

# GEOJIT IFSC LIMITED

## CLIENT REGISTRATION FORM–FORNON INDIVIDUALS



SR.NO	PARTICULAR	MEMBERSHIPNO
1	IFSCA Registrations No.	IFSC/BD/2022-23/0008
2	India International Exchange IFSC Ltd.	5078
3	NSE International Exchange IFSC Ltd.	10061

**Registeredofficeaddress:**UnitNo.1641,16<sup>th</sup>Floor,SignatureBuilding,Block<sup>th</sup>13-B,Zone1,GiftSEZ,Gandhinagar–382355,Gujarat,INDIA.

Ph: 079–68350005/08

Email: [geojitifsc@geojit.com](mailto:geojitifsc@geojit.com)

Website: [www.geojitifsc.com](http://www.geojitifsc.com)

**ACCOUNT OPENING CHECKLIST  
(For Individuals)**

**PART -1 KYC, Tariff sheet and FATCA**

1.1	KYC – Non Individual	Central KYC for Non Individual
1.2	KYC – Non Individual	Application Form
1.3	KYC – Non Individual	Additional KYC details for opening a Trading Account
1.4	Tariff Sheet	Client are required to choose a tariff and confirm
1.5	FATCA	Self-certification for entities for FATCA/CRS

**PART -2 Declarations**

2.1	Declarations for Running Account Authorisation
2.2	Declarations for Retention Authorisation
2.3	Declarations for Standing Instructions

**PART – 3 Documents Required**

3.1	Board Resolutions to do future trading our IFSC exchange
3.2	List of ultimate beneficial owners
3.3	List of Authorized Signatories

**PART – 4 Policies & Procedures**

4.1	Policies & Procedures
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Rights and Obligations Document, Risk Disclosure Document (RDD), Do's and Don'ts Document, Product Disclosure Statement (PDS) and Master Deed Poll (MDP) and Policies and Procedures can be read/downloaded from the company's website at [www.geojitifsc.com](http://www.geojitifsc.com)

'CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity/ Other than Individuals

**Important Instructions:**

- A) Fields marked with "\*" are mandatory fields.

B) Tick '✓' wherever applicable.

C) Please fill the date in DD-MM-YYYY format.

D) Please fill the form in English and in BLOCK letters.

E) KYC number of applicant is mandatory for update application.
- F) List of State / U.T code as per Indian Motor Vehicle Act,1988 is available at the end.

G) List of two character ISO 3166 country codes is available at the end.

H) Please read section wise detailed guidelines / instructions at the end.

I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



**For office use only**

Application Type\*

☐ New ☐ Update

(To be filled by financial institution) KYC Number

(Mandatory for KYC update request)

☐ **1. ENTITY DETAILS\*** (Please refer instruction **A** at the end)

☐ Name\*

Entity Constitution Type\* ☐ Others (Specify)  (Please refer instruction B at the end)

Date of Incorporation / Formation\*  -  -  Date of Commencement of Business  -  -

Place of Incorporation / Formation\*  Country of Incorporation / Formation\*  TIN or Equivalent Issuing Country

PAN \*  ☐ Form 60 furnished

TIN / GST Registration Number

☐ **2. PROOF OF IDENTITY (PoI)\*** (Please refer instruction **B** at the end)

☐ Officially valid document(s) in respect of person authorised to transact

☐ Certificate of Incorporation / Formation  ☐ Registration Certificate  Regn Certificate No.

☐ Memorandum and Articles of Association ☐ Partnership Deed ☐ Trust Deed

☐ Resolution of Board / Managing Committee ☐ Power of attorney granted to its manager, officers or employees to transact on its behalf

☐ Activity Proof - 1 (For Sole Proprietorship Only) ☐ Activity Proof - 2 (For Sole Proprietorship Only)

☐ **3. ADDRESS\*** (Please see instruction **C** at the end)

**3.1 Registered Office Address / Place of Business\***

Proof of Address\* ☐ Certificate of Incorporation / Formation ☐ Registration Certificate ☐ Other Document

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  PIN / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

**3.2 Local Address in India (If different from Above)\***

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  PIN / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

☐ **4. CONTACT DETAILS** (All communications will be sent to Mobile number/ Email-ID provided" may be used) (Please refer instruction **D** at the end)

Tel. (Off)  -  FAX  -

Mobile  -  Email ID

Mobile  -  Email ID

☐ **5. NUMBER OF RELATED PERSONS**  (Please refer instruction **E** at the end)

☐ 6. REMARKS (If any)[illegible]

## 7. APPLICANT DECLARATION (Please refer Instruction G at the end)

- 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.
- I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date :  -  -

[illegible]

Signature / Thumb Impression of Authorised Person(s)

### 8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ Equivalent e-document ☐

## KYC VERIFICATION CARRIED OUT BY

Identity Verification ☐ Done Date  -  -

[illegible][illegible][illegible][illegible]

## INSTITUTION DETAILS

[illegible]

Code \_\_\_\_\_

## A Clarification / Guidelines for filing Entity Details section

## 1 Entity Constitution Type

A - Sole Proprietorship  
B - Partnership Firm  
C - HUF  
D - Private Limited Company  
E - Public Limited Company  
F - Society  
G - Association of Persons (AOP) / Body of Individuals (BOI)

H - Trust  
I - Liquidator  
J - Limited Liability Partnership  
K - Artificial Liability Partnership  
L - Public Sector Banks  
M - Central/State Government Department or Agency  
N - Section 8 Companies (Companies Act, 2013)

O - Artificial Jurisdical Person  
P - International Organisation or Agency / Foreign Embassy or Consular Office etc.  
Q - Not Categorized  
R - Others  
S - Foreign Portfolio Investors

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[Pol]' 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 document 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.

## E Clarification / Guidelines for filling 'Related Person Details' section

- 1 Personal Details
  - The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 Proof of Address [PoA]
  - PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
  - State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
  - In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
  - REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.
- 3 If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.
- 4 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

## F Provision for capturing signature of multiple authorised persons is to be made by the RE.



### List of two digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State/U.T	Code	State / U.T	Code	Code	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

**GEOJIT IFSC  
LIMITED**

### List of ISO 3166 two digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GO	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Island	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Island	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Moyotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SI
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	MZ	Taiwan province of china	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hongkong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire   Cote d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion   Reunion	RE	Virgin Island, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao   Curacao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy   Saint BartheJemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French Part)	MF		

## Annexure A2 | Legal Entity / Other than Individuals

## CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

## Important Instructions:

- A) Fields marked with "\*" are mandatory fields.  
B) Tick '✓' wherever applicable.  
C) Please fill the date in DD-MM-YYYY format.  
D) Please fill the form in English and in BLOCK letters.  
E) KYC number of applicant is mandatory for update application.  
F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.  
G) List of two character ISO 3166 country codes is available at the end.  
H) Please read section wise detailed guidelines / instructions at the end.  
I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated



For office use only

Application Type\*

☐ New ☐ Update ☐ Delete

(To be filled by financial institution) KYC Number

(Mandatory for KYC update and delete request)

## 1. DETAILS OF RELATED PERSON\* (Please refer instruction E at the end)

☐ Addition of Related Person☐ Deletion of Related Person☐ Update Related Person DetailsKYC Number of Related Person (if available\*)  If KYC number is available, only 'Related Person Type' & 'Name' is mandatory

## Related Person Type\*

- ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor  
☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify)

DIN (Director Identification Number)  (Mandatory if Related Person Type is Director)

## 1.1 PERSONAL DETAILS (Please refer instruction E at the end)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name	<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*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Nationality*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> )		
PAN*	<input type="text"/>		<input type="checkbox"/> Form 60 furnished	

## 1.2 PROOF OF IDENTITY AND ADDRESS\* (Please refer instruction E at the end)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number   
☐ B-Voter ID Card   
☐ C- Driving Licence   
☐ D-NREGA Job Card   
☐ E- National Population Register Letter   
☐ F - Proof of Possession of Aadhaar   
II ☐ E-KYC Authentication   
III ☐ Offline verification of Aadhaar

☐ PHOTO\*

## Address

Line 1*	<input type="text"/>		
Line 2	<input type="text"/>		
Line 3	<input type="text"/>	City / Town / Village*	<input type="text"/>
District*	<input type="text"/>	Pin / Post Code*	State / U.T Code* <input type="text"/> ISO 3166 Country Code* <input type="text"/>

☐ 1.3. CURRENT ADDRESS DETAILS (Please refer instruction E and the end)☐ Same as above mentioned address (In such cases address details as below need not be provided)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number   
☐ B-Voter ID Card   
☐ C- Driving Licence   
☐ D-NREGA Job Card   
☐ E- National Population Register Letter   
☐ F - Proof of Possession of Aadhaar   
II ☐ E-KYC Authentication   
II ☐ Offline verification of Aadhaar   
IV ☐ Deemed PoA  
V ☐ Self Declaration

Address

Line 1\*

Line 2

Line 3

District\*

Pin / Post Code\*

State / U.T Code\*

City / Town / Village\*

ISO 3166 Country Code\*

1. 4 CONTACT DETAILS (All communication will be sent on provided mobile no. / Email-ID) (Please refer instruction D at the end)

Tel. (Off)

Tel. (Res)

Mobile

Email ID

2. APPLICANT 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.
- I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : DD-MM-YYYY

Place:

Signature /Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

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

KYC VERIFICATION CARRIED OUT BY

Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

INSTITUTION DETAILS

Name

Code

Employee Signature

Institution Stamp



## KNOW YOUR CLIENT (KYC) APPLICATION FORM

**For Non-Individuals**

PHOTOGRAPH

Please affix the recent passport size photographs and sign across it

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**.

### A. IDENTITY DETAILS

1. **Name of the Applicant:** \_\_\_\_\_
2. **Date of incorporation:** \_\_\_\_\_ (dd/mm/yyyy) & **Country of incorporation:** \_\_\_\_\_
3. **Date of commencement of business:** \_\_\_\_\_ (dd/mm/yyyy)
4. **a. PAN:** \_\_\_\_\_ **b. Registration No. (e.g. CIN)<sup>1</sup>:** \_\_\_\_\_
5. **Status (please tick any one):**  
 Private Limited Co. /Public Ltd. Co. /Body Corporate/Partnership/Trust/Charities/NGO's/FI/FII/HUF/AOP/Bank/  
 Government Body/Nongovernment Organization/Defence Establishment/BOI/Society/ LLP/Others (please specify) \_\_\_\_\_

### B. ADDRESS DETAILS

1. **Address for correspondence:** \_\_\_\_\_  
 City/town/village: \_\_\_\_\_ Pin Code: \_\_\_\_\_ State: \_\_\_\_\_ Country: \_\_\_\_\_
2. **Contact Details:** Tel.(Off.) \_\_\_\_\_ Tel.(Res.) \_\_\_\_\_ Mobile No.: \_\_\_\_\_ Fax: \_\_\_\_\_ Email id: \_\_\_\_\_
3. **Specify the proof of address submitted for correspondence address\*:** \_\_\_\_\_
4. **Registered Address** (if different from above): \_\_\_\_\_  
 City/town/village: \_\_\_\_\_ Pin Code: \_\_\_\_\_ State: \_\_\_\_\_ Country: \_\_\_\_\_
5. **Specify the proof of address submitted for registered address\*:** \_\_\_\_\_

### C. OTHER DETAILS

1. **Gross Annual Income Details in USD (please specify)\*\*:** Income Range per annum: Below USD 100 K / 100 K-500 K / 500K -1 Million / 1-2.5 Million / > 2.5 Million **OR**
2. **Net-worth in USD (\$) as on\*\* (date).** (dd/mm/yyyy): \_\_\_\_\_ (\*Net worth should not be older than 1 year)
3. **Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors\*:** \_\_\_\_\_
4. **DIN/UID of Promoters/Partners/Karta and whole time directors<sup>1</sup>:** \_\_\_\_\_
5. **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)
6. **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 are aware that I/we may be held liable for it.

\_\_\_\_\_  
**Name & Signature of the Authorised Signatory**

\_\_\_\_\_  
**Date:** \_\_\_\_\_ (dd/mm/yyyy)

#### FOR OFFICE USE ONLY

☐ (Originals verified) True copies of documents received\*

☐ (Self-Attested) Self Certified Document copies received\*

**Signature of the Authorised Signatory** (... ..)

**Date** .....

**Seal/Stamp of the intermediary**

## **INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM**

### **A. IMPORTANT POINTS:**

1. \* Foreign Portfolio Investors (FPIs) registered with SEBI are required to only furnish the information and are exempt from submitting supporting proof documents, photograph of promoter and original documents for verification vide SEBI Circular No. IMD/HO/FPIC/CIR/P/ 2017/ 003 dated 4<sup>th</sup> January, 2017. Eligible Foreign Investors (EFIs) not registered with SEBI but hold bank account with IFSC Banking Units (IBUs) are required to only furnish the information and proof of such bank account and are exempt from submitting other supporting documents, photograph of promoter and original documents for verification vide SEBI Circular No. IMD/HO/FPIC/CIR/P/ 2017/ 003 dated 4<sup>th</sup> January, 2017.
2. \*\* FPIs are exempt from furnishing gross income information vide SEBI Circular No. CIR/MIRSD/11/2012 dated 5<sup>th</sup> September, 2012.
3. <sup>1</sup>As per SEBI Circular No. CIR/MIRSD/11/2012 dated 5<sup>th</sup> September, 2012, if the foreign entity does not have CIN, the equivalent registration number of the entity may be mentioned. If it does not have any registration number, then SEBI Registration number may be mentioned. In case the directors of the client do not have an equivalent of DIN in the client's respective jurisdiction, "Not Applicable" may be stated. Copy of the Passport may not be provided.  
<sup>2</sup>If the client has authorized the Global Custodian - an entity regulated by an appropriate foreign regulatory authority or Local Custodian registered with SEBI as a signatory by way of a Power of Attorney ('PoA') to sign on its behalf, such PoA may be accepted.  
<sup>3</sup>Proof of Identity document duly attested by authorised signatories as mentioned at <sup>2</sup> above may be adequate in lieu of the passport copy.
4. 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.
5. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification.
6. If any proof of identity or address is in a foreign language, then translation into English is required.
7. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
8. If correspondence & permanent address are different, then proofs for both have to be submitted.
9. Sole proprietor must make the application in his individual name & capacity.
10. 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.
11. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given
12. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
13. 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.
14. 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. <sup>3</sup>Proof of Identity (POI): - List of documents admissible as Proof of Identity:**

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/Driving license.
2. PAN card with photograph.
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. <sup>2</sup>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 a postilled 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 up to 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. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:**

<b>Types of entity</b>	<b>Documentary requirements</b>
<b>Corporate</b>	<ul style="list-style-type: none"> <li>• 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).</li> <li>• Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.</li> <li>• Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.</li> <li>• Copies of the Memorandum and Articles of Association and certificate of incorporation.</li> <li>• Copy of the Board Resolution for investment in securities market.</li> <li>• Authorised signatories list with specimen signatures.</li> </ul>
<b>Partnership firm</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year). Certificate of registration (for registered partnership firms only).</li> <li>• Copy of partnership deed.</li> <li>• Authorised signatories list with specimen signatures.</li> <li>• Photograph, POI, POA, PAN of Partners.</li> </ul>
<b>Trust</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Certificate of registration (for registered trust only). Copy of Trust deed.</li> <li>• List of trustees certified by managing trustees/CA.</li> <li>• Photograph, POI, POA, PAN of Trustees.</li> </ul>
<b>HUF</b>	<ul style="list-style-type: none"> <li>• PAN of HUF.</li> <li>• Deed of declaration of HUF/ List of coparceners.</li> <li>• Bank pass-book/bank statement in the name of HUF.</li> <li>• Photograph, POI, POA, PAN of Karta.</li> </ul>
<b>Unincorporated association or a body of individuals</b>	<ul style="list-style-type: none"> <li>• Proof of Existence/Constitution document.</li> <li>• Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
<b>Banks/Institutional Investors</b>	<ul style="list-style-type: none"> <li>• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
<b>Foreign Institutional Investors (FII)</b>	<ul style="list-style-type: none"> <li>• Copy of SEBI registration certificate.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
<b>Army/ Government Bodies</b>	<ul style="list-style-type: none"> <li>• Self-certification on letterhead.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
<b>Registered Society</b>	<ul style="list-style-type: none"> <li>• Copy of Registration Certificate under Societies Registration Act.</li> <li>• List of Managing Committee members.</li> <li>• Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</li> <li>• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.</li> </ul>



## GEOJIT IFSC LIMITED

### ADDITIONAL KYC DETAILS FOR OPENING A TRADING ACCOUNT

#### (NON INDIVIDUALS)

#### A. BANK ACCOUNT(S) DETAILS

Bank Name	Branch address	Bank account no.	Account Type : Saving/Current/ Others-In case of NRI/NRE/NRO	MICR Number	IFSC code

#### B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant	Depository Name	Beneficiary name	DPID	Beneficiary ID(BOID)
	India International Depository IFSC Limited			

**GST Registration Number:-** \_\_\_\_\_  
 (GST Registration Certificate needs to be attached as proof). NOTE: For availing GST credit, providing GST number is mandatory.

#### C. TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Exchange	Cash Segment	Derivatives segment (including Commodity Options)	Currency Derivatives segment	Securities Lending and Borrowing (SLB)	Mutual Funds (Online)	Corporate Bonds/ Debts
NSE-IFSC						
INDIAINX						

#### D. PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons incharge of dealing in securities/commodities during the last 3 years	
--	--

## E. DEALINGS OTHER STOCK BROKERS

Whether dealing with any other stock broker (in case dealing with multiple stock brokers, provide details of all)

Name of Stock Broker: \_\_\_\_\_

Client Code: \_\_\_\_\_ Exchange: \_\_\_\_\_

Details of disputes/due spending from/to such stockbroker/ \_\_\_\_\_

## F. ADDITIONALDETAILS

Whether you wish to receive ☐ Physical contract note ☐ Electronic Contract Note (ECN)(Please specify):  
 \_\_\_\_\_ {If ECN then please fill in ECN declaration}

Specify your Email id, if applicable: \_\_\_\_\_

Whether you wish to avail of the facility of ☐ Internet trading ☐ Wireless technology  
 (Please specify): \_\_\_\_\_

Number of years of Investment/Trading Experience \_\_\_\_\_ (Years in stocks) \_\_\_\_\_ (Years in Derivatives) \_\_\_\_\_ (Years in  
 Commodities) No prior experience \_\_\_\_\_

In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in  
 securities on behalf of company/firm/others: \_\_\_\_\_ (Annex sheet separately)

## G. Gross Annual Income in USD(\$) (details (Please tick(v)

☐ Below100k ☐ 100–500k ☐ 500k-1million ☐ 1–2.5million ☐ >2.5million  
 OR

Net-worth in \$ \_\_\_\_\_ as on date \_\_\_\_\_ dd/mm/yyyy (Net worth should not be  
 older than1year)

H. Nature of Business (for non-individual): \_\_\_\_\_

I. Please tick, if applicable: ☐ Politically exposed person ☐ Related to a politically exposed person.

In case of non- individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on  
 behalf of company/firm/others.

J. Whether you wish to receive alerts from Stock Exchanges: SMS ☐ Email ☐ ☐ Both SMS & Email

## K. INTRODUCER DETAILS

Name of the Introducer: \_\_\_\_\_

Status of the Introducer ☐ Remisier ☐ Authorized Person ☐ Existing Client Others, please  
 specify Address and phone no. of the Introducer: \_\_\_\_\_

Signature of the Introducer \_\_\_\_\_

### DECLARATION AND UNDERTAKING

1. 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.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the „Rights and Obligations“ document(s) and „Risk Disclosure Document“. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.
4. I/we will give all the required documents as required/demanded by any statutory or regulatory authority or Geojit IFSC Limited from time to time.
5. I/We am/are and will be in compliance with the laws/regulations etc of my/our country for trading in IFSC through Geojit IFSC Limited
6. I/we will comply with the rules, bye- laws, regulations, notifications, and circulars, guidelines etc issued by regulatory/statutory authority from time to time and shall indemnify Geojit IFSC Limited in case of any non I compliance/violation in this regard.
7. I/we understand that Geojit IFSC Limited is acting as my/our agent and cannot be held liable for transactions executed on the Exchange platform. In case Geojit IFSC Limited does not receive payout of funds / securities/commodities/ collaterals from theExchange/ClearingCorporation/ClearingHouse/Depository/Counterparty, then Geojit IFSC Limited is not liable to give such payout to me/us and Geojit IFSC Limited shall not be liable in whatsoever manner and I/we cannot and will not claim the same from Geojit IFSC Limited. In case part payout is received from the Exchange / Clearing Corporation /Clearing House/Depository/Counterparty, then I/we shall also get part payout and I/we cannot and will not claim the balance payout from Geojit IFSC Limited. In case of fraud/violation/non-compliance of any type by any entity ie. entities involved in clearing and settlement other than Geojit IFSC Limited in the process of transactions, clearing and settlement Geojit IFSC Limited cannot and will not be held liable in whatsoever manner and I/we cannot and will not file any claim(s) of whatsoever nature against Geojit IFSC Limited in this regard. In case where pay-out of funds/securities/commodities is given by Geojit IFSC Limited to me/us and Exchange/Clearing Corporation /Clearing House/Depository/ Counter party takes back such pay-out, then Geojit IFSC Limited has the right to take back the same from me/us and I/we will be liable to pay the same to Geojit IFSC Limited.
8. I/we understand and agree that there is no fixed return in equities, commodities, currencies, derivatives or any other asset classes or segments traded on the exchange or OTC (Over the Counter) products. The principal or the initial investment (in cash or collateral or any other asset class) can also be lost fully and losses can be higher than initial investment.
9. I/we confirm that I/we have read the 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also read 'Rights and Obligations' document(s), RDD and Guidance Note which is available on the Geojit IFSC website. I/We have received a copy of all the above documents over mail.
10. I / We further confirm that I /We have also read and understood the various risks associated with trading in various segments/products of the securities market and other markets and trading/investment decision is my/our sole responsibility.
11. I/we submit to the exclusive jurisdiction of the Courts exercising jurisdiction over the International Financial Service Centre.

Place \_\_\_\_\_

Date-----

\_\_\_\_\_  
Signature of Authorized Signatory (ies)

\*Form need to be signed by all the authorized signatories.

## FOR OFFICE USE ONLY

UCC Code allotted to the Client: \_\_\_\_\_

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

*I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.*

Date.....

.....

Signature of the Authorised Signatory Seal/Stamp Of the

**Stock Broker**

### INSTRUCTIONS/CHECKLIST

1. Additional documents in case of trading in derivatives segments illustrative list:

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income-Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

*\*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.*

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. \*As per SEBI Circular No. IMD/HO/FPIC/CIR/P/2017/003 dated 4th January, 2017, registered FPIs ("FPIs"), proposing to operate in IFSC, shall be permitted, without undergoing any additional documentation and/or prior approval process
4. Demat master or recent holding statement issued by DP bearing name of the client.
5. For non-individuals:
  - a. Form need to be initialized by all the authorized signatories.
  - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.



## TARIFFSHEET

### A. Schedule of Geojit IFSC charges for Trading Account-Non Individual Category

Sr.No	Particulars	Applicable fees inUSD (India INX &NSE-IFSC)
1.	Account set-upcharges	\$10
2.	Trading Brokerage (CapitalMarket products)	Futures - \$10 per lot B/S Options-\$1per lot B/S
3.	Transaction charges	As per exchanges(currently it is NIL at both Exchanges)
4.	IFSCA Fees	As per IFSCA circulars (currently it is 0.0001% of TurnOver)

#### Notes:

1. The above charges are of Geojit IFSC Limited. The Depository charges if any and the charges levied by the exchanges and other statutory charges will be debited to the client at actual.
2. The plan charges are non-refundable and will be debited on activation of the account on first receipt of funds from the client.
3. All other charges related to Trading and Demat will be debited to the client as and when transactions takeplace.
4. Geojit IFSC reserves the right to revise the charges and the same will be intimated to the client through email in advance.
5. Services not mentioned above will be charged separately as per the applicable rate.
6. The charges mentioned above are exclusive of any applicable taxes.

I/We hereby chose the above tariff structure and I/We agree to the above terms and condition.

I/Wefurtheragreethatthemobilenumberandemailidmentionedintheaccountopeningformpertainsto me/us and any communication with the registered email id and/or mobile number will be treated as valid communication.

Place \_\_\_\_\_  
Date-----

\_\_\_\_\_  
Signature of Authorized Signatory(ies)

## **SELF-CERTIFICATION FOR ENTITIES FOR FATCA/CRS**

### **Part I**

<b>A.</b> Is the account holder a Government body/International Organization/listed company on recognized stock exchange? If “No”, then proceed to point B. If “yes” please specify name of stock exchange, if you are listed company and proceed to sign the declaration._____	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>B.</b> Is the account holder a (Entity/Financial Institution) tax resident of any country other than India? If “yes”, then please fill of FATCA/CRS Self certification Form as per PART II. If “No”, proceed to point C	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>C.</b> Is the account holder an Indian Financial Institution? If “yes”, please provide your GIIN, if any. If “No”, proceed to point D	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>D.</b> Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen? If “yes”, (then please fill FATCA/ CRS self-certification form as per PART II) If “No”, proceed to sign the declaration	<input type="checkbox"/> Yes <input type="checkbox"/> No

**Customer Declaration:**

( ) Under penalty of per jury, I/we certify that:

1. The applicants:

(i) An applicant taxable as a US person under the laws of the United States of America (“U.S.”) or any state or political subdivision thereof or therein, including the District to Columbia or any other states of the U.S.,

(ii) An estate the income of which is subject to U.S. federal income tax regardless of the source there of.

(This clause is applicable only if the account holder is identified as a US person).

2. The applicant is an applicant taxable as a tax resident under the laws of country outside India.

(This clause is applicable only if the account holder is identified as a non US person).

(ii) I/We understand that Geojit IFSC Limited is relying on this information

For the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. Geojit IFSC Limited is not able to offer any tax advice on FATCA/CRS or its impact on me/us. I/we shall seek advice from professional tax advisor for any tax questions.

(iii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.

(iv) I/We agree that as may be required by domestic regulators/tax authorities Geojit IFSC Limited may also be required to report, reportable details to CDBT or close or suspend my account.

(v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the tax payer identification number of the applicant.

Signature(as per MOP)	
Name of Account Holder	
Date	

## Part II

### Self-Certification Form (Entity)

for Foreign Account Tax Compliance Act (“FATCA”) and Common Reporting Standards (CRS)

#### Section 1: Entity information

Name of Entity	
Client Code/Client ID	
Address	
Entity Constitution Type (Refer Appendix 2)	
Entity Identification type (Refer Appendix 2)	<input type="checkbox"/> T <input type="checkbox"/> G <input type="checkbox"/> C <input type="checkbox"/> E <input type="checkbox"/> O
Entity Identification No (based on entity identification type)	
Entity Identification issuing country	
Country of Residence for tax purpose	

#### Section 2: Classification of Non-Financial entities I/We (on behalf of the entity) certify that the entity is:

a) An entity incorporated and taxable in US (Specified US person)	<input type="checkbox"/> Yes <input type="checkbox"/> No
If “Yes”, please provide your U.S. Tax payer Identification Number (TIN)	
b) An entity incorporated and taxable outside of India (other than US)	<input type="checkbox"/> Yes <input type="checkbox"/> No
If “Yes”, please provide your TIN or its functional equivalent	
Provide your TIN issuing country	
c) Please provide the following additional details if you are not a Specified US Person	
<b>FATCA/CRS classification for Non-financial entities (NFFE)</b>	
Active NFFE	<input type="checkbox"/>
Passive NFFE without any controlling Person	<input type="checkbox"/>
Passive NFFE with Controlling Person(s)	<input type="checkbox"/>
Direct Reporting NFFE (Choose this if any entity has registered itself for direct reporting for FATCA and thus GEOJIT IFSC LIMITED is not required to do the reporting). Please provide GIIN number _____	<input type="checkbox"/>

#### Section 3: Classification of financial institutions (including Banks)

I/We (on behalf of the entity) certify that the entity is

a. An entity is a U.S. financial institution	<input type="checkbox"/> Yes <input type="checkbox"/> No
--	--

If “Yes”, (i) Please provide your Tax payer	
Identification Number(TIN)	
Please provide GIIN, if any	
If “No”, please tick one of the following boxes below:	
<b>FATCA classification</b>	<b>Please provide the Global Intermediary Identification number(GIIN) or other information where</b>
Reporting Foreign Financial Institution in a Model applicable Inter-Governmental Agreement (“IGA”) Jurisdiction	<input type="checkbox"/>
Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction	<input type="checkbox"/>
Participating FFI in a Non-IGA Jurisdiction	<input type="checkbox"/>
Non-reporting FI	<input type="checkbox"/>
Non-Participating FI	<input type="checkbox"/>
Owner-Documented FI with specified US owners	<input type="checkbox"/>

#### Section4: Controlling person declaration

If you are classified as “**Passive NFFE with Controlling Person(s)**” or “**Owner documented FFI**” or “**Specified US person**”, please provide the following details:

Name of controlling person	Correspondence Address	Country of residence for tax purpose	TIN	TIN issuing Country	Controlling person type

Details	Controlling person1	Controlling person2	Controlling person3	Controlling person4	Controlling person5
Identification Type (Refer Appendix2)					
Identification Number					
Occupation Type (Refer Appendix2)					
Occupation					
Birth Date					
Nationality					



Country of					
Birth					

### Section5: Declaration

(i) Under penalty of per jury, I/we certify that:

1. The number shown on this form is the correct taxpayer identification number of the applicant, and
2. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America (“U.S.”) or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof, or
3. The applicant is an applicant taxable as a tax resident under the laws of country outside India.

(ii) I/We understand that Geojit IFSC Limited is relying on this information for the purpose of determining the status of the applicant named above in compliance with CRS/FATCA. Geojit IFSC Limited is not able to offer any tax advice on CRS or FATCA or its impact on me/us. I/we shall seek advice from professional tax advisor for any tax questions.

(iii) I/We agree to submit a new form within 30 days if any information or certification on this form gets changed.

(iv) I/ We agree as may be required by /Regulatory authorities, Geojit IFSC Limited shall be required to comply to report, reportable details to CBDT or close or suspend my account.

(v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct and complete including the tax payer identification number of the applicant.

I/We here by confirm that details provided are accurate, correct and complete:

Signature (as per MOP)	
Names and designation of Signatories	
Name of Account Holder	
Date	
PAN Number of Account Holder	

(Company Seal, if applicable, to be affixed)

**VOLUNTARY****RUNNING ACCOUNT AUTHORISATION**

To,  
**Geojit IFSC Limited.**  
16<sup>th</sup> floor, 1641, Signature Building Block13-  
B, Zone 1, GIFT SEZ GIFT City Gandhinagar -  
382355, Gujarat, India.

Date:

Dear Sir/Madam,

I/We, in order to facilitate operations, authorize Geojit IFSC Limited, to maintain a Running Account instead of a Settlement-to-Settlement clearance of Funds and/or Securities to me/us.

I/We request you to kindly settle the funds and securities due to me/us at least once in a calendar month/quarter (please strike off which is not applicable).

I/We understand that:

1. This authorisation shall be signed by me/us only and not by my/our Constituted Power of Attorney.
2. I/We can revoke, in writing this authorization as and when I/We desire to do so.
3. In case I/We have an outstanding obligation on the settlement date, Geojit may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligation for next 5 trading days, calculated in the manner specified by the exchanges.
4. In case if, I/We have any dispute arising from the statement of account or settlement so made, I/We shall bring it to the notice of Geojit within 7 working days from the date of receipt of Funds/Securities or Statement, as the case may be.
5. Geojit may settle the funds/securities across segments of the same exchange.
6. There shall be no inter- client adjustment for

funds and securities.

Yours Faithfully,

Sign here \_\_\_\_\_ Client  
Name: \_\_\_\_\_

---

**RETENTIONAUTHORISATION**

To,  
**Geojit IFSC Limited.**  
16<sup>th</sup> floor, 1641, Signature Building Block13-  
B, Zone 1, GIFT SEZ GIFT City  
Gandhinagar - 382355, Gujarat, India.

Date:

Dear Sir/Madam,

I/We hereby give my consent to Geojit IFSC Limited, to retain an amount of up to USD 1000 while making payment to me/us towards settlement of funds on monthly/quarterly basis.

I/We are aware that the above thres hold limit shall not be applicable in case I/We have not traded in a particular month/quarter.

I/We are aware that in case of Indian Resident investing under LRS, the entire amount lying idle up to 15 days from the date of receipt may be repatriated back to domestic INR account after deducting Geojit and bank charges as applicable

Yours Faithfully,

Sign here \_\_\_\_\_ Client Name: \_\_\_\_\_

## STANDING INSTRUCTION

To,  
**Geojit IFSC Limited.**  
16th floor, 1641, Signature  
Building Block 13-B, Zone 1,  
GIFT SEZ GIFT City  
Gandhinagar-  
382355, Gujarat, India.

Date:

Dear Sir/Madam,

I/We hereby, will fully and unconditionally issue following standing instructions:

1. I/We am/are agree that the credit balances of funds and shares be treated as margin.
2. I/We here by authorize you to adjust the debit/credit balances in my/our margin/settlement account of one exchange /segment with the credit/debit balances in the margin/settlement account of another exchange/segment. Such adjustment of credit balances in any margin/settlement account of any exchange/segment with debit balance in any exchange/segment will tent amount to due discharge of payout of funds to me/us.
3. I/We am/are agreeable for and authorize you to withhold funds and/or securities payout towards all the debit and/or margin requirements.
4. I/We may place orders verbally, telephonically and/or in writing.
5. I/We shall not indulge in any sub- broker activities nor issue bills/contracts/confirmation notes to anyone else for trades done in our client code.
6. All fines/penalties and charges levied upon by IFSCA/Stock Exchange/any other Financial Sector Regulatory/ any other competent authority due to my/our acts/deeds or transactions may be recovered by you from my/our accounts.
7. I/We agree that you may charge penalty @ 18% p.a. on any delayed payment i.e. from the due date.
8. These standing instructions are valid from the date of registration and will be valid until revoked in writing.

Yours Faithfully,

Sign here \_\_\_\_\_

Client Name: \_\_\_\_\_

**Annex. 1**

(To be Printed in the letter head of the company)

**CERTIFIED TRUE COPY OF THERE SOLUTION PASSED BY THE BOARD OF DIRECTORS AT ITS MEETING HELD ON-----**

“RESOLVED THAT the Company be registered as CLIENT with GEOJIT IFSC LIMITED, an IFSCA registered **Broker - Dealer** of the India International Exchange IFSC Ltd, (INDIAINX) and NSE International Exchange Ltd.(**NSE- IFSC**) for the purpose of buying, selling or dealing in securities like Equities, Equity derivatives, Commodity derivatives, Currencies derivatives, debt & other products as permitted by the recognized exchanges in IFSC.

RESOLVED FURTHER THAT any of the under noted authorized representatives of this Company be and is here by authorized **jointly or severally** to sign, execute and submit such applications, under takings, agreements and other required documents, writings and deeds as may deemed Necessary or expedient to give effect to this resolution

<u>Sr. No.</u>	<u>Name</u>	<u>Designation</u>
----------------	-------------	--------------------

1.

2.

RESOLVED FURTHER THAT the said **Broker - Dealer** be and is hereby authorized to honor instructions, oral or written, given by any of the above said persons to sell, purchase, endorse, transfer, negotiate and/or otherwise deal with the said **Broker- Dealer** on behalf of the Company.

RESOLVED FURTHER THAT the Common Seal of the Company shall be affixed, wherever necessary, in the presence of any two Directors or of any one Director and Company Secretary, who shall sign the same in token of their presence.

AND RESOLVED FURTHER THAT any agreement, requests and applications signed, and any instruction given or representation made by them to give effect to this resolution shall be binding on the Company.”

For (company Name)

Managing Director/Company Secretary

Name with Seal & Sign:



**Annex. 2**  
**(ON THE LETTER HEAD OF THE COMPANY)**

**LIST OF ULTIMATE BENEFICIAL OWNERS**

Sr. No.	Name & Address of the Beneficial Owner (Natural Person)	Date of Birth	Tax Residency Jurisdiction	Nationality	Whether acting Alone or together through One or more natural persons As group, With their Name and address	BO Group's percentage Shareholding /Capital/ Profit Ownership in The FPIs	Tax Residency Number/Social Security Number/ Passport Number of BO/ any other Government Issued identity document number (example driving license)(Please Provide any)

For \_\_\_\_\_ <Name of applicant>

**Director/Authorised Signatory (ies)**

Name : \_\_\_\_\_  
Designation : \_\_\_\_\_

Date : \_\_\_\_\_  
Place : \_\_\_\_\_

**Note:**

The beneficial owner shall be determined as under—

a) Where the client is a company, the beneficial owner is the natural person(s), who, whether acting alone or together, or through one or more juridical person, has a controlling ownership interest or who exercises control through other means. Explanation.—For the purpose of this sub-clause—

1. “Controlling ownership interest” means ownership of or entitlement to more than twenty-five per cent of shares or capital or profits of the company;

2. “Control” shall include the right to appoint majority of the directors or to control the management or policy decisions including by virtue of their shareholding or management rights or shareholders agreements or voting agreements;

b) Where the client is a partnership firm, the beneficial owner is the natural person(s) who, whether acting alone or together, or through one or more juridical person, has ownership of or entitlement to more than fifteen percent of capital or profits of the partnership;

c) Where the client is an unincorporated association or body of individuals, the beneficial owner is the natural person(s), who, whether acting alone or together, or through one or more juridical person, has ownership of or entitlement to more than fifteen per cent. of the property or capital or profits of such association or body of individuals;

d) Where no natural person is identified under (a) or (b) or (c) above, the beneficial owner is the relevant natural person who holds the position of senior managing official;

e) Where the client is a trust, the identification of beneficial owner(s) shall include identification of the author of the trust, the trustee, the beneficiaries with fifteen per cent or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

Annexure 3

List of Authorized Signatories with Specimen Signature as per Board Resolution dated

SR. NO	NAME & ADDRESS	DESIGNATION: NATIONALITY: DATE OF BIRTH: PASSPORT NO:	PHOTOGRAPH	SIGNATURE

For\_\_\_\_<name of applicant>

Name:

Designation:

Date:

Place:

Note:

1. To be signed by at least 2 Director

## POLICIES AND PROCEDURES

### a) **Refusal of orders for penny stocks/illiquid securities or "Z" group stocks**

- Geojit IFSC Limited reserves the right to allow or deny trading in 'illiquid securities' without assigning any reason for the same.
- For this purpose, the instruments, which are appearing in the list of illiquid securities issued by the Exchanges may be considered as 'illiquid securities.'
- Clients are expected not to place orders in illiquid securities at prices which are substantially different from the prevailing market prices. Any such orders is liable to be rejected at the sole discretion of Geojit IFSC Limited.
- Notwithstanding the above, in case of sale of "Penny Stocks", clients should ensure the delivery of shares to Geojit IFSC Limited before the pay-in date. Geojit IFSC Limited will not be liable for any loss arising out of trading in penny/illiquid securities or due to non delivery of shares/illiquid securities for pay-in purpose.

### b) **Trading in Trade to Trade Group of Securities**

As per Exchange, in Trade to Trade group, the buy and sell positions are to be settled on gross delivery basis on each side and netting off is not allowed. Clients can buy the securities to the extent of exposure available with them and sell the securities only to the extent of quantity of securities available in their demat account. As such clients cannot do intra-day transactions in these securities without having sufficient funds / securities with them. In view of the above, clients are requested to find out the securities under Trade to Trade before placing the order with the dealer.

### c) **Setting up of client's exposure limits:**

Geojit IFSC Limited shall allow exposure limits based on clear credit in the account of the client. Geojit IFSC Limited also reserve the right to provide or deny exposure to clients in case client has debit balance or insufficient clear credit balance in his account with Geojit IFSC Limited at the time of placing of order. Geojit IFSC Limited may or may not accept collateral securities like Shares, Fixed Deposits Receipts, Government Securities etc as margin deposit for the purpose of providing exposure against the prevailing market value of securities after deducting the rate prescribed by exchange. Clients willing to avail collateral based exposure may have to complete necessary formalities as may be prescribed by Geojit IFSC Limited from time to time. Geojit IFSC Limited reserves the right to increase/ decrease the brokerage rate, provided the same is informed to client in writing.

### d) **Brokerage rates:**

Normally, for Capital Market Products, the brokerage rate of 0.55% is charged on delivery transactions and 0.12% (both legs of transactions inclusive) is charged for intra-day transactions to client. In Derivatives Segment, the brokerage at the rate of 0.05% is normally charged on both legs of Intraday and/or Carry Forward transactions in Futures Trading and in case of Options Trading, 1% of the premium value or minimum USD 1 per lot whichever is higher. However, the rate of brokerage may differ from client to client as may be decided by the management of Geojit IFSC Limited. Geojit IFSC Limited reserves its rights to increase/decrease the brokerage, provided the same is informed to clients in writing or email. Geojit IFSC Limited may charge minimum brokerage of USD 0.50 (50 Cents) per scripts or per contract note. However, brokerage rate shall not exceed maximum limit of 2.5% on trade price for capital market product and futures contracts and 2.5% of the premium amount or USD 2 per lot for options as prescribed by the regulatory authority. The brokerage charged by Geojit IFSC Limited will be exclusive of charges levied by the Exchanges and other statutory levies as applicable from time to time.

### e) **Imposition of penalty/delayed payment charges by either party, specifying the rate and the period:**

Geojit IFSC Limited reserves right to charge penalty @18% p.a. on the amount outstanding for the period from the date the amount becomes due till the date of realization of amount. Geojit IFSC Limited may also impose penalty, late payment charges or delayed processing charges for delay in making payments to Geojit IFSC Limited. The objective of charging such a penalty/charge is to compel the client to clear the dues in a timely manner. Penalty and other charges if any, levied by Exchanges pertaining to trading of the clients shall be recovered from the respective clients. Note: (Inspection related penalty cannot be levied on clients)

### f) **The right to sell client's securities or close client's positions, without giving notice to the client, on account of non-payment of client's dues (limited to the extent of settlement/margin obligation):**

Without prejudice to Geojit IFSC Limited's other rights (including the right to refer a matter to arbitration), Geojit IFSC Limited shall be entitled, without giving notice to the client, to liquidate/close out all or any of the client's positions for non-payment of margins or settlement obligation or other trade related amounts, outstanding debts etc. and adjust the proceeds of such liquidation/ close out, if any, against the client's liabilities/obligations, selling/dispersing of collateral securities. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client. Apart from selling of Shares / securities for debit, Geojit IFSC Limited may impose penalty / delayed payment charges / processing charges / interest as mentioned here-in-above.

### g) **Shortage in obligations arising out of internal netting of trades:**

Failure of the seller to deliver securities shall result in compulsory financial close-out or any such action as may be decided by the relevant authority from time to time. The methodology and the price of financial close-out will be as decided by the relevant authority from time to time.

### h) **Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client.**

Geojit IFSC Limited reserves the right to disallow a client to take further position or to close out the client's existing open position:

- There is shortfall in the margin deposited by client with Geojit IFSC Limited
- If Geojit IFSC Limited has reached its limit in that particular security.
- If the client has breached the client-wise limit.
- If the client has taken or intends to take new position in a security which is in the banned period.
- The client does not pay on or before the Pay in day the dues/margins as may be required by the exchange.
- Extreme volatility in the market or in particular security or in the F&O segment.
- There are any unforeseen adverse market conditions or abnormal rise or fall in the market.
- The client is suspected to be resorting to any illegal trading practices or is suspected to be indulging in money laundering activities.

**i) Temporary suspension or closing of client's account at the client's request:**

Geojit IFSC Limited may, on a specific request in writing received from the client (in this regard,) for temporarily suspend/close of the client's account for trading by sending a written request to the dealing office. For removing this temporary suspension, the client will have to request in writing for removal of suspension.

Geojit IFSC Limited on its own may also suspend the client's account:

- In case of non-payment of dues or margin money or non-fulfillment of compliance requirements.
- If there is not a single active demat account linked to trading account.
- If any other non compliance observed in the account.
- The client may also be required to fulfill other conditions, on a case to case basis.
- If the client is debarred by Exchange / SEBI / IFSCA or any other regulatory / statutory authority.

**j) Deregistering a client:**

On a written request received from the client, Geojit IFSC Limited shall close the account of the client provided of client's securities/ funds are settled.

Geojit IFSC Limited may, at its absolute discretion, decide to deregister a particular client.

The illustrative circumstances under which Geojit IFSC Limited may deregister a client are given below:

- SEBI / IFSCA or any other regulatory body has passed an order against such client, prohibiting or suspending such client from participating in the securities market.
- Such client has been indicted by a regulatory body or any government enforcement agency in case of market manipulation or insider trading or any other case involving violation of any law, rule, regulation, guideline or circular governing securities market.
- Such client is suspected of indulging in illegal or criminal activities including fraud or money laundering.
- Such client's name appears in the UN list of prohibited entities or in the SEBI / IFSCA debarred list.
- Such client's account has been lying dormant for a long time or the client is not traceable.
- Such client has been declared insolvent or any legal proceedings to declare him / her as insolvent have been initiated.
- Such client has been irregular in fulfilling obligations towards margin or settlement dues.

**k) Inactive (dormant) Account:**

In case where the client does not operate the trading account for a continuous period of six months, the same will be considered as 'Inactive (dormant) Account' for trading to prevent misuse of client codes and to avoid execution of transaction in such inactive client account due to punching errors. The Client will not be permitted to do any transaction till the account is made 'Active' on client's request. For re-activation of such 'Inactive' account, the client will have to submit request in writing for activation along with duly signed photo copy of Identity Proof i.e. PAN Card / Voter ID Card / Passport. Alternatively, the client can personally visit the office for in-person verification and submit the aforesaid identity proof. The office will maintain the proof for future reference.

**l) Proprietary Trading:**

The Member trades in its own proprietary account in the capital market, equity or derivatives segment.

**m) Margin :**

- The client shall pay applicable initial margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by IFSCA from time to time as applicable to the segment(s) in which the client trades.
- In case client fails to meet margin obligation fully or partially, Geojit IFSC Limited may recover penalties as per exchange guidelines.
- The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House)
- The client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for nonpayment of margins or other trade related amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's trade related liabilities/obligations.
- Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and born by the client.

**n) Provisions for Individuals' resident in India investing under LRS**

- For clients who are resident in India,
- Remittances for margins or margin calls to overseas exchanges are not allowed under the Liberalised Remittance Scheme (LRS). Therefore,
- Margin trading is not permitted and Trading in derivative products is not permitted
- Funds equivalent to the 100% of transaction value which includes trade value, transaction fee, brokerage etc. should be available with the Trading Members before any trade is executed on their behalf
- Any remittances made by the clients for the purpose of intra-day trades in eligible securities on any of the Exchanges would be considered as investment in securities and would be permitted through the LRS route subject to the condition that no intraday positions /trades should be permitted which would exceed the overall LRS limit of USD 250000 per financial year.
- Any profits arising out of the sale transaction cannot be used for further purchases till the profits are credited to clients' account
- No naked short sale will be permitted
- BTST is not permitted
- Any funds lying idle in the account of the trading member for a period up to 15 days from the date of its receipt into the account shall be immediately repatriated to domestic INR account of the client in India after deducting applicable charges of Geojit IFSC Limited and Bank charges if any.
- Client acceptance of policies and procedures mentioned herein above - I / We have understood the policies and procedures. I / We agree to sign the same. I / we am / are aware that the updated policies is available on the website of the company.

Client's Name: \_\_\_\_\_

Sign here \_\_\_\_\_ UCC: \_\_\_\_\_