

KNOW YOUR CLIENT (KYC) APPLICATION FORM (FOR INDIVIDUALS ONLY)



MSE FINANCIAL SERVICES LTD.

(Subsidiary : MADRAS STOCK EXCHANGE LIMITED)

Member : BSE, MCX-SX, USE

11, Second Line Beach, Chennai - 600 001 Tel : 044 - 2521 4441, 2526 5553
 Fax : 044-2524 4897 E-mail : mse_fsl@yahoo.com Website : www.msefsl.com
 Compliance Officer : R.Ravichandran Tel: 044-2526 5559 E-mail : msefsl@gmail.com

Application No. _____

CLIENT CODE : _____

(Please fill in **ENGLISH** and in **BLOCK LETTERS** with black ink)

A. IDENTITY DETAILS (Please see guidelines overleaf)

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

Name (Mr/Mrs/Ms) : _____

Father's/ Spouse Name (Mr/Mrs) : _____

2. a. Gender : Male Female b. Marital Status : Single/ Married c. Date of birth : _____ (dd/mm/yyyy)

3. Nationality : Indian Other _____

4. Status Please tick (✓) : Resident Individual Non Resident Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. a. PAN: _____ b. Unique Identification Number (UID)/ Aadhaar, if any: _____
 Please enclose a duly attested copy of your PAN Card

6. Proof of Identity submitted for PAN exempt cases : _____ (Please see guideline 'D' overleaf)

PHOTOGRAPH



Please affix your recent passport size photograph and sign across it

B. ADDRESS DETAILS (Please see guidelines overleaf)

1. **Address for correspondence** : _____

City/town/village: _____ Pincode: _____ State: _____ Country: _____

2. **Contact Details:** Tel.(Off.) _____ Tel.(Res.) _____ Mobile No: _____

Fax: _____ Email id : _____

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

Passport Ration card Registered Lease/Sale Agreement of Residence Driving License Voter Identity card *Latest Bank A/c Statement /Passbook
 * Latest Telephone Bill (Only Landline) * Latest Electricity Bill *Latest gas Bill Others _____

* 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 above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant) :

City/town/village: _____ Pincode: _____ State: _____ Country: _____

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

Passport Ration card Registered Lease/Sale Agreement of Residence Driving License Voter Identity card *Latest Bank A/c Statement /Passbook
 * Latest Telephone Bill (Only Landline) * Latest Electricity Bill *Latest gas Bill Others _____

* 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 (please tick (✓))** : Income Range per annum : Below 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac > 25 Lacs

OR

Net-worth in ₹. _____ **as on (date)** (DD/MM/YYYY) (Net worth should not be older than 1 year)

2. **Occupation (please tick (✓) any one and give brief details):**

Private Sector service Public Sector Government Service Business Professional Agriculturist Retired
 Housewife Student Forex Dealer Others (Please specify) _____

3. **Please tick, if applicable** : Politically Exposed Person Related to a Politically Exposed Person

For definition of PEP, please refer guideline overleaf.

4. **Any other information** : _____

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.

Place : _____

Date : _____

SIGNATURE OF APPLICANT



FOR OFFICE USE ONLY

IN PERSON VERIFICATION DONE

on _____ (DD/MM/YYYY)

(Originals verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary

Sub-broker Staff Name : _____

Sub-broker Staff Designation : _____

Signature of the Sub-broker Staff: _____

Name of the Sub-broker : _____

Date : _____

Stamp /seal of the Sub-broker

For **MSE FINANCIAL SERVICES LTD.**

Authorised Signatory

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. 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.
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 address 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/ OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. 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.
11. 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:

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 / 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. 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/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. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. 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:

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.

KNOW YOUR CLIENT (KYC) APPLICATION FORM (FOR NON-INDIVIDUALS ONLY)



MSE FINANCIAL SERVICES LTD.

(Subsidiary : MADRAS STOCK EXCHANGE LIMITED)

Member : BSE, MCX-SX, USE

11, Second Line Beach, Chennai - 600 001 Tel : 044 - 2521 4441, 2526 5553
 Fax : 044-2524 4897 E-mail : mse_fsl@yahoo.com Website : www.msefsl.com
 Compliance Officer : R.Ravichandran Tel: 044-2526 5559 E-mail : msefsl@gmail.com

Application No. _____

CLIENT CODE : _____

(Please fill in **ENGLISH** and in **BLOCK LETTERS** with black ink)

A. IDENTITY DETAILS (Please see guidelines overleaf)

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

2. **Date of Incorporation** : _____ (dd/mm/yyyy)

Place of Incorporation : _____

3. **Registration No. (E.g. CIN)** : _____

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 FII HUF AOP Bank Government Body Non-Government Organisation
 Defence Establishment Body of Individuals Society LLP Others _____

PHOTOGRAPH

Please affix the recent passport size photograph of Authorised Signatory and sign across it

5. **Permanent Account Number (PAN) (MANDATORY)**: _____ Please enclose a duly attested copy of your PAN Card.

B. ADDRESS DETAILS (Please see guidelines overleaf)

1. **Address for correspondence** : _____

City/town/village: _____ Pincode: _____ State: _____ Country: _____

2. **Contact Details**: Tel.(Off.) _____ Tel.(Res.) _____ Mobile No: _____

Fax: _____ Email id : _____

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

* Latest Telephone Bill (Only Landline) * Latest Electricity Bill * Latest Bank Account Statement Registered Lease / Sale Agreement of Office Premises
 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)

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 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. NEW OTHER DETAILS (Please see guidelines overleaf)

1. **Gross Annual Income Details (please tick (✓))** : Income Range per annum: Below 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac 25 Lacs-1 crore > 1 Crore

2. **Net-worth in ₹.** _____ 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 services** : YES NO

- For Foreign Exchange / Money Changer Services YES NO - Gaming / Gambling / Lottery Services (e.g. Casinos, betting syndicates) YES NO

- Money Lending / Pawning YES NO

4. **Any other information** : _____

DECLARATION

I / We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I / We 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 may be held liable for it.

NAME & SIGNATURE(S)

OF AUTHORISED

PERSON(S)

Place : _____ Date : _____

IN PERSON VERIFICATION DONE

on _____ (DD/MM/YYYY)

(Originals verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary

FOR OFFICE USE ONLY

Sub-broker Staff Name : _____

Sub-broker Staff Designation : _____

Signature of the Sub-broker Staff: _____

Name of the Sub-broker : _____

Date : _____

Stamp /seal of the Sub-broker

For **MSE FINANCIAL SERVICES LTD.**

Authorised Signatory

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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 address 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/ OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. 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.
11. 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.

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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/ 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. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

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(*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. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. 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:

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.

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. • Authorised 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. • Authorised signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate. • Authorised signatories list with specimen signatures.
Army/ Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead. • Authorised 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

Details of Promoters / Partners / Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant : _____ PAN of the Applicant : _____

Sr. No.	PAN	Name	DIN (For Directors) / UID (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. Promoters, Whole time directors etc.)	Whether Politically Exposed	Photograph
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	

Name & Signature of the Authorised Signatory(ies)

Date :

PEP : Politically Exposed Person

RPEP : Related to Politically Exposed Person