

Demat Account Opening Form

(For Non-Individuals only)

Know Your Client (KYC) Application Form (For Non-Individuals Only)

Kotak Infinity, 6th Floor, Building No. 21, Infinity Park, Off Western Express Highway, Malad (E), Mumbai - 400 097.

Please fill in ENGLISH and in BLOCK LETTERS with black ink

Identity Details (Please see guidelines overleaf)																										
1. Name of the Applicant (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name). <table border="1" style="width:100%; height: 20px; border-collapse: collapse;"> <tr><td style="width: 25%;"></td><td style="width: 25%;"></td><td style="width: 25%;"></td><td style="width: 25%;"></td></tr> </table>					PHOTOGRAPH Please affix the recent passport size photograph and sign across it																					
2. Date of Incorporation <table border="1" style="display: inline-table; border-collapse: collapse;"> <tr><td style="width: 20px;">DD</td><td style="width: 20px;">/</td><td style="width: 20px;">MM</td><td style="width: 20px;">/</td><td style="width: 20px;">YYYY</td></tr> </table> Place of Incorporation <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> </table>	DD	/	MM	/		YYYY																				
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3. Registration No. (e.g.) CIN <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> </table> Date of commencement of business <table border="1" style="display: inline-table; border-collapse: collapse;"> <tr><td style="width: 20px;">DD</td><td style="width: 20px;">/</td><td style="width: 20px;">MM</td><td style="width: 20px;">/</td><td style="width: 20px;">YYYY</td></tr> </table>																					DD	/	MM	/	YYYY	
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4. Status Please tick (✓) <input type="checkbox"/> Private Limited Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Partnership <input type="checkbox"/> Trust <input type="checkbox"/> Charities <input type="checkbox"/> NGO's <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> HUF <input type="checkbox"/> AOP <input type="checkbox"/> Bank <input type="checkbox"/> Government Body <input type="checkbox"/> Non-Government Organisation <input type="checkbox"/> Defence Establishment <input type="checkbox"/> Body of Individuals <input type="checkbox"/> Society <input type="checkbox"/> LLP <input type="checkbox"/> Others (please specify _____)																										
5. Permanent Account Number (PAN) (MANDATORY) <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> </table> (Please enclose a duly attested copy of PAN Card)																										

Address Details (Please see guidelines overleaf)																																									
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Other Details (Please see guidelines overleaf)	
1. 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)	
2. Any other information: _____	

DECLARATION		NAME & SIGNATURE(S) OF AUTHORISED PERSON(S)
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 are aware that i/we may be held liable for it.		
Place: _____	Date: _____	

FOR OFFICE USE ONLY			
<input type="checkbox"/> (Original Verified) Self Certified Document copies received		<input type="checkbox"/> (Attested) True copies of documents received	
For Kotak Mahindra Bank Ltd. (with Bank Seal / Stamp)			
Employee Name _____	Employee Designation _____	Employee Code _____	Employee Signature _____
			Date _____

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
- 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.
- 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.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- 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/PIO Card/OCI Card and 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 NRIs, Mariners 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:

- Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID Card / Driving License
- 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))
- Identity card / document with applicants Photo, Issued by any of the following: Centrals/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)

F. In case on 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. Authorized signatories list with specimen signatures.
Bank/Institutional Investors	<ul style="list-style-type: none"> 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)	<ul style="list-style-type: none"> Copy of SEBI registration certificate. Authorized signatories list with specimen signatures.
Army/Government Bodies	<ul style="list-style-type: none"> Self-certification on letterhead. Authorized 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 authorized to act as authorized signatories with specimen signatures. True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

- Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/ Insurance Copy.
- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook Note 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 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.
- 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 apostilled or consularised) that gives the registered address should be taken.
- 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.)

- 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.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs. 50,000/- p.a.
- 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:

- Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation * Seal should be affixed of 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.

Please Submit the KYC Documents on A4 Size Paper Only.

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 / UID	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph (sign across)

Name & Signature of the Authorised Signatory(ies) _____

Date: / /

PART II ACCOUNT OPENING FORM (FOR NON-INDIVIDUALS)

Kotak Infinity, 6th Floor, Building No. 21, Infinity Park, Off Western Express Highway, Malad (E), Mumbai - 400 097.

DP ID : IN302814
Client ID (To be filled by Participant)

 We request you to open a depository account in our name as per the following details:
 (Please fill all the details in CAPITAL LETTERS only)

 Date / /
Details of Account holder(s):

	Name	PAN
Sole/First Holder	<input type="text"/>	<input type="text"/>
CRN ID	<input type="text"/>	
Second Holder	<input type="text"/>	<input type="text"/>
CRN ID	<input type="text"/>	
Third Holder	<input type="text"/>	<input type="text"/>
CRN ID	<input type="text"/>	

Type of account

- | | | |
|---|--------------------------------------|--------------------------------|
| <input type="checkbox"/> Body Corporate | <input type="checkbox"/> FI | <input type="checkbox"/> FII |
| <input type="checkbox"/> Qualified Foreign Investor | <input type="checkbox"/> Mutual Fund | <input type="checkbox"/> Trust |
| <input type="checkbox"/> Bank | <input type="checkbox"/> CM | <input type="checkbox"/> HUF |
| <input type="checkbox"/> Other (Please specify) _____ | | |

For, Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., although the account is opened in the name of the partner(s), trustee(es) etc., the name & PAN of the Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., should be mentioned below:

 a) Name b) PAN
In case of FIIs/Others (as may be applicable)

 RBI Approval Reference Number _____ RBI Approval date / /

SEBI Registration Number (for FIIs) _____

Income Details (Please tick (✓)) Income range per annum: Below ₹ 20 Lac ₹ 20-50 Lac ₹ 50 Lac - ₹ 1 Crore > ₹ 1 Crore

And

 Networth Amount () _____ As on / / (Networth should not be older than 1 year)

Bank details

1. Bank account type Savings Account Current Account Others (Please specify) _____
2. Bank Account Number
3. Bank Name
4. Branch Address
- City/town/village PIN Code
- State Country
5. MICR Code 6. IFSC

Clearing Member Details (to be filled up by Clearing Members only)

- | | | |
|----|---|----------------------|
| 1. | Name of Stock Exchange | <input type="text"/> |
| 2. | Name of Clearing Corporation / Clearing House | <input type="text"/> |
| 3. | Clearing Member ID | <input type="text"/> |
| 4. | SEBI Registration Number | <input type="text"/> |
| 5. | Trade Name | <input type="text"/> |
| 6. | CM-BP-ID (to be filled up by Participant) | <input type="text"/> |

Standing Instructions

1. I/We authorise you to receive credits automatically into our account. Yes No
2. Account to be operated through Power of Attorney (PoA) Yes No

3. SMS Alert facility:

Sr. No.	Holder	Yes	No
1.	Sole/First Holder <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Second Holder <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Third Holder <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>

4. Mode of receiving Statement of Account (Tick any one) Physical Form Electronic Form [Read Note 3 and ensure that email ID is provided in KYC Application Form].

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:

-
- Politically Exposed Person (PEP)
-
- Related to a Politically Exposed Person (PEP)

List of family members (Separate Annexure maybe used in case number of members is higher)

Sr No.	Name of Coparcener/Member	Gender	Date of Birth	Relation with Karta	Whether Coparcener/ Member (please specify)

Debit Authorisation

I/We authorise you to debit my/our current/savings account number towards the service charges for this demat account.

Declaration

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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 are aware that I/we may be held liable for it. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, Rights and Obligations of the Beneficial Owner and Depository Participant.

I/We have read and understood the Terms and Conditions for opening of an account with Kotak Mahindra Bank Ltd. I/We accept and agree to be bound by the said Terms and Conditions including those excluding/limiting the Banks liability. I/We consent to make available view and/or enquiry rights on Net Banking and Phone Banking available to all the account holder/s.

Authorised Signatories (Enclose a Board Resolution for Authorised Signatories. In case of HUF details of Karta to be given)

Sole/First Holder	Name	Signature(s)
First Signatory/Karta of HUF		
Second Signatory		
Third Signatory		
Other Holders		
Second Holder		
Third Holder		

Mode of Operation for Sole/First Holder (In case of joint holdings, all the holders must sign. In case of HUF this is not applicable)

<input type="checkbox"/> Any one singly	
<input type="checkbox"/> Jointly by	
<input type="checkbox"/> As per resolution	
<input type="checkbox"/> Others (please specify)	

Preference for receiving standard documents*

Physical Electronic

[* Standard documents includes Rights & Obligations of beneficial owner and depository participant]. Please visit our website www.kotak.com

Notes:

- In case of additional signatures, separate annexures should be attached to the application form.
- Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
- For receiving Statement of Account in electronic form:
 - Client must ensure the confidentiality of the password of the email account.
 - Client must promptly inform the Participant if the email address has changed.
 - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- Strike off whichever is not applicable.

For Bank Use Only

Branch _____	CPC _____
Account Sourcing Date _____	Checked by _____
Source Code _____	Authorized by _____
Lead Generator Code _____	Activation by _____
Lead Convertor Code _____	RM Code _____

DP ID: IN302814

Acknowledgement

Kotak Mahindra Bank Limited

Kotak Infinity, 6th Floor, Building No. 21, Infinity Park, Off Western Express Highway, Malad (E), Mumbai-400097

Received the application from Mr. / Ms. _____ as the sole/first holder alongwith _____ and _____ as the second and third holders respectively for opening of a depository account. Your Client Id will be intimated to you shortly. Please quote the DP Id & Client Id allotted to you (CM BP – ID incase of clearing member) in all your future correspondence. You will be bound by the Banks General Terms & Conditions available on Banks website www.kotak.com. For Demat related queries/complaints write at bank.demat@kotak.com

Date : _____

Participant Stamp & Signature

General Demat Tariff (Schedule A)

SERVICES	AMOUNT	MINIMUM (WHERE APPLICABLE)
Account Opening*	Free (Stamp Duty as applicable)	
Account Maintenance Charges	₹ 600 /- per annum	
TRANSACTIONS		
Dematerialisation	₹ 3 per Certificate, plus Rs. 50 per request	
Rematerialisation	As per NSDL Charges	₹ 15 per request
Market Sell Transaction	0.04% of transaction value	₹ 27* per transaction
Off Market Sell Transaction	0.04% of transaction value	₹ 27* per transaction
Late Instruction Fees***	0.05% of transaction value	₹ 35* per transaction
Inter-Depository Sell Transaction	0.04% of transaction value	₹ 27* per transaction
Debt and ETF transactions	0.02% market value (Max of Rs 5000/- per transaction)	
PLEDGE		
Pledge creation/Closure/Confirmation	0.05% of transaction value	₹ 30* per transaction
Pledge Invocation	0.04% of transaction value	₹ 30* per transaction
Others		
Consolidated Account Statement (CAS)		As per NSDL Charges
GST	As per prevailing rate (subject to change, as prescribed by Tax Authorities from time to time)	

* Statutory charges per transaction would be payable separately at actuals, as levied by NSDL

** Account Holder(s) having Banking relationships with Kotak Mahindra Bank Ltd. will provide a debit authorisation for the recovery of Demat service charges. Account Holder(s) having a Demat relationship only will be required to pay an advance fee of Rs. 3000/- for each Demat Account which will be used to adjust the Demat service charges. The account holder(s) will further undertake to maintain a minimum balance of ₹1000/- at all times.

***All market instructions for transfer must be received latest by 4.00 pm on the working day prior to the pay-in day as per SEBI issued guidelines. All off-market instructions for transfer must be received at least 1 day before the execution date. Late instructions would be accepted at the account holder's sole risk and responsibility and will invite additional charges as specified in the table above.

For calculation of charges, value of transactions considered will be as per rates provided by NSDL.

At the time of Account Closure, Account Maintenance charges shall be refunded for the balance quarters.

The Bank reserves the right to freeze Demat account for debit transactions. In case account holder(s) fail to pay service charges by due date mentioned in bills or do not maintain adequate balance in Savings/Current Account for the same as the case may be.

Bills for Demat services will be raised monthly & GST would be charged as per prevailing rate. Charges quoted above are for the services listed. Any service not listed above will be charged separately as per Bank's policy charges are subject to revision at the Bank's sole discretion by giving 30 days notice and intimated by ordinary post.

Signature(s)
with stamp of the Organisation

First /Sole Holder

Second Holder

Third Holder

Date _____

