

8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies E-KYC data received from UIDAI Data received from Offline verification
 Digital KYC process Equivalent e-document

KYC VERIFICATION CARRIED OUT BY

IPV Done Date D D — M M — Y Y Y Y Y

Name of the Organization	PLEASE AFFIX RUBBER STAMP & SIGN					
NSE / BSE / MCX / NCDEX- AP Registration Number						
Person name doing IPV / docs / PAN verification						
Designation / MOFSL Employee code						
Date of IPV / Document Verification						
Date of PAN Verification with IT Site						
Signature of the Person						

INSTITUTION DETAILS

Name Motilal Oswal Financial Services Ltd

CERSAI Code I N 0 2 6 9

CVL KRA Code 1 1 0 0 0 1 0 9 0 0

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Legal Entity / Other than Individual KYC Application Form

A. Clarification / Guidelines for filling Entity Details section

1 Entity Constitution Type

A—Sole Proprietorship (Not Applicable for Trading & Demat Account)	H - Trust	O - Artificial Juridical Person
B - Partnership Firm	I - Liquidator	P - International Organization or Agency / Foreign
C - HUF	J - Limited Liability Partnership	Embassy or Consular Office etc.
D - Private Limited Company	K - Artificial Liability Partnership	Q - Not Categorized
E - Public Limited Company	L - Public Sector Bank	R - Others
F - Society	M - Central/State Government Department or Agency	S - Foreign Portfolio Investors
G - Association of Persons (AOP) / Body of Individuals (BOI)	N - Section 8 Companies (Companies Act 2013)	

2 In case of companies and partnerships, PAN of the entity is mandatory. In case of other entities, FORM 60 may be obtained if PAN is not available.

B Clarification / Guidelines for filling 'Proof of Identity[PoI]' section

1. Activity Proof - 1 and Activity Proof - 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
- 2 Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
- 3 Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
- 4 'Equivalent e-document' means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 5 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 6 KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.

C Clarification / Guidelines for filling 'Proof of Address [PoA]' section

- 1 State/U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 2 Certified copy of documents or equivalent e-document to be submitted.

D Clarification / Guidelines for filling 'Contact Details' section

- 1 Please mention two-digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add '0' in the beginning of mobile number.

Note 1) : For State code & Country code kindly visit www.motilaloswal.com | download option.

Note 2) : If address of principal place of business is different than Registered Office address, Customer is required to give details of address of principal place of business also.

MOFSL INSTRUCTIONS / CHECKLIST 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 amin or 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/by 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.

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

B. 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, FIs, 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.

C. 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.