether Politically Exposed	□ P	EP (Politically	Exposed Pe	erson)	RPEP (Rel	ated to Po	olitically Exp	osed Person)	□ NO			
Name												
PAN Residential /Registered Address		DIN (For	[•] Directors)	/ UID (for O	hers)							
City/Town/Village							Pir	1 Code			_	PHOTOGRAPH
				Count	·v						-	
State				count	y							
State Relationship with Applicant (i.e. promoters, whole time directors e	etc.)				y 							
		EP (Politically	Exposed Pe			ated to Po	olitically Exp	osed Person)				
Relationship with Applicant (i.e. promoters, whole time directors e		EP (Politically	Exposed Pe			ated to Po	olitically Exp	osed Person)	□ NO			
Relationship with Applicant (i.e. promoters, whole time directors of Wether Politically Exposed Name PAN					RPEP (Rel	ated to Po	olitically Exp	osed Person)	□ NO			
Relationship with Applicant (i.e. promoters, whole time directors of Wether Politically Exposed				erson)	RPEP (Rel	ated to Po	olitically Exp	osed Person)	NO			
Relationship with Applicant (i.e. promoters, whole time directors of Wether Politically Exposed Name PAN Residential /Registered Address				erson)	RPEP (Rel	ated to Po			NO			PHOTOGRAPH
Relationship with Applicant (i.e. promoters, whole time directors of Wether Politically Exposed Name PAN Residential /Registered Address City/Town/Village				erson)	hers)	ated to Po		osed Person)	NO			PHOTOGRAPH
Relationship with Applicant (i.e. promoters, whole time directors of Wether Politically Exposed Name PAN Residential /Registered Address City/Town/Village State	P			erson)	hers)				NO			PHOTOGRAPH
Relationship with Applicant (i.e. promoters, whole time directors of Wether Politically Exposed Name PAN Residential /Registered Address City/Town/Village	P		Directors)	erson)	hers)		Pir		NO			PHOTOGRAPH
Relationship with Applicant (i.e. promoters, whole time directors of Wether Politically Exposed Name PAN Residential /Registered Address City/Town/Village State Relationship with Applicant (i.e. promoters, whole time directors of Wether Politically Exposed	P	DIN (For	Directors)	erson)	hers)		Pir	1 Code				PHOTOGRAPH
Relationship with Applicant (i.e. promoters, whole time directors of Wether Politically Exposed Name PAN Residential /Registered Address City/Town/Village State Relationship with Applicant (i.e. promoters, whole time directors of Vether Politically Exposed Name Name PAN	P	DIN (For	Directors)	erson)	RPEP (Rel hers) y RPEP (Rel		Pir	1 Code				PHOTOGRAPH
Relationship with Applicant (i.e. promoters, whole time directors of Wether Politically Exposed Name	P	DIN (For	Directors)	erson)	RPEP (Rel hers) y RPEP (Rel		Pir	1 Code				
Relationship with Applicant (i.e. promoters, whole time directors of Wether Politically Exposed Name PAN Residential /Registered Address City/Town/Village State Relationship with Applicant (i.e. promoters, whole time directors of Wether Politically Exposed Name PAN Relationship with Applicant (i.e. promoters, whole time directors of Wether Politically Exposed Name PAN Residential /Registered Address	P	DIN (For	Directors)	erson)	RPEP (Rel hers) y RPEP (Rel		Pirically Exp	n Code				PHOTOGRAPH
Relationship with Applicant (i.e. promoters, whole time directors of Wether Politically Exposed Name PAN Residential /Registered Address City/Town/Village State Relationship with Applicant (i.e. promoters, whole time directors of Vether Politically Exposed Name Name PAN	P	DIN (For	Directors)	erson)	RPEP (Rel hers) y RPEP (Rel hers)		Pirically Exp	1 Code				
Relationship with Applicant (i.e. promoters, whole time directors of Wether Politically Exposed Name PAN Residential /Registered Address City/Town/Village State Name Pelationship with Applicant (i.e. promoters, whole time directors of Wether Politically Exposed Name PAN Residential /Registered Address City/Town/Village City/Town/Village		DIN (For	Directors)	erson)	RPEP (Rel hers) y RPEP (Rel hers)		Pirically Exp	n Code				

