

NEW COMBINE KYC FORM GUIDELINES

The New **KYC** form can be used by Resident/Individual, HUF, NRIs, Body corporate for opening an Account with Shriram Financial Services : Please use only one Ink in BLOCK LETTER to fill all the details.

Following agreements / Annexure form a part of the application; please ensure the signature of clients on all the required agreements.

1. Segment should be signed by client, and the segment client do not wish to trade should be strike-off by client.
2. Tariff Details (for DP account), Brokerage tariff sheet for Trading
3. Request letter to issue Digital Contract Notes and Electronic Payout
4. Agreement for opening the Demat Account (**NSDL/CDSL** any one)
5. Power of Attorney Agreement in favor of SFS to take the shares for payin obligation and Margin shortfall from client's DP account.
6. Agreement for accessing the DP details through Internet.
7. Nomination details.

Checklist for filling up KYC form - INDIVIDUAL

Please fill the application form in **one** ink and please fill the details clearly in the Boxes provided. Pointing Hand picture is printed in place where signature of clients is required. Please collect **TWO passport photographs of single holder Applicant**, (one for trading and DP account and other one for KRA KYC).

Cover Page.

- Select/tick in -Individual/Non Individual category of client, Branch Name, Branch Code, Region.
- Next page of the cover page will be Introducer/servicer/Clouser and authorization by Branch/franchise manager with a Branch seal.

KRA PAGE: I/N (Individual/Non-individual)

- Ensure the Signature **ACROSS** the Passport photo is taken, type of account/ Investor.
- Residential status, Gender, Nationality, POI submitted, POA submitted.
- Name of the client in KYC should be as per PAN.
- The Address proof provided should match with the complete address written on the application (communication/Permanent) and should be valid and latest.
- Occupation, marital status & Income range to be ticked, in case of Non-individual networth details mandatory to fill as per proof.
- PAN details of client have to be written.
- Please ensure the signature of client is taken after the declaration.
- IPV should be done by Shriram Financial Services Employee/AP and S/B
- Director/Karta/Partner/trustee details need to fill with passport photo across the signature for Non-Individual KRA.

Page No.3 (Account opening form trading & DP (Mandatory) for Individuals)

- Same details need to be filled as mentioned in KRA page.
- Tick the account type (Off-line, Online(EXE/WEB),DP).
- Bank details of the client written in KYC should be match with valid bank proof.
- DP details of the client written in KYC should be match with valid DP proof (In case of other DP) or it should be blank if the client wants to open DP account also.

Page No.4 (Account opening form trading & DP (Mandatory) for Non - Individuals)

- Annual income & Net worth has to be filled.
- The Address proof provided should match with the complete address written on the application(communication/Permanent)
- Please fill complete details of the documents given as Identity proof and address proof.
- Bank details of the client written in KYC should be match with valid bank proof.
- DP details of the client written in KYC should be match with valid DP proof (In case of other DP) or it should be blank if the client wants to open DP account also.

Page No.5 (Nomination Details & Dealing with other brokers)

- Please ensure the complete details about the **Nominee** are filled. Client Signature is mandatory in same page (In case of without nominee/with nominee).
- Please mention the broker details if the client has account with other Brokers/Sub-Broker.

Page No. 6 (Segment to traded and Tariff Details)

- Market segment, preferred exchange should be signed by the client, and segment not selected should be strike-off by client.
- Please ensure the proper approval is taken for the brokerage slab mentioned in KYC as per approval hierarchy. If brokerage is not mentioned or is not proper then (Standard) default brokerage of 1.0 % and min 10 Paisa for delivery & 0.10 % and Min 10 Paisa for Intraday will be charged to client (note no reversals will be done if valid brokerage slab is not mentioned in KYC).
- Please ensure the signature of client is taken after the declaration.

Page No. 7 (Additional details for Opening DP account for Individuals)

- Select the any **one** depository participate (CDSL/NSDL).
- Select the type of account.
- Standing Instructions are to be filled properly.
- If there are additional holder in DP then all details of additional holders is to be furnish the along with the proper documents & photos.

Page No.8 (Deceleration for DP, Introducer details & in person Verification)

- Please ensure the signature of all the holder is taken after the declaration.
- Client signature required (Authorised to debit my Trading a/c).
- Introducer details are to be mentioned and are to be signed by the introducer.
- In-person Verification; Name and signature of the Staff who met the client should be mentioned along with the Employee Code (i.e. Reg Number) and signature. Branch, AP and S/B along with seal & signature.

Page No.9 (Additional details for Opening DP account for Non - Individuals)

- Select the type of account.
- Non-Individual DP like (Partners, Trustee) details need to be furnished
- Introducer details of a Shriram Financial Services DP holder/ Introduce by bank is mandatory
- Furnish the Standing instruction details

Page No. 10 (Deceleration for DP, Introducer details & in person Verification)

- Please ensure the signature of all the holder is taken after the declaration.
- Client signature required (Authorised to debit my Trading a/c).
- Introducer details are to be mentioned and are to be signed by the introducer.
- In-person Verification; Name and signature of the Staff who met the client should be mentioned along with the Employee Code (i.e. Reg Number) and signature. Branch, AP and S/B along with seal & signature.

Page No. 11 (DP Tariff Sheet)

- DP scheme opted is to be selected and tariff sheet is to be duly signed by all the account holders. If the client opts for scheme 2 then authorisation letter, cheque copy / deposit slip is to be sent along with KYC.

Page No.27 Consent for understanding (Additional Clauses supplemental to the non mandatory contents of the account opening form)

- Client details and client should sign on the respective Column. Witness Name, Address with Signature on behalf of the client is to be signed by witness.

Page No.28 (Electronic Contract Notes issuance letter)

- Email id mentioned in the E-Mandate should match with the details mentioned in KYC and KRA forms.
- Email id mandatory to be filled in case client has signed/wished for ECN/DCN.

Page No.29 (Running A/c authorisation maintenance)

- Client signature required.

Page No.30/31 (Mobile Trading - Wireless technology)

- For Mobile trading signature required (in case client wish to activate mobile trading / wireless trading for his account).
- To Enable mobile trading client should have Online A/c, SFS DP, Valid mobile no.
- Witness details are to be filled and signed by witness on behalf of client only.

Page No.32/33 (CDSL DP - Client Agreement)

- Agreement between a Participant and client seeking to open a beneficial owner's account. (In case of CDSL A/C opening).
- Name and address details are to be filled as per the KYC and KRA.
- Witness details are to be filled and signed by witness on behalf of client only.

Page No.34-35 (NSDL DP - Client Agreement)

- Agreement between a Participant and client seeking to open a beneficial owner's account. (In case of NSDL A/C opening)
- Name and address details are to be filled as per the KYC and KRA.
- Witness details are to be filled and signed by witness on behalf of client only.

Page No.36 (Agreement with DP for providing statements through internet)

- Agreement between the participant and the client for providing the transaction statement through internet - Require client signature and 2 witness signature with address.
- Name and address details are to be filled as per the KYC and KRA.
- Witness details are to be filled and signed by witness on behalf of client only.

Page No.37-39 (POA Agreement)

- The above pages contain the DP POA agreement for CDSL / NSDL.
- In case of CDSL HUF account, all the family members of HUF are to be signed along with Karta.
- Name and address should be written in Demat account agreement and Power of Attorney agreement
- Please do NOT mentioned the date of agreement on the 1st line
- Signature of client and witness signature with name address to be filled page no 35

Page No.40 (Registering Mobile no for Transactions SMS)

- Mobile number updation request for Client, mandatory in case of NSDL account opening.

Page 42 (Smart Terms & Conditions for CDSL accounts)

- Mobile number updation request for Client, mandatory in case of CDSL account opening.

Page 43 (HUF Declaration Letter)

- HUF Declaration letter only for HUF Clients, fill all the family members details along with Karta details.

Page 44 (Acknowledgment for receiving the Client registration Documents)

- Client signature is required as consenting that he has received the said documents.

Please note:-

Non Individual KYC User Guide's:

HUF: In case of HUF client, Only Non-Individual KYC is to be filled with HUF details. Karta Individual details are to be filled in KRA Annexure - 3.

PARTNERSHIP: In case of partnership client, **Both** Individual and Non-individual KYC to be fill (Individual KYC for DP, Non-individual KYC for Trading).

Sole Proprietor: In case of Sole proprietor client, **Both** Individual and Non-individual KYC to be fill (Individual KYC for DP **with out** proprietor seal, Non-individual KYC for Trading **with proprietor seal**).

Body Corporate: Only Non-individual KYC to be used in case Corporate/Trust/LLP.

Find the KYC Page No's are Mandatory to be filled, in case of Only DP/Only Trading KYC:-

INDIVIDUAL clients:

Only Trading page No's in the KYC :- **KRA, 3 , 5**, 6, 8, 27, 28, 29, 40.

Only DP page No's in the KYC :- **KRA, 3, 5**, 7, 8, 11, {32,33&42(CDSL)}, {34,35&40(NSDL)}, 36, 37, 39.

Non-Individual clients:

Only Trading page No's in the KYC :- **KRA, 4**, 6, 10, 27, 28, 29, 40.

Only DP- **KRA, 4**, 9, 10, 11, {32, 33&42(CDSL)}, {34, 35&40(NSDL)}, 36, 37, 39.

- ✚ If there is additional holder, ensure that all holders signatures is required in DP part in the KYC, find the pages mentioned above.
- ✚ Ensure that same **Mobile No, Mail id** written in all the place of KYC.
- ✚ Ensure that same **Income range, Occupation** written in KYC & KRA.

✚ **Please feel free to contact registration team for any more clarifications.**