

Know Your Client (KYC) Application Form (For Individuals only)

(Please fill the form in English and in BLOCK Letters)
Fields marked with '*' are mandatory fields

PRIMARY SECONDARY BOTH

1. Identity Details

PAN*

	Prefix	First Name	Middle Name	Last Name
Name* (As per (PAN))	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (if any)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Date of Birth* DD - MM - YYYY

Gender* M- Male F- Female T-Transgender

Marital Status* Married Unmarried

Citizenship* IN- Indian Others - Country _____

Residential Status* Resident Individual Non Resident Indian
 Foreign National Person of Indian Origin

Occupation Type* S-Service Private Sector Public Sector Government Sector
O-Others Professional Self Employed Retired Housewife Student
 Business



GST identification number

2. Proof of Address (POA)*

Address for Correspondence

Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	<input type="text"/>
District*	<input type="text"/>
State/UT*	<input type="text"/>
City / Town / Village*	<input type="text"/>
Zip / Post Code*	<input type="text"/>
Country*	<input type="text"/>

3. Registered address/ Permanent/ overseas Address (if different from above)*

Same as above (Please Tick)

Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	<input type="text"/>
District*	<input type="text"/>
State/UT*	<input type="text"/>
City / Town / Village*	<input type="text"/>
Zip / Post Code*	<input type="text"/>
Country*	<input type="text"/>

4. Contact Details*

Email ID

Mobile Tel. (Off) Tel. (Res)

SMS Alert (applicable for primary market only) Yes No

5. Details of Bank A/C. (through which transaction(s) will be routed)*

Account Type Saving Current Others (please specify) _____

Bank Name :

Branch

Account No. :

MICR :

IFSC Code:

Details to be printed online URL

Note:

In the absence of specific information, BA code shall be printed on the application form (Applicable for primary market only).

6. Details of Demat Alc (for secondary market only) (through which transaction(s) will be routed)*

DP ID Beneficiary/Client ID
DP Name
Depository NSDL CDSL

7. Financial Details

I) Net worth for the last two years
As on March 31, 20__ INR _____
As on March 31, 20__ INR _____

II) Turnover / income for the last two years
As on March 31, 20__ INR _____
As on March 31, 20__ INR _____

8. Select the settlement agency (for secondary market only)*

NCL ICCL Off Market SGL _____ (BANK)

9. Politically Exposed Persons (PEP)*

PEP are individuals who are or have been entrusted with prominent public functions in a foreign country e.g., head of states or of governments, senior politicians, senior government judicial military offices senior executive of the state-owned corporations important political party officials etc.
 Related to PEP: Family members or close relative of PEP shall also be considered, all measures apply to PEP shall also be applicable to them.
 Not Applicable

10. Nomination Details (For Individuals Only) (for Primary Market Only)

I / We wish to nominate I/We do not wish to Nominate

Name of the nominee
PAN of Nominee Date of Birth of Nominee --
Relationship with nominee
Address
 Phone no. of nominee

If nominee is a minor, details of guardian:

Name of guardian
Address
 Phone no of guardian

Signature of guardian

WITNESS (only applicable in case the account has made nomination)

Witness 1		Witness 2	
Name	<input type="text"/>	Name	<input type="text"/>
Signature	<input type="text"/>	Signature	<input type="text"/>
Address	<input type="text"/>	Address	<input type="text"/>

Date: -- Place:

(Signature and Stamp)

Signature of Client

DECLARATION

- 1) The applicant and its representatives have never been subject of any proceedings of a disciplinary or criminal nature, or has been notified of any such impending proceedings or of any investigation which may lead to such proceedings;
- 2) The applicant and its representatives are person of integrity, reputation and compliant in financial matters and compliance with tax laws;
- 3) The applicant and its representatives have never been convicted/ alleged for an offence owing to dishonesty, incompetence, fraud, wilful misconduct, moral turpitude, economic offence, securities laws or fraud negligence or malpractice or market manipulation;
- 4) The applicant and its representatives and persons acting in concert or any of its promoters or promoter group have never been indulged in insider trading, fraudulent and unfair trade practices or market manipulation;
- 5) No order for winding up or insolvency has been passed against the Applicant or its representatives.
- 6) No order of suspension/ cancellation of certificate of registration, or order of restraining, prohibiting or debarring the applicant or its representatives from dealing in securities in the capital market or from accessing the capital market has been passed by the SEBI or any other regulatory authority;
- 7) The Applicant and its representatives have not made compositions or arrangements with creditors at any point in time nor any default is made in repayment of its existing obligations.
- 8) The Applicant and its representatives have never been denied/ debarred by the SEBI/ RBI/ NHB or any other competent/ statutory/ regulatory authorities any licenses and/ certificates for commencing its business activities.
- 9) The Applicant declares that he/she is neither Politically Exposed Person nor related to Politically Exposed Person.
- 10) The Applicant declares that the details furnished at the time of empanelment are true and correct, and he/she/it undertakes to inform you of any change(s) therein immediately in writing.
- 11) The Applicant declares and confirms that amount invested/ to be invested in the securities has been/ will be derived through legitimate sources and in no way it shall contravene the provisions of any act, rules, including Prevention of Money Laundering Act, 2002 (PMLA). A.K. Group reserves the right to seek any additional information/ documenting in terms of the PMLA at any point of time. (A.K. Group refers to: a) A.K. Stockmart Private Limited; b) A. K. Capital Services Limited; c) A. K. Capital Finance Limited; d) A. K. Wealth Management Private Limited; e) Family Home Consultancy Services Private Limited; and f) Holding, Subsidiary, Group and Affiliates of the said companies).
- 12) The Applicant agrees to furnish/ re-furnish such additional document(s), information and records, as may be required by A.K. Group at any point of time.
- 13) The Applicant shall indemnify and keep the A.K. Group and its representatives indemnified against all actual and/or alleged cost, damages, liabilities, penalties and expenses incurred/ to be incurred by it due to acts of commission and/or omission on the part of Client/ Business Associates at any point in time in any manner whatsoever. This Clause shall survive even after the termination of this Agreement.
- 14) The Applicant and its representatives shall maintain the strict confidentiality of all the Confidential Information (Non-Public information) disclosed/ made available/ provided by A.K. Group and its representative. This Clause shall survive even after the termination of this Agreement.
- 15) The Applicant shall not use Intellectual Property Rights including trademark and/or logos and/or copyrights of the material shared by A.K. Group without prior consent of the A.K. Group
- 16) The Applicant understands that A. K. Group shall not be liable in any manner for any claims arising whatsoever on account of freezing the account/ refund/ cancellation of deal due to non-compliance/ suspected non-compliance with the provisions of the PMLA or any other laws for the time being in force.
- 17) Anti-Bribery & Corruption: The Applicant represents, warrants, and undertakes that:
 - I. He/ She/It has not and shall not offer, promise, give, encourage, solicit, receive or otherwise engage in acts of bribery or corruption in relation to this Arrangement (including without limitation any facilitation payment), or to obtain or retain business or any advantage in business for any member of its group/ family member, and has and shall ensure to the fullest extent possible that its employees and agents and others/ related parties, under its direction or control and directly involved in this arrangement do not do so.
 - II. For the purposes of this clause it does not matter if the bribery or corruption is (i) direct or through a third party; (ii) of a public official or a private sector person; (iii) financial or in some other form; or (iv) relates to past, present, or future performance or non- performance of a function or activity whether in an official capacity or not, and it does not matter whether or not the person being bribed is to perform the function or activity to which the bribe relates, or is the person who is to benefit from the bribe. For the purposes of this clause, a "person" is any individual, partnership, company or any other legal entity, public or private.

The Applicant shall, immediately upon becoming aware of them, give the A.K. Group the details non-compliance with Clause (i) and Clause (ii) of this part. For the avoidance of doubt, any breach of this Clause shall be deemed to be incapable of remedy.
- 18) The Applicant understands that A.K. Group or its representatives may fetch/ re-fetch/ confirm my KYC documents and other credentials from independent third party(ies) without prior intimation or furnishing the reasons for the same.
- 19) The Applicant understands that an investment in capital/ securities market involves inherent risk. I/We understand that I/we shall be solely responsible for adverse consequences or losses that may arise from investments in securities/ instruments.
- 20) A.K. Group reserves to review the terms of empanelment and may make changes in the terms of empanelment as it may deem fit. Applicant also understands that investment decisions shall be made objectively and without any subjective biasness.
- 21) Applicant shall ensure that applicable conflict of interest and diligence process is followed before making any investments decisions.

Date: - -

Place:

(Signature and Stamp)



Signature of Client

FOR OFFICE USE ONLY

BA code / Secondary code allotted

RM Name 1) _____ Signature / _____

(Originals Verified) Self Certified Document copies received

RM Name 2) _____ Signature / _____

(Attested) True copies of documents received

INSTRUCTIONS/ CHECK LIST & DOCUMENTS REQUIRED

A. Important Points:

1. 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.

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 applicant resides are permitted to attest the documents.

2. If any proof of identity or address is in a foreign language, then translation into English is required.
3. Name and address of the applicant mention on the KYC form, should match with the documentary proof submitted. If correspondence and permanent address are different, then proofs for both have to be submitted.
4. Sole proprietor must make the application in his Business Name and capacity and need to provide shop and establishment certificate & Banker Verification.
5. 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.
6. In case of Merchant Navy NRI's, mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.

B. Proof of Identity (POI): Copy of PAN card is mandatory.

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
2. Voters Identity Card
3. Registered Lease or Sale Agreement of Residence
4. Driving License
5. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
6. **Unique Identification Number (UID) i.e. Aadhaar Card ('Redact' or 'Blackout' of all nos. except last four digits).**

D. Bank Proof: Copy of Cancelled cheque leaf depicted name of the applicant, if not then provide the latest bank statement specifying name of the applicant, MICR Code or/and IFSC code of the Bank along with cheque leaf.

E. Demat Proof (for secondary market only): Demat master or recent holding statement issued by DP bearing name of the applicant.

F. Goods and Services Tax (GST) Certificate, if any.

G. Documents to be obtained as financial proof:

1. Copy of ITR Acknowledgement
2. Net worth certificate
3. Copy of Annual Accounts

H. FATCA Form.

I. ICCL Annexure/ NCL Annexure (For Secondary Market only)

J. Business Associates (BA) Agreements (For Primary Market Only)