

# Know Your Client – KYC

## Application Form for Individuals / Corporates

### Investment, Portfolio and Financial plan Profiler

We thank you for choosing Sinhasi Consultants Pvt Ltd, ('Sinhasi/Company') as your preferred Investment advisor/Distributor. We request you to complete and sign all the documents and forms as indicated below, in your best interest. Your form shall be accepted by Sinhasi if completely filled out and executed as per the instructions below. Please fill the application and only then hand it over to the Sinhasi Representative. Thank you.

The questions below may assist you in assessing your risk appetite and attitude towards risk, financial ability and investment objectives before you select an appropriate investment for yourself, across all asset classes, i.e. equity, debt, commodities, real estate, Life insurance products, health insurance products, and all other investments.

- Please tick the most appropriate answer to each question.
- Please answer all questions and details requested on all pages.

Date: DD / MM / YYYY

Name: Mr. ☐ Mrs. ☐ Ms. ☐ Dr. ☐ Prof. ☐ Company ☐

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First Name\* Middle Name\* Last Name\*

Name should match details in PAN Card

Nationality: ☐ Indian ☐ Other (Pls. specify) \_\_\_\_\_

City \_\_\_\_\_ Date of Birth DD / MM / YYYY

Address \_\_\_\_\_

Sinhasi Account No. :

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### Basic Financial Information

The following questions are useful in helping us understand more about your financial information and status so as to help us evaluate the extent to which you should take investment risks in your investments and financial plan and assist us in generating your investment portfolio

#### 1. What is your current Liquid Net Worth?

Please note that your liquid net worth can be defined as the sum of (a) your investment assets (which include your current accounts, savings and investments held within or outside Sinhasi but excluding your home/s and businesses that you own) minus (b) your total of any loans/liabilities that you have.

Range : ☐ upto ₹ 25 lakhs ☐ ₹ 25 lakhs - ₹ 1 crore ☐ ₹ 1 crore - ₹ 2.5 crore ☐ ₹ 2.5 crore and above

#### 2. What is your current employment status?

☐ Self-employed/Own business ☐ Employee ☐ Retired ☐ Student  
☐ Homemaker Others (pls. specify) \_\_\_\_\_

### Your Personal Rating – Related to Risk

#### A) Your capacity to take risk:

The following questions are useful in helping us evaluate the extent to which you should take investment or portfolio risks in your financial plan/investments/portfolio with Sinhasi.

Tick the most appropriate answer to each question:


#### 1. What is your age? (N.A. for Corporates)



a) ☐ Below 35 years      b) ☐ Between 35 years and 45 years      c) ☐ Between 45 years and 55 years  
d) ☐ Between 55 years and 65 years      e) ☐ Above 65 years

#### 2. What is the overall time horizon that you are planning to have for your financial plan/investments portfolio with Sinhasi?

a) ☐ Less than 3 Years      b) ☐ Between 3 years to 10 years      c) ☐ 10 Years and Above

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**3. What percentage of your liquid net worth are you investing through your financial plan/investments/portfolio in this association with Sinhasi?**

Please note that your liquid net worth can be defined as the sum of (a) your investment assets (include current accounts, savings and investments held within or outside Sinhasi but excluding your home/s and businesses that you own) minus (b) your total of any loans/liabilities that you have

- a) ☐ Less than 25%      b) ☐ Between 25% and 50%      c) ☐ More than 50%      d) ☐ 100%

**4. Keeping in mind the overall time horizon that you are planning for your portfolio with Sinhasi (stated in question no 2), what is the intermediate cash outflow required from the portfolio.**

- a) ☐ Not at all. I do not require funds from the portfolio during the stated period.  
b) ☐ I will require 25% of the invested capital, during the stated period.  
c) ☐ I will require 50% of the invested capital, during the stated period.  
d) ☐ I will require 100% of the invested capital, during the stated period.

**5. In relation to the previous question, when do you want the required out flow to begin?**

- a) ☐ Immediately      b) ☐ Between 1<sup>st</sup> & 3<sup>rd</sup> Year      c) ☐ Between 3<sup>rd</sup> & 5<sup>th</sup> Year      d) ☐ After 5<sup>th</sup> Year  
e) ☐ None

**B) Your attitude towards risk:**

The following questions are useful in helping us evaluate the extent to which you should take investment/portfolio risks in your financial plan/investments/portfolio with Sinhasi

**6. Which of the following statements best describes your investment objectives for your financial plan/investments/portfolio with Sinhasi?**

	Typical Portfolio Allocation
a) <b>Defensive:</b> My primary objective is to protect capital and seek regular stream of income returns.	100% Cash equivalent/Debt
b) <b>Income oriented:</b> I primarily seek a regular stream of income returns and also some capital appreciation as a secondary consideration.	75% Debt / 25% Equities
c) <b>Growth and income:</b> I seek a balance of regular income returns and capital appreciation over a medium / long term.	50% Bonds / 50% Equities
d) <b>Growth oriented:</b> I predominately seek capital growth over time and also some regular income returns as a secondary consideration.	25% Debt / 75% Equities
e) <b>Growth:</b> I seek only capital appreciation over time and I do not seek any regular income from my investments	100% Equities
f) <b>Specialist investing:</b> I seek to invest in specialist investments that maybe subject to substantial fluctuations in the capital value, uncertain pricing, limited liquidity and/or lack of redemption rights.	100% derivatives, specialised structured products, PE funds, etc

**7. Which of the following statements best describes your ability to tolerate different types of risk with your financial plan / investments / portfolio with Sinhasi?**

a) My preference is for investments with no or negligible price movements, and with the ability to sell my investments at short notice i.e. within one week or a maximum period of one year.
b) I can tolerate limited negative price movements on my investments and prefer investments that I can sell at short notice i.e. within one week or for a price that is certain and close to the recent market average.
c) I can tolerate negative price movements on my total investments and prefer debt investments that I can sell for a price that is certain and close to the recent market average, and equity investments that may suffer substantial negative price movement, having a risk of losing their entire value, may be difficult to sell or have an uncertain price at any given time, or do not allow me to sell my investment over an extended period.
d) I can tolerate investments that may suffer substantial negative price movements having a small risk of losing their entire value, may be difficult to sell or have an uncertain price at any given time, such that I may only be able to sell at a price below the recent market average.
e) I can tolerate investments or financial contracts that may suffer substantial negative price movements, have a significant risk of losing their entire value, that may be difficult to sell or have an uncertain value at any given time, or do not allow me to sell my investment over an extended period.
f) I can tolerate investments or financial contracts that may have a high risk of losing their entire value or may even lose more than my initial investment, that may be very difficult to sell or have a highly uncertain value at any given time, or do not allow me to sell my investment over an extended period.


## Your Knowledge and Experience



The following questions are useful in helping us evaluate the extent of your familiarity and knowledge of different types of investment products.

**1. Your investment knowledge and experience is best described as follows:**

- a) ☐ **Limited** - I have little or no knowledge of products outside traditional bank savings accounts or time-deposits.
- b) ☐ **Moderate** - I have general knowledge and understanding of investment products, which are not traditional bank savings accounts or time deposits and related risks.
- c) ☐ **Extensive** - I have extensive knowledge and understanding of investment products generally and am an active and experienced investor comfortable making my own investment decisions.

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## Personalised Investment Managers



<b>2. Please indicate which of the following products you have knowledge of and/or experience before:</b>	Please indicate the method of acquiring knowledge of and/or experience below:			
	I have knowledge and experience in this product area based on past investment experience/education/ profession/knowledge/other external source		I have been provided with knowledge about this product by Sinhasi	
	(Section A)		(Section B)	
Kindly tick your response under 'Yes' or 'No'	Yes	No	Yes	No
Mutual Fund/Portfolio Management Services (PMS) - across all asset classes				
Bonds and FDs				
Post Office Schemes/PPF				
Real Estate Fund/REIT Fund/Art Fund/Private Equity Fund				
Shares and IPOs				
Unit Linked/Investment Linked Life Insurance Plans				
Term Life Insurance Plans				
Endowment/Guaranteed Return Life Insurance Plans				
Variable and Fixed Annuities/Pension Plans				
General - Mediclaim and Health Insurance Plans				
General -Travel/Household & Other Insurance Plans				
Derivatives(Futures, Options, Swaps)				
Others				

**In case you have chosen your response as 'Yes' to any of the product under section 'B' above, \*Kindly tick the most appropriate option for products where applicable (Multiple Selection allowed)**

	Explained and/or Handed Over			
Products	General Product Info / Fact Sheets	Prospectus / Risk Disclosure	Return Expectation Payoff	Others-PI Specify
Mutual Fund/Portfolio Management Services(PMS) - across all asset classes				
Bonds and FDs				
Post Office Schemes/PPF				
Real Estate Fund/REIT Fund/Art Fund/Private Equity Fund				
Shares and IPOs				
Unit Linked/Investment Linked Life Insurance Plans				
Term Life Insurance Plans				
Endowment/Guaranteed Return Life Insurance Plans				
Variable and Fixed Annuities/Pension Plans				

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General - Mediclaim and Health Insurance Plans				
General -Travel/Household & Other Insurance Plans				
Derivatives(Futures, Options, Swaps)				
Others				


I /We have read and understood the investment product education materials as detailed in the General information Document of the product category (ies). I/We acknowledge that the risks, disclosures and other information are not an exhaustive description of the risks involved in investment transactions and will consult my legal, regulatory, tax, financial and/or accounting advisors to the extent necessary, and read the offer documents or other marketing materials pertaining to the specific product prior to entering into a financial transaction.



### Investment Risk Profile (for Sinhasi use)

**Based on your answers to all the risk capacity and risk attitude questions, you have been assigned one of the following Rating:**

L1: <input type="checkbox"/> Safety Oriented	<p><b>Risk Tolerance:</b> Based on your above responses you have given us, it appears that you should be limited to investments with no or negligible price movements, which can be sold at short notice, i.e within one week or a maximum period of one year.</p> <p><b>Investment Objective:</b> This investor rating is suitable for investments or investment strategies that aim to protect capital and generate interest income equal to or more than money market rates.</p>
L2: <input type="checkbox"/> Conservative	<p><b>Risk Tolerance:</b> Based on your above responses you have given us, it appears that you can follow investment strategies with a risk of limited negative price movements and that you can buy investments that can be sold at short notice, i.e within one week or for a price that is certain and close to the recent market average.</p> <p><b>Investment Objective:</b> This investor rating is suitable for investments or investment strategies that aim primarily to provide regular income returns and may provide some capital appreciation as secondary consideration.</p>
L3: <input type="checkbox"/> Moderate	<p><b>Risk Tolerance:</b> Based on your above responses you have given us , it appears that you can follow investment strategies with a risk of moderate negative price movements and that you can buy debt investments that can be sold in short notice i.e within one week or for a price that is certain and close to the recent market average and buy equity investments with a risk of negative price movement having a small risk of losing their entire value, may be difficult to sell or have an uncertain price at any given time, such that they may only be sold at price below the recent market average, or it may not be allowable to sell them over an extended period.</p> <p><b>Investment Objective:</b> This investor rating is suitable for investments or investment strategies that aim provide both regular income returns and capital appreciation.</p>
L4: <input type="checkbox"/> Aggressive	<p><b>Risk Tolerance:</b> Based on your above responses you have given us , it appears that you can follow investment strategies with a risk of substantial negative price movement and that you can buy investments that having a small risk of losing their entire value, may be difficult to sell or have an uncertain price at any given time, such that they may only be so at price below the recent market average, or it may not be allowable to sell them over an extended period.</p> <p><b>Investment Objective:</b> This investor rating is suitable for investments or investment strategies that typically aim to provide only capital appreciation and no or little regular income returns.</p>

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### Personalised Investment Managers

L5: <input type="checkbox"/> Very Aggressive	<p><b>Risk Tolerance:</b> Based on your above responses you have given us, it appears that you can buy investment or entire financial contracts with a risk of substantial negative price movements, that have a significant risk losing their entire value, that may be difficult to sell or have an uncertain value at any given time, or it may not be allowable to sell them over an extended period.</p> <p><b>Investment Objective:</b> This investor rating is suitable for specialist investments or investment strategies that may require an extended period to liquidate and which seek to provide aggressive capital appreciation over time.</p>
L6: <input type="checkbox"/> Very Aggressive	<p><b>Risk Tolerance:</b> Based on your above responses you have given us, it appears that you can buy investments or entire financial contracts that may have a high risk of losing their entire value or may even lose you more than your initial investment. They may also be very difficult to sell or have a highly uncertain value at any given time, or it may not be allowable to sell them over an extended period.</p> <p><b>Investment Objective:</b> This investor rating is compatible with long-term specialist investments or investment strategies that may not be liquidated before maturity and which aim to provide very aggressive capital appreciation over time.</p>

**Based on your knowledge and experience, you are eligible to buy product/s in the following highlighted categories :**

1. <input type="checkbox"/> Mutual Fund/PMS 2. <input type="checkbox"/> Bonds and FDs 3. <input type="checkbox"/> Post Office Schemes/PPF <input type="checkbox"/> Debt <input type="checkbox"/> Equity 4. <input type="checkbox"/> Real Estate Fund/REIT Fund/Art Fund/Private Equity Fund 5. <input type="checkbox"/> Shares and IPOs 6. <input type="checkbox"/> Unit Linked/Investment Linked Life Insurance Plans 7. <input type="checkbox"/> Term Life Insurance Plans	8. <input type="checkbox"/> Endowment/Guaranteed Return Life Insurance Plans 9. <input type="checkbox"/> Variable and Fixed Annuities/Pension Plans 10. <input type="checkbox"/> General - Mediciam and Health Insurance Plans 11. <input type="checkbox"/> General-Travel / Household and Other Insurance Plans 12. <input type="checkbox"/> Derivatives (Futures, Options, Swaps) 13. <input type="checkbox"/> Others 14. <input type="checkbox"/> Others
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**PLEASE NOTE THAT ANY CHANGE IN YOUR INVESTMENT RISK PROFILE GENERATED THROUGH THE SINHASI RISK PROFILE QUESTION ARE WILL BE DONE AGAIN ONLY IF A SEPARATE WRITTEN REQUEST IS RECEIVED BY US FROM YOUR END.**

**The form should be signed after all the details are completely filled.**


### Disclaimer



**Investment products** are not bank deposits or obligations of or guaranteed by Sinhasi Consultants Pvt Ltd, are not insured by any governmental agency and are subject to investment risks, including the possible loss of the principal amount invested. Past performance is not indicative of future results, prices can go up or down. Investors investing in funds denominated in non- local currency should be aware of the risk of exchange rate fluctuations that may cause of loss of principal amount invested. This document does not constitute the distribution of any information or the making of any offer or solicitation by anyone in any jurisdiction in which such distribution or offer is not authorized or to any person to whom it is unlawful to distribute such a document or make such an offer or solicitation. Investments are subject to market risk. Please read the Key Information Memorandum(s)/Scheme Investment Document(s) & Statement of Additional Information/Term Sheet/Prospectus carefully before investing.

**Insurance products** are obligations only of the Insurance Company. They are not bank deposits of or guaranteed by Sinhasi Consultants and / or Sinhasi Consultants Pvt Ltd or any of its affiliates. All claims under the policy will be solely decided upon by the Insurance Company or any of their affiliates. Sinhasi Consultants and / or Sinhasi Consultants Pvt Ltd hold no warranty and do not make any representation about the insurance, the quality of claims processing and shall not be responsible for claims, recovery of claims, or for processing of or clearing of claims, in any manner whatsoever. Insurance is the subject matter of solicitation. This document does not constitute the distribution of any information or the making of any offer or solicitation by anyone in any jurisdiction in which such distribution or offer is not authorized or to any person to whom it is unlawful to distribute such a document or make such an offer or solicitation.

For more details on risk factors, terms and conditions of any life insurance products, and health insurance products, please read the sales brochure carefully before concluding the sale.

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#### Personalised Investment Managers

Investment risk in the investment portfolio shall be solely borne by the Policy Holder. The premium paid in Unit Linked Life Insurance policies are subject to investment risk associated with capital markets and the NAVs of the units may go up or down based on the performance of the fund and factors influencing the capital market and the insured is responsible for his or her decision.

The underlying Fund's unit Price will be affected by interest rates and the performance of the underlying stocks. The funds unit price may go up or down reflecting the market value of the underlying assets.

#### Insurance Products - Credit Risk

The insurance policy is subject to the risk that the chosen insurance companies may be unable to pay any amount due under the policy. In such cases, the entire insured amount and any other amounts due under the policy may come under risk of complete or partial loss. Additionally, any shortfall between the fund's unit price at Fund maturity and the Guaranteed Unit Price, as applicable, shall be solely met by chosen insurance companies. Investors are therefore exposed to the credit risk of the chosen insurance companies.

#### Early Redemption Risk

Insurance Products - Repayment of investment proceeds at the guaranteed unit price is subject to the investors continuing their investment till policy maturity. Redemption of units prior to policy maturity will be determined by the prevailing Unit Price of the policy. Consequently, investors exiting prior to the policy maturity date may receive an amount less than the Guaranteed Unit Price and the initial investment.

#### Section 41 of The Insurance Act 1938: Prohibition of Rebates

1) No person shall allow or offer to allow either directly or indirectly as an inducement to any person to take out or renew or continue an Insurance in respect of any kind of risk relating to lives or property in India any rebate of the whole or part of the commission payable or any rebate of the premium shown on the policy nor shall any person taking out or renewing or continuing the policy accept any rebate as may be allowed in accordance with the published prospectus or table of the insurer.

2) If any person fails to comply with regulation above he shall be liable to payment of fine, which may extend to five hundred rupees.

#### Declaration — General

I hereby declare that the information provided by me for the purpose of risk profile assessment and the information in this form are true, correct and complete to the best of my knowledge and belief.

I have read and understood and have agreed to the appended terms and conditions governing the relationship between myself and Sinhasi Consultants Pvt. Ltd ("Company") and those relating to various services that are being provided, or may be provided by the Company from time to time.


I hereby authorise the Company to share, exchange and disclose information contained herein to its affiliates and /or group companies, agents or to any third party service provider for the purpose of processing, storing the information and/or using or analysing the same with respect to the products and/or services being offered to me from time to time by the Company and to serve me better and to manage the relationship between myself and the Company.



NAME OF THE CLIENT

SIGNATURE

DATE/TIME

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## Terms and Conditions

**Sinhasi Consultants Pvt. Ltd. ("Company") shall provide the aforementioned products and services as per the following terms and conditions:**

- Recommendations/Suggestions shall be made based on the facts and information disclosed by the Client. The Client is solely and completely responsible for providing the Company with the correct information, facts and figures for the purpose of the Client's Financial Plan / Investment Suggestions and the Risk Profiler of the Client being prepared by the Company. The Client understands that the products and services provided to the Client and the manner in which the products and services are provided shall be based on the information provided by the Client.
- The risk profile and the financial plan and investment objectives thereto may change from time to time as per market conditions and other factors influencing the same. Upon such change, the Client shall be intimated by the Company and thereafter, the Client shall discuss such changes with the relationship manager / financial advisor indicated by the Company in its communication, in order to adjust the Client's Financial Plan / Investment Suggestions and the Company may offer the Client a Recommendations / Suggestions appropriate to the Client's revised investment objectives, preferences and financial goals.
- The risk category under which you are placed are based on the information provided by you and are determined by analytical tools and software used to arrive at the Client's risk profile and such profile is of indicative nature only. The results cannot be construed to be entirely accurate / comprehensive and the Company or any of its affiliates or employees are not liable for any consequences arising out of any financial decisions or other decisions taken by the Client based on such risk profile assessment.
- The Recommendations / Suggestions offered by the Company are for the Client's consideration only and it is not obligatory or necessary for the Client to act on them. The provision of Recommendations / Suggestions shall not in any way mean or imply that the Company or any of its employees have been in any way involved in the Client's decision making process. The investment decision, if any, shall be taken by the Client in his/her sole and absolute discretion. The Client may therefore obtain legal, tax and/or financial advice before acting on the Recommendations / Suggestions given by the Company.
- The Client shall keep the Company fully indemnified from any loss or damage caused due to any investment decision taken by the Client, whether or not based on Companies' advice in terms hereof.
- Market investments are risky and despite due diligence and appropriate care, market movements may result in deterioration of the investments. The risk associated with any investment would be entirely the Client's risk and the Client shall not hold the Company or any of its employees or affiliates liable for any direct or indirect losses that may arise on account of any investments made as per the financial plan or risk profile provided by the Company.
- Investments in securities and other instruments are subject to market and other risks. The Client is advised to read the respective offer documents carefully for more details on risk factors, terms and conditions before investing in any scheme or product.
- The investment in any product / fund / securities etc. shall be subject to and as per the terms and conditions of the specific products/ funds/ securities offer document, key information memorandum, risk disclosure document, product or sales brochure or any other related documents. The Client must therefore review and read these documents carefully before making any investment decision.
- After deciding the investment to be made, if the Client instructs the Company to make such investment on behalf of the Client, the Company shall carry out only the instructions and in the manner indicated by the Client. In carrying out such instructions, the Company shall neither be obligated to ascertain the source of funds provided by the Client nor be obligated to ascertain whether or not the Client is prohibited from making such an investment. The Client shall hold harmless and keep the Company fully indemnified from and against any actions, claims, disputes, damages and/or losses related to or arising out of such investments made by the Company on behalf of the Client.
- Recommendations/Suggestions of the Company have no role in influencing or modifying decisions taken by the Client and the Company shall carry out your instructions and shall not use any discretion to carry out the Client's instructions.

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## Personalised Investment Managers

- All personal and financial information provided by the Client shall be held in strict confidence and shall not be disclosed or shared except in the manner as agreed by the Client or as otherwise permitted and /or required under any law, or rule or regulation or to comply with any law, order, regulation or as part of any regulatory investigation or for the purposes of providing the products or services requested by the Client.
- Tax benefits, if any, are as per the Income Tax Act, 1961, and are subject to change from time to time. The Company may provide general advice on tax with respect to the investments and the financial plan devised for the Client. But, Client shall be liable to obtain tax advice on the investments being made by Client based on Company advice and Client understands that the Company advice does not factor in any taxes payable thereto.
- Disputes if any, arising out of or relating to any services provided by the Company shall be resolved by way of arbitration in accordance with the Indian arbitration and Conciliation Act, 1996 by a sole arbitrator mutually appointed by client and Company. The laws of India shall be the governing law and the Company and Client shall be subject themselves to the jurisdiction of courts at Bangalore only.
- The above terms and conditions shall be altered, amended or changed in line with the appropriate regulations / circulars from the competent authorities. The Companies may at any time, at its sole discretion, alter, change or amend any of these terms and conditions and / or withdraw any of the products or services offered by it. The Client shall be notified of such changes.

**Declaration — Terms and Conditions:**

I have gone through the above terms and conditions and accept the above.

NAME OF THE CLIENT

SIGNATURE

DATE/TIME

**Risl Profile – Score Card**

This portion shall be provided to Client for his/her signature post evaluation and analysis of the above details .

Score Card		
Question No	Your Selection	Score
1	a	6
	b	5
	c	4
	d	3
	e	2
2	a	2
	b	4
	c	6
3	a	6
	b	4
	c	3
	d	2
4	a	6
	b	4
	c	3
	d	2

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## Personalised Investment Managers

5	a	2
	b	3
	c	4
	d	5
	e	6
6	a	2
	b	3
	c	4
	d	5
	e	6
	f	9
7	a	2
	b	3
	c	4
	d	5
	e	6
	f	9
<b>Yout Total Score</b>		

Your Category	For Individual		For Corporates	
	Score Range	Discription	Score Range	Discription
	Up to 18	Safety Oriented	Up to 12	Safety Oriented
	19 to 24	Conservative	13 to 18	Conservative
	25 to 29	Moderate	19 to 23	Moderate
	30 to 37	Aggressive	24 to 31	Aggressive
	38 to 43	Very Aggressive	32 to 37	Very Aggressive
	44 & Above	Specialized Investing	38 & Above	Specialized investing

Based on the information that you have provided in Investment, Portfolio and Financial Plan profiler, your current investment profile has been evaluated as: \_\_\_\_\_

Please return this letter to us after signing the declaration below.

**Special Comments:**


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**Declaration — Risk Profile:**

I have undergone the risk profiling process set out in the Investment, Portfolio and Financial plan profiler and i understand that i have been placed under the risk category \_\_\_\_\_ based on the information provided by me in the Investment, Portfolio and Financial Plan profiler and I understand the risks accompanying such category.

NAME OF THE CLIENT	SIGNATURE	DATE/TIME
VERIFIED BY (FOR SINHASI)	SIGNATURE	DATE/TIME

SIGNATURE OF CLIENT


**Document Checklist to be obtained from Individuals and Non Individuals for processing all investments:**



Types of entity	Documentary requirements
<b>Individuals / Proprietorship</b>	<ul style="list-style-type: none"> <li>• Photograph, POI, POA, PAN</li> </ul>
<b>Corporate</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>• 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)</li> <li>• Photograph, POI, POA, PAN and DIN numbers of whole time director/two directors in charge of day to day operations</li> <li>• Photograph, POI, POA, PAN of individual promoters holding control — either directly or indirectly</li> <li>• Copies of the Memorandum and Articles of Association and certificate of incorporation</li> <li>• Copy of the Board Resolution for investment in securities market</li> <li>• Authorised signatories list with specimen signatures</li> </ul>
<b>Partnership firm</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>• Certificate of registration (for registered partnership firms only)</li> <li>• Copy of partnership deed</li> <li>• Authorised signatories list with specimen signatures</li> <li>• Photograph, POI, POA, PAN of Partners</li> </ul>
<b>Trust</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>• Certificate of registration (for registered trust only). Copy of Trust deed</li> <li>• List of trustees certified by managing trustees/CA</li> <li>• Photograph, POI, POA, PAN of Trustees</li> </ul>
<b>HUF</b>	<ul style="list-style-type: none"> <li>• PAN of HUF</li> <li>• Deed of declaration of HUF/List of coparceners</li> <li>• Bank pass-book/bank statement in the name of HUF</li> <li>• Photograph, POI, POA, PAN of Karta</li> </ul>
<b>Unincorporated Association or a body of individuals</b>	<ul style="list-style-type: none"> <li>• Proof of Existence/Constitution document</li> <li>• Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf</li> <li>• Authorized signatories list with specimen signatures</li> </ul>
<b>Banks/Institutional Investors</b>	<ul style="list-style-type: none"> <li>• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years</li> <li>• Authorized signatories list with specimen signatures</li> </ul>
<b>Foreign Institutional Investors (FII)</b>	<ul style="list-style-type: none"> <li>• Copy of SEBI registration certificate</li> <li>• Authorized signatories list with specimen signatures</li> </ul>
<b>Army/Government Bodies</b>	<ul style="list-style-type: none"> <li>• Self-certification on letterhead</li> <li>• Authorized signatories list with specimen signatures</li> </ul>
<b>Registered Society</b>	<ul style="list-style-type: none"> <li>• Copy of Registration Certificate under Societies Registration Act</li> <li>• List of Managing Committee members</li> <li>• Committee resolution for persons authorised to act as authorised signatories with specimen signatures</li> <li>• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary</li> </ul>

**POI proof of identity - as per SEBI Approved list**

**POA - proof of address - as per SEBI Approved list.**

SIGNATURE OF CLIENT

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