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Fax (ISD) (STD)  Dependent Children	Mobile (ISD) (STD)
□ Dependent Children	Email ID  This Email ID mentioned above belongs to Self Spouse Dependent Parent Dependent Children  The Mobile number mentioned above belongs to Self Spouse Dependent Parent Dependent Children  Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (<) against the document attact Passport UID(Aadhaar) Narega Job Card Driving License Latest Gas Bill Voter Identity Card Latest Bank A/c Statement/Passb Latest Telephone Bill (only Land Line) Latest Electricity Bill Others (Please specify)  *Not more than 2 Months old. Validity/Expiry date of proof of address submitted   d   d   / m m / y y y y y
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 $\hfill \square$  (Originals Verified) Self Certified Document copies received Designation Name of the Organization (Attested) True copies of documents received Signature Date Main Intermediary

Staff Name Designation Name of the Organization Signature Date

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

#### A. IMPORTANT POINTS:

- 1. Self attested copy of PAN card is mandatory for all clients.
- 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.
- 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.
- 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:

- 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.
- 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.
- 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 Co-Operative Banks/Scheduled Bank/Multinationa Officer/Notary Foreign Banks/Gazetted Legis**l**ative public/Elected representatives to the Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
- 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 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.

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

- 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).
- 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	e:	] <5-10 Lac	5 Lac
Net Worth in INR	OR Net worth As	On	
5. Occupation Private	e Sector Service Public Sector	or Government Service	ce Business
Professional Retired	d housewife Stude	ent Self employed	Not Categorized.
6. Politically Exposed Po	erson (PEP): Yes Rela	ted to PEP ☐ Not Ap	pplicable
7. Are you a US Person	☐ Yes ☐ No		
8. Country of Birth:	India 🔲 U.S Other		
9. Citizenship:	ia 🔲 U.S Other		
10. Place (City/Town) of	f Birth (if other than India) :		
☐ Salary ☐ Bu☐ Rental Income  12. Whether Tax Reside  13. If for any of the abo	Vealth (choose any one from siness    Gift	estral operty valty Others In India: Yes India: Yes India: No.	t India or if your US
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)
ocana y		☐ TIN ☐ FE	
		TIN FE	
14. Address in the forei	gn country of which you ar	e a tax resident (Oth	er than India):
City/Town/Village	State	)	
	Country		

Name	No. other than TIN / FE	Type of No.
INGINE		<ul> <li>□ VISA □ Resident no. □ Work permit no.</li> <li>□ Dependent VISA □ Student VISA</li> <li>□ Seafarer status □ Going to the country of residence for first time*</li> </ul>
eclaration:		
The applicant is U.S.') or any state tates of the U.S.,	e or political subdivision thered (ii) an estate the income of w	US person under the laws of the United States of America of or therein, including the District of Columbia or any other which is subject to U.S. federal income tax regardless of the he account holder is identified as a US person) or
nly if the account I) I hereby declar nowledge and be	tholder is a tax resident outsice are that the details furnished elief including my/our taxpayer	r the laws of country outside India. (This clause is applicable le of India) above are true, correct and complete to the best of my r identification number. In case of any change in the above n I - Sec the same within 30 days.
equiring reporting lovernmental Ag lovernment, woul V) I hereby confil lanagement Com	g under FATCA/CRS or any reement (IGA)/ Multilateral Cod be reported by I-Sec to the remaind that details as provided by	me above can be shared by I-Sec with the concerned Assert roduct providers, to whom FATCA/CRS norms are applicable
	for tax purpose outside India	licia parameters is outside India and TIN/ FE is not available OR Country of Birth is US and US person is mentioned as
nough my Country ne country outside ertificate of relinq	y of Birth suggests my relation e India. I am providing / already uishment of US citizenship (los	sident for tax purpose in any country other than India, with US or one or more parameters suggest my relation with provided copy of my PAN card to I-Sec and now providing as of nationality) OR reasons for not having such a certificate staining US citizenship at birth (only if born in US)
lease specify i	reason	
	,	n- I am signing this document as,
First Holde	r 🔲 Bank Joint Holder 🔃	DP Co Holder
lame:		Signature:

## 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.