

SELF DECLARATION FOR FINANCIAL DETAILS (For Non-individuals)

To,

Date:

Kotak Securities Limited.

I/we, _____ (Name of the client) having trading code _____

hereby provide following information.

1. Occupation _____ Nature of business: _____
2. Name of Director/Trustee/Partner/Karta & co parcener: _____ 2) _____
3. Pan Details of Director/Trustee/Partner/Karta & co parcener: _____ 2) _____
4. Director Identification number 1 _____, Director 2 _____
5. 21 digit CIN number of Corporate : _____
6. Address Details of Director/ Trustee/ Partner/ Karta & co parcener 1: **(Address & PAN proof required)**

7. Address Details of Director/ Trustee/ Partner/ Karta & co parcener 2: **(Address & PAN proof required)**

8. Contact details of Director/Trustee/Partner/Karta & co parcener: 1) _____ 2) _____
9. Email ID of Director/Trustee/Partner/Karta & co parcener:
1) _____ 2) _____
10. Registration / Commencement Date: (DD/MMM/YYYY) Place of Registration: _____
11. Specify your income range for the year ended date (DD/MMM/YYYY) by ticking against relevant slab:
Below Rs. 1 lac Rs1-5 lacs 5-10 lacs 10-25 lacs 25 lacs-1crore more than 1 crore
12. *Networth: Rs. _____ as on date (DD/MMM/YYYY)
13. Whether borrowed fund used for trading in securities market: Yes/No
14. Risk appetite : High/Medium/Low
15. Are your promoter/Directors/Trustees/Karta etc. is politically exposed person**: Yes/no
16. Are your promoter/Directors/Trustees/Karta etc. related to any politically exposed person* : Yes/No

*** Bank, Address, Email, Contact & PAN details are mandatory to be updated before activation.**

I/We hereby confirm that above declaration is correct and are attaching one of the Financial documentary proofs in support thereof. Further, as per SEBI requirement we are submitting updated list of directors/trustees/partner.

We undertake that we will submit a certified copy of Annual Balance sheet every year before 31st October.

* Net worth means liquid net worth i.e. Assets (excluding immovable properties) - Liabilities

**Politically Exposed Person : Senior figure who is or has been entrusted with prominent public functions e.g., Head of State or of Government, senior politician, senior government / judicial / military officer, senior executive of state-owned corporation, important political party official, etc.

Signature: -----

(Authorized Signatory name) _____

Note: Trading in F&O involves certain element of financial risk and therefore as per SEBI regulations, it is important that person has liquid net worth (i.e. excluding immovable property). Further, as per Prevention of Money Laundering Act (PMLA), trading of the client has to be in sync with his net worth/income. Accordingly minimum net worth required for trading in F&O is Rs. 1Lac.

Financial Documentary proofs LIST: (Any 1)

- i. Copy of latest ITR Acknowledgment
- ii. Copy of latest Annual Accounts
- iii. Net worth certificate by a CA/CS/ICWA*
- iv. Any other relevant documents substantiating ownership of assets.

* Net worth means liquid net worth i.e. Assets (excluding immovable properties) - Liabilities