**KRA KYC COMMON UPDATION FORM A - NON - INDIVIDUAL**

<table>
<thead>
<tr>
<th>DP ID : IN300214</th>
<th>Date</th>
<th>Acknowledgment No.</th>
</tr>
</thead>
</table>

**A. IDENTITY DETAILS**

1. Name of the Applicant
2a. Date of incorporation
2b. Place of incorporation
3. Business commencement Date
4a. PAN
4b. Rgn No.

**B. ADDRESS DETAILS**

1. Address for Correspondence
   - City / Town / Village
   - Pin Code
2. Registered Address (if different from above)
   - City / Town / Village
   - Pin Code
3. Contact Nos: Tel. (Off.)
   - Tel. (Res.)
   - Mobile No.
   - E-mail ID

**C. DECLARATION**

I/we hereby declare that the details furnished above are true & correct to the best of my knowledge and undertake to inform you of any changes therein immediately, and I/we may be held liable for any information is found to be false/misreading/misrepresenting. I/we are aware that the information provided herewith shall be updated in accounts maintained at Kotak Securities under intimation to me. The updation of my KYC record will be updated in KRA.

1st Holder / Authorised Signatory
2nd Holder / Authorised Signatory
3rd Holder / Authorised Signatory

Name

**Address**

CRM Query ID 1
CRM Query ID 2
CRM Query ID 3

**Originals verified and Self-Attested Document copies received**

In-Person-Verification (IPV) details:
- Date
- Name of the person doing IPV
- Designation
- Name of Organization
- Signature

Seal/Stamp of the intermediary

**ACKNOWLEDGEMENT**

From
- having Trading Code
- Client Id
- For Kotak Securities Ltd. (Company Seal)
- Employee Signature

Your request will be processed within a tentative period of 7 days from the date of receipt of complete documents. In case of queries regarding the status of the request, We request you to call on Customer Service No. 1800 209 9191 / 1860 266 9191. Demat related complaints write at ks.demat@kotak.com for any other queries or complaints write at service.securities@kotak.com.
<p>| | | | | | | |</p>
<table>
<thead>
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</thead>
<tbody>
<tr>
<td>1. Name as per Pan / ID proof</td>
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<tr>
<td>2. Relationship with Applicant (i.e. promoters, whole time directors, Authorised person to deal etc.)</td>
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<tr>
<td>3a. PAN</td>
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<tr>
<td>3b. DIN of (whole time directors)</td>
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<td>4. Residential / Registered Address</td>
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<td></td>
<td>City/Town/Village</td>
<td></td>
<td>Pin Code</td>
<td></td>
<td>State</td>
<td>Country</td>
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<td>5. Date of Birth</td>
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<td>6. Gender</td>
<td>☐ Male</td>
<td>☐ Female</td>
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<tr>
<td>7a. Authorised person to deal</td>
<td>☐ Yes</td>
<td>☐ No</td>
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<td>7b. Authorised Signatory</td>
<td>☐ Yes</td>
<td>☐ No</td>
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Name & Signature of Holder / Authorised Signatory (ies)
A. IMPORTANT POINTS:
1. Self attested copy of PAN card is mandatory for all clients, including Promoters / Partners / Karta / Trustees and whole time directors and persons authorised to deal in securities on behalf of company/firm/ others.
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 authorised for attesting the documents, as per the below mentioned:
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/PO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, DIN 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, Marine's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of State or of Governments, senior politicians, senior Government/ judicial / military officers, senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity (POI) - List of documents admissible as Proof of Identity:
1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card
2. PAN card with photograph.
3. Identity card/document with applicant's photo, issued by any of the following: Central / State Governments, senior politicians, senior Government / judicial / military officers, senior executives of state owned corporations, important political party officials, etc.

C. Proof of Address (POA) - List of documents admissible as Proof of Address:
1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card
2. Utility bills like Telephone Bill, 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, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FI/ sub account, Power of Attorney given by FI / sub account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN
(Sufficient documentary evidence in support of such claims to be collected.)

E. In case of transactions undertaken on behalf of Central Government and/or State Government and/or officials appointed by Courts e.g. Official liquidator, Court receivers etc.

F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over and above the POI & POA, as mentioned below:

1. Bank pass-book/bank statement in the name of HUF
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. PAN card with photograph.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.

G. In case you wish to have direct Access Facility with the new Bank Account and Power Of attorney has not been registered against this Account, please submit a copy of the 'Linking Letter' to your Bank for linking the same. Please note that in absence of the same, you will be unable to transfer funds to your Trading Account.

<table>
<thead>
<tr>
<th>Types of entity</th>
<th>Documentary requirements</th>
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<tbody>
<tr>
<td>Corporate</td>
<td>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</td>
</tr>
<tr>
<td></td>
<td>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).</td>
</tr>
<tr>
<td></td>
<td>Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.</td>
</tr>
<tr>
<td></td>
<td>Certificate of registration (for registered partnership firms only).</td>
</tr>
<tr>
<td></td>
<td>Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.</td>
</tr>
<tr>
<td></td>
<td>Copies of the Memorandum and Articles of Association and certificate of incorporation.</td>
</tr>
<tr>
<td></td>
<td>A copy of the Board Resolution for investment in securities market.</td>
</tr>
<tr>
<td></td>
<td>Authorised signatories list with specimen signatures.</td>
</tr>
</tbody>
</table>

| Partnership firm | 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           | 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             | 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 | Proof of Existence/Constitution document. |
|-----------------------------------------------------| Resolution of the managing body & Power of Attorney granted to transact business on its behalf. |
|                                                     | Authorised signatories list with specimen signatures. |

| Banks / Institutional Investors | Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. |
|---------------------------------| Authorised signatories list with specimen signatures. |

| Foreign Institutional Investors (FI) | Copy of SEBI registration certificate. |
|--------------------------------------| Authorised signatories list with specimen signatures. |

| Armymilitary Bodies | Self-certification on letterhead. |
|---------------------| Authorised signatories list with specimen signatures. |

| Registered Society | Copy of Registration Certificate under Societies Registration Act. |
|--------------------| List of Managing Committee members. |
|                    | Committee resolution for persons authorised to act as authorised signatories with specimen signatures. |
|                    | True copy of Society Rules and Bye Laws certified by the Chairman/Secretary |
KRA KYC COMMON UPDATE FORM B - NON - INDIVIDUAL

Name: ____________________________ Date: ____________________________

Trading code: ____________________ DP ID: IN300214

☐ Bank Account No. ____________________

☐ I want to avail RTGS/NEFT Facility: ☐ Yes ☐ No

☐ Change ☐ Addition (Only for trading)

CRM Query ID 4

Bank Name: ____________________________

Branch Address: __________________ City: _____________ Pin Code: _____________

IFSC Code of beneficiary bank: ____________________________ MICR Code: _____________

Bank A/c No. ____________________________ Bank A/c Type: ☐ Saving ☐ Current

Full name of First Holder in the Bank: ____________________________

Full name of Second Holder in the Bank: ____________________________

Full name of Third Holder in the Bank: ____________________________

I am enclosing the following documents as proof that the aforesaid account belongs to me:


3. In case Bank Account in Joint Name NOC from Account holder is required.

A/C Type: ☐ Online ☐ Offline Bank Name: KMLB Other Bank: ____________________________

In Case Existing Bank a/c is being replaced with KMLB A/c then read the Point # “G” given in "Instruction / Check List for Filling KYC Form"

☐ 2. Consent to Receive Transaction Statement on Email (Only for DP)

CRM Query ID 5

I/We understand that you that a facility is being granted wherein I/We can get access to the transaction statements in respect of my/our above demat account. It is the Expiry of the Participant or in the case of email address provided by me/us to the Depository Participant. I/We are also aware that the said facility is available subject to me/us complying with certain terms and conditions as prescribed by National Securities Depositories Ltd (NSDL). I/We have requested Kotak Securities Ltd to provide me the facility of accessing the transaction statements in the email account provided by me below in the enclosed KYC form and Kotak Securities Ltd has agreed to the said request. In consideration of Kotak Securities Ltd agreeing to allow me/us to avail the said facility I/We agree to the following terms and conditions

1. I/We are aware that the availing this facility transaction statements will not be received in paper form.

2. I/We will take all necessary steps to ensure confidentiality and security of the login name and password of the intended email account.

3. I/We are aware that the transaction statement may be accessed by other entities in case the confidentiality/security of the login name and password is compromised and I/We will hold responsible Kotak Securities Ltd for any breach of security.

4. I/We shall not hold kotak securities ltd liable if any problem arises with my/our computer network because of my/us receiving statements.

5. I/We are authorized by the other holders to receive the statements on their behalf in email IDs provided to kotak securities ltd.

6. I/We shall immediately inform Kotak Securities Ltd regarding any change of email address provided by me/us for receiving the transaction statements.

7. I/We shall not hold kotak securities ltd responsible if I/We do not receive statement due to incorrect email ids and /technical reasons, I/We are aware that all parties have the right to terminate the said facility on providing a 10 days advance written notice to the other party.

8. I/We shall not hold kotak securities ltd responsible if I/We do not receive statement due to incorrect email ids and /technical reasons,

9. I/We are aware that the parties have the right to terminate the said facility on providing a 10 days advance written notice to the other party.

CRM Query ID 6

☐ 3. Request Form for Accepting Contract Notes and other Communication through Electronic mode and on Mobile Phone: (Only for trading)

Email ID: ____________________________

☐ I/We hereby agree to receive: (Please tick any one)

☐ Contract notes and other communication on Email and mobile

☐ Contract notes and other communication through physical & digital mode

☐ Contract notes and other communication through physical mode

CRM Query ID 7

Please send all communication at my/our email id and mobile number as mentioned in the client registration form. I/We agree that all information sent to the above mentioned email id shall be binding upon me/us. Further, I/We understand that non-receipt of bounced mail notification by Kotak Securities Limited (KSL) shall amount to delivery of the contact note or such other information at my/our email id. I/We agree that KSL shall not be responsible for the non-receipt of the contract note/confirmation note/other correspondence by me/us due to any change in the address/email id/mobile number if not intimated by me/us. If I/We am/are aware that for any change in the address/email id/mobile number, I/We am/are required to update the same to KSL in writing through a physical letter. If I/We avail online trading services provided by KSL, the said updation can also be made through a secured access to the website.

* Nominal charges may be debited to my account as per the prevalent policy of the company towards the physical dispatch of various communication

The mobile number mentioned here belongs to Name: ____________________________

Authorized Signatory: ____________________________ Client Signature: ____________________________

Director: ____________________________ Trustee: ____________________________ Karta: ____________________________

PAN: ____________________________

The email ID mentioned here belongs to Name: ____________________________

Authorized Signatory: ____________________________

Director: ____________________________ Trustee: ____________________________ Karta: ____________________________

PAN: ____________________________

I/We hereby agree to activate my account from dormant status to active status

☐ DECLARATION

I/We hereby declare that the details furnished above are true & correct to the best of my knowledge and undertake to inform you of any changes therein immediately, and I/We may be held liable for any information is found to be false/missreading /misrepresenting. I/We are aware that the information provided hereunder shall be updated in accounts maintained at Kotak Securities under intimation to me.

1st Holder: ____________________________

2nd Holder: ____________________________

3rd Holder: ____________________________

Name: ____________________________

Bank Account / RTGS Facility: ____________________________

Email Consent for Transaction Statement (Only for DP): ____________________________

CRM Query ID 4

Email Consent for Transaction Statement (Only for DP): ____________________________

CRM Query ID 5

Contract Note/Communication Preference (Only for Trading): ____________________________

CRM Query ID 6

Date: ____________________________

☐ 1 Bank Update / RTGS Facility Yes ☐ No CRM Query ID 4

☐ 2 Email Consent for Transaction Statement (Only for DP) Yes ☐ No CRM Query ID 5

☐ 3 Contract Note/Communication Preference (Only for Trading) Yes ☐ No CRM Query ID 6

Name of the Employee: ____________________________

Employee Code: ____________________________

Acknowledgement:

Your request will be processed within a tentative period of 7 days from the date of receipt of complete documents. In case of queries regarding the status of the request, We request you to call on Customer Service No. 1800 209 9191 / 1860 266 9191. Demat related complaints write at ks.demat@kotak.com for any other queries or complaints write at service.securities@kotak.com.