



## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for 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 States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

### B. Proof of Identity (POI): List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
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. 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 apostilled 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 upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, Mfs, VCFs, FVCI, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

### E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

Please Submit the KYC Documents on A4 Size Paper Only.

**FATCA-CRS Declaration & Supplementary KYC Information**

(Declaration Form for Individuals)

1. PAN No: \_\_\_\_\_.
2. Trading Account No: \_\_\_\_\_.
3. Name: \_\_\_\_\_.
4. Gross Annual Income:  < 1 Lac  < 1-5 Lac  <5-10 Lac  < 10-25 Lac  > 25 Lac  
OR  
Net Worth in INR \_\_\_\_\_ Net worth As On \_\_\_\_\_ .
5. Occupation  Private Sector Service  Public Sector  Government Service  Business  
 Professional  Retired  housewife  Student  Self employed  Not Categorized.
6. Politically Exposed Person (PEP):  Yes  Related to PEP  Not Applicable
7. Are you a US Person  Yes  No
8. Country of Birth:  India  U.S Other \_\_\_\_\_
9. Citizenship:  India  U.S Other \_\_\_\_\_
10. Place (City/Town) of Birth (if other than India) : \_\_\_\_\_
11. Primary Source of Wealth (choose any one from following)  
 Salary  Business  Gift  Ancestral property  
 Rental Income  Prize Money  Royalty  Others
12. Whether Tax Resident in any country other than India:  Yes  No

13. If for any of the above fields, the country mentioned by you is not India or if your US person status is "Yes' or you are an NRI or Foreign National, then please provide following details:

Country of Residence for Tax Purpose (other than India) / TIN issuing country	Tax Identification No. (TIN) or functional equivalent (FE) of TIN	Type of No.	Please specify FE Type/ Name (Not applicable if TIN provided)
		<input type="checkbox"/> TIN <input type="checkbox"/> FE	
		<input type="checkbox"/> TIN <input type="checkbox"/> FE	

14. Address in the foreign country of which you are a tax resident (Other than India):

\_\_\_\_\_

City/Town/Village \_\_\_\_\_ State \_\_\_\_\_

Pin Code \_\_\_\_\_ Country \_\_\_\_\_

15. If you satisfy the criteria as mentioned in point 7 above but do not have TIN / FE, please fill the following details:

Country Name	No. other than TIN / FE	Type of No.
		<input type="checkbox"/> VISA <input type="checkbox"/> Resident no. <input type="checkbox"/> Work permit no. <input type="checkbox"/> Dependent VISA <input type="checkbox"/> Student VISA <input type="checkbox"/> Seafarer status <input type="checkbox"/> Going to the country of residence for first time*

**Declaration:**

(I) Under penalty of perjury, I certify that:

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

2. The applicant is taxable as a tax resident under the laws of country outside India. **(This clause is applicable only if the account holder is a tax resident outside of India)**

(II) I hereby declare that the details furnished above are true, correct and complete to the best of my knowledge and belief including my/our taxpayer identification number. In case of any change in the above given status on a future date, I undertake to inform I - Sec the same within 30 days.

(III) I agree that if I am a U.S. Person or tax resident of a reportable foreign jurisdiction (other than U.S.) requiring reporting under FATCA/CRS or any other laws, my account details, as required under Inter Governmental Agreement (IGA)/ Multilateral Competent Authority Agreement (MCAA) signed by Indian Government, would be reported by I-Sec to the relevant tax authority.

(IV) I hereby confirm that details as provided by me above can be shared by I-Sec with the concerned Asset Management Companies (AMCs) or such other product providers, to whom FATCA/CRS norms are applicable, in whose schemes/ products I may invest/transact in future through I-Sec.

**Following clause applicable only if any of the indicia parameters is outside India and TIN/ FE is not available since not resident for tax purpose outside India OR Country of Birth is US and US person is mentioned as 'No' in point no.1 :**

I hereby confirm that I am not a US Person or a resident for tax purpose in any country other than India, though my Country of Birth suggests my relation with US or one or more parameters suggest my relation with the country outside India. I am providing / already provided copy of my PAN card to I-Sec and now providing a certificate of relinquishment of US citizenship (loss of nationality) OR reasons for not having such a certificate despite relinquishing US citizenship OR for not obtaining US citizenship at birth (only if born in US)

\_\_\_\_\_  
 Please specify reason  
 \_\_\_\_\_

Please select any one of the below option- I am signing this document as,

First Holder     Bank Joint Holder     DP Co Holder

Name: \_\_\_\_\_ Signature:

Date:

Please note each joint holder has to submit the above declaration separately & same shall be attached with the form

\*TIN or Functional Equivalent number to be communicated to ICICI Bank within 90 days, else Bank account may get closed.

**Who is a US person ?**

In case of individuals, U.S. Person means a citizen or resident of the United States. Persons who would qualify as US Persons could be Born in the United States, Born outside the United States of a US parent, Naturalized citizens, Green Card Holders, Tax residents.

**Who is a Reportable Person (non US) under Common Reporting Standards (CRS)?**

Under Common Reporting Standards (CRS), reportable person means Tax residents of a reportable foreign jurisdiction other than U.S.

[Please note that above information is provided only for quick reference to customers. You are requested to consult a legal/tax advisor if in doubt.]

**Documents to be collected if Customer's Country of Birth is US but declares that he/she is not a US Person**

- Certificate of relinquishment of citizenship (loss of nationality certificate); OR
- Self certification for stating reasons for not having such a certificate despite relinquishing US citizenship; OR
- Self certification for stating reasons for not obtaining US citizenship at birth.

**What is a Functional Equivalent of TIN?**

Many countries do not issue TIN to their Tax payers. However, such countries issue some other high integrity number which an equivalent level of identification. For Example:

- Social Security Number
- National Insurance Number
- Citizen or Personal Identification code or Number
- Resident Registration Number etc.

Providing TIN or a functional equivalent is mandatory for NRIs and foreign nationals and tax residents of foreign countries. In case client does not have TIN or functional equivalent number, only than VISA number can be provided as equivalent number.