Created with DEMO version of PDF COMPLETE by Informatik Inc www.informatik.com

HDFC securities | 25 YEARS
Powering India's Investments

CUSTOMER INFORMATION FORM For Individuals Only

I Think Techno Campus, Building - B, "Alpha", Office Floor 8, Kanjurmarg (East), Mumbai - 400042.

"Fields marked in Red are mandatory." "Form to be filled in Capital Letters only." "Strike off whichever is not applicable." "Fill this form in English."

Please mention the Trading a/c number

Office use only Application Type ☐ New ☐ Update A/c Type ✓ Normal ☐ Small ☐ Simplified (for low risk customers)

Personal Details

Prefix ☐ Mr. ☐ Ms. ☐ Others

Applicant Name (Same as per ID Proof) — FIRST NAME | MIDDLE NAME | SURNAME

Gender ☐ Male ☐ Female ☐ Transgender Marital Status ☐ Single ☐ Married

Residential Status ☐ Resident Individual ☐ NRI ☐ Foreign National ☐ Person of Indian Origin

Date of Birth D D M M Y Y Y Y

Differently abled status ☐ Yes ☐ No Percentage of Impairment _____

Type of Impairment Code ☐☐ Refer Point G on page 3 for details UDID Number

Nationality ☐ Indian ☐ Other, please specify _____

PAN (Mandatory)

Proof of identity ☐ PAN ☐ Any other (Please specify) Expiry date D D M M Y Y Y Y

S1 Signature across photograph

Applicant's latest passport size photo

	FIRST NAME	MIDDLE NAME	SURNAME
Mother's Name	Ms.		
Spouse's Name	Mr. / Mrs. / Ms.		
Father's Name	Mr.		

Present / Mailing Address

Proof of Address (Specify) Expiry Date D D M M Y Y Y Y

Residence/ Correspondence Address

Landmark (Mandatory)

City State

District Country

PIN Code Please mention a prominent landmark to ensure that the deliverables reach you

Address Type ☐ Residence ☐ Business ☐ Residential and Business ☐ Registered Office ☐ Unspecified

Permanent Address

☐ Permanent Address same as Present Address

Permanent Address

Mandatory to be filled if different from above

Landmark (Mandatory)

City State

District Country

Mandatory for Non Resident Applicant to specify overseas address

PIN Code Residing at current residence since Y Y M M Please mention a prominent landmark to ensure that the deliverables reach you

Contact Details

Separate email ID & mobile number declaration - I hereby declare that the below

Mobile number belongs to ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Children

(Mandatory)

Tel (R) + STD NUMBER Mobile No. + NUMBER

Tel (O) + STD NUMBER - EXTN Fax STD - NUMBER

Email ID belongs to ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Children

E-mail ID

Mode of receiving statement of accounts & annual reports ☐ Electronic ☐ Physical Share my email ID with the RTA ☐ Yes ☐ No

APPLICANT'S SIGNATURE

I hereby declare that the details furnished in this form are true and correct to the best of my/our knowledge and belief and I understand 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/We am /are aware that I/We may be held liable for it. My personal/KYC details may be shared with Central KYC Registry / FATCA. I hereby consent to receive information from Central KYC registry through SMS/email on the above Registered number / email address. I am aware that my / our trading / DP account will be opened as per name available in Income Tax database

Signature of the applicant

S2

D D M M Y Y Y Y Place _____

Do not sign this form if it is BLANK. Please ensure all relevant sections and columns are completely filled to your satisfaction and then only sign the form

FOR OFFICE USE ONLY

(Originals verified) and Self –Attested Document copies received

In-Person-Verification (IPV) details:

Seal / Stamp of HDFC securities

Name of the Person doing IPV _____

Signature of the Person doing IPV _____

Designation & Emp. code _____

Branch code D D M M Y Y Y Y

Name of the organisation: HDFC Securities Ltd.

Name and Signature of Authorised Signatory _____

Other Details

*Gross annual income(₹) (Income range per annum) ☐ Below Rs. 1 lac ☐ Rs. 1 lac to 5 lacs ☐ Rs. 5 lacs to 10 lacs ☐ Rs. 10 lacs to 25 lacs ☐ More than Rs. 25 lacs

OR Net worth (₹) as on date D D M M Y Y Y Y Net worth should not be older than one year

Occupation details (please tick any one below and give brief details) ☐ Public Sector ☐ Private Sector ☐ Government Service Employer Name

☐ Business ☐ Professional ☐ Agriculturist ☐ Retired ☐ Student ☐ Housewife Designation

Others (please specify) _____

Brief Details _____ Please tick, if applicable ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)

FATCA Details

Are you a tax resident of any country other than India ? ☐ No ☐ Yes, then please fill below

City of Birth N Country of Birth

Address for Tax purpose (please tick) ☐ Same as Mailing Address ☐ Same as permanent Address

	Country/(ies) of Tax Residency #	Tax Identification Number (TIN)%	Nationality / Citizenship	Identification Type (TIN or Other%, please specify)
1.				
2.				
3.				
4.				
5.				

To also include USA , where the individual is a citizen /green card holder of USA % In case Tax Identification Number is not available , kindly provide functional equivalent

	FATCA/ CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
		If customer does not agree to be Specified U.S. person/ reportable person status
1	U.S. place of birth	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purposes; 2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below); **AND** 3. **Any one** of the following documents: a. Certified Copy of "Certificate of Loss of Nationality or b. Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; **or** Reason the customer did not obtain U.S. citizenship at birth
2	Residence/mailing address in a country other than India	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purposes; **and** 2. Documentary evidence (refer list below)
3	Telephone number in a country other than India (and no telephone number in India provided)	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purposes; **and** 2. Documentary evidence (refer list below)
4	Standing instructions to transfer funds to an account maintained in a country other than India	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purposes; **and** 2. Documentary evidence (refer list below)

Certification:

I/We have understood the information requirements of this Form as per the CBDT notified Rules 114F to 114H and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the Terms and Conditions below and hereby accept the same. I/We understand that my personal details as provided/available in the bank/securities records will be used for CBDT reporting. Further, I/We hereby authorize HDFC Securities Limited to furnish the above information to HDFC Bank Limited for the purpose of compliance and reporting under CBDT Rules as applicable.

Details under FATCA/Foreign Tax Laws:

Towards compliance with tax information sharing laws, such as FATCA, we would be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from our account holders. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Towards compliance with such laws, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).

If you are a US citizen or resident or green card holder, please include United States in the foreign country information field along with your US Tax Identification Number. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010.

Please note that you may receive more than one request for information if you have multiple relationships with different members of the HDFC Group. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

List of acceptable ***documentary evidence*** needed to establish the residence(s) for tax purposes:

1. Certificate of residence issued by an authorized government body*
2. Valid identification issued by an authorized government body* (e.g. Passport, National Identity card, etc.)

** Government or agency thereof or a municipality*

S3

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/OCI Card 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 a minor's account with Depository Participant or Mutual Fund, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. PEPs are individuals who are or have been entrusted with prominent public functions by a foreign country, including the Heads of States/Governments, senior politicians, senior government or judicial or military officers, senior executives of state-owned corporations and important political party officials
12. 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.
13. Demat master or recent holding statement issued by DP bearing name of the client.
14. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.

B. PAN is mandatory, but no longer an Official Valid Document (OVD) as Proof of Identity

Under PMLA guidelines Permanent Account Number (PAN) is no more listed as an Official Valid Document (OVD), however basis SEBI circular no. MRD/DoP/Cir-05/2007, PAN is still a Mandatory document to be provided by the investor for opening a Demat and Trading Account.

Also, Central KYC Registry (CKYCR) notification dated January 10, 2020 & July 07,2020 towards revision & implementation of KYC template for Individuals to align it with the extant PMLA requirements.

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

Officially Valid Documents (OVDs) under terms of Rule 2 (d) of Prevention of Money-Laundering (Maintenance of Records) Rules, 2005 (PML Rules) are as listed below

1. Passport
2. Driving Licence
3. Proof of possession of Aadhaar number
4. Voter's Identity Card
5. NREGA Job Card duly signed by an officer of the State Government
6. Letter issued by National Population Register containing demographic details
7. Any other document as notified by the Central Government in consultation with the Regulator.

D. 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
2. Driving Licence
3. Proof of possession of Aadhaar number
4. Voter's Identity Card
5. NREGA Job Card duly signed by an officer of the State Government
6. Letter issued by National Population Register containing demographic details
7. Any other document as notified by the Central Government in consultation with the Regulator.

E. 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.

F. 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.

G: List of Disability Impairment (Code Details)

1 Blindness	8 Mental Illness	15 Speech and Language Disability
2 Low Vision	9 Muscular Dystrophy	16 Multiple Sclerosis
3 Hearing Impairment	10 Parkinson's Disease	17 Specific Learning Disabilities
4 Locomotor Disability	11 Acid Attack Victim	18 Chronic Neurological Conditions
5 Leprosy Cured	12 Sickle Cell Disease	19 Autism Spectrum Disorder
6 Cerebral Palsy	13 Hemophilia	20 Dwarfism
7 Intellectual Disability	14 Thalassemia	

Important:

The Bank / Securities staff carrying out the IPV should:

1. Sign in the place provided for "Signature of Authorised Signatory" within the box "For Office USE Only" on the KYC Form and
2. Affix the OSV stamp along-with the signature on the relevant supporting documents pertaining to Proof of Identity & Proof of Address.

APPLICATION FOR ACCOUNT OPENING/ MODIFICATION USING AADHAAR / E-KYC FOR CUSTOMERS NOT OPTING FOR DBT

To,

(1) The Branch Manager,_____branch.
HDFC Bank Limited ("Bank" which term shall include its successors and assigns)

(2) The Branch Manager,_____branch.HDFC Securities Limited ("HSL" which term shall include its successors and assigns)

UDN NO												Date	__ / __ / ____								
DP ID									DP Account									HSL Trading A/c								

Subject: A)Aadhaar - informed consent

1. I voluntarily opt for Aadhaar OVD KYC or e-KYC or offline verification, and submit to the Bank/HSL my Aadhaar number, Virtual ID, e-Aadhaar, XML, Masked Aadhaar, Aadhaar details, demographic information, identity information, Aadhaar registered mobile number, face authentication details and/or biometric information (collectively, "**Information**").
2. I am informed by the Bank/HSL, that:
   (i) submission of Aadhaar is not mandatory, and there are alternative options for KYC and establishing identity including by way of physical KYC with officially valid documents other than Aadhaar. All options were given to me.
   (ii) For e-KYC/authentication/offline verification, Bank/HSL will share Aadhaar number and/or biometrics with CIDR/UIDAI, and CIDR/UIDAI will share with Bank/HSL, authentication data, Aadhaar data, demographic details, registered mobile number, identity information, which shall be used for the informed purposes mentioned in 3 below.
3. I authorise and give my consent to the Bank/HSL (and its service providers), for following informed purposes:
   (i) KYC and periodic KYC process as per the PML Act, 2002 and rules thereunder and RBI guidelines, or for establishing my identity, carrying out my identification, offline verification or e-KYC or Yes/No authentication, demographic or other authentication/verification/identification as may be permitted as per applicable law, for all accounts, facilities, services and relationships of/through the Bank/HSL, existing and future.
   (ii) collecting, sharing, storing, preserving Information, maintaining records and using the Information and authentication/verification/identification records: (a) for the informed purposes above, (b) as well as for regulatory and legal reporting and filings and/or (c) where required under applicable law;
   (iii) enabling my account for Aadhaar enabled Payment Services (AEPS);
   (iv) producing records and logs of the consent, Information or of authentication, identification, verification etc. for evidentiary purposes including before a court of law, any authority or in arbitration.
4. I understand that the Aadhaar number and core biometrics will not be stored/ shared except as per law and for CIDR submission. I have downloaded the e-Aadhaar myself using the OTP received on my Aadhaar registered mobile number. I will not hold the Bank/HSL or its officials responsible in the event this document is not found to be in order or in case of any incorrect information provided by me.
5. The above consent and purpose of collecting Information has been explained to me in my local language.

B)Consent for Aadhaar details, email id & mobile number validation by KYC Registration Authority (KRA)

1. I/We hereby provide my/our explicit consent that my/our Aadhaar record can be used by KRAfor the specific purpose of validating / maintaining / sharing my KYC record as an audit evidence. I/We understand that I/wewill have an option to request KRA for deletion of my/our Aadhaar record.
2. I/We hereby consent for receiving information from KRA through sms/e-mail on my/our registered mobile number/e-mail address.
3. I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent for sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.
4. I am / We are aware that if the QR code is not readable, then the KYC shall be placed on "Hold" by KRA. Also I/we understand that as per SEBI circular dated April 06, 2022, clients whose KYC records are not found to be valid by KRA after the validation process shall be allowed to transact in securities market only after their KYC is validated

Name of Client	Aadhaar No (Last Four Digits only)	Signature
	* * * * * * * *	

Created with DEMO version of PDF COMPLETE by Informatik Inc www.informatik.com

Annexure- 1
(Individual Client Consent Declaration)

I,_____ [Name ____of ____the ____customer] S/o/D/o/W/o _____ [Father /Mother/Spouse Name], give my consent voluntarily to HDFC Bank Ltd / HDFC Securities Ltd and hereby expressly authorises the said RE to share my KYC record with the Central KYC Records Registry (CKYCRR) and also permit the Central KYC records registry to validate my PAN and Officially valid documents (OVD) along with the related demographic information from the data base of issuing authorities and/or Digilocker, wherever applicable. I also give my consent to retrieve my KYC records from the CKYCRR on the basis of the KYC information provided by me in the account opening form/KYC form. I hereby provide the details of the following OVD/other documents:

Y/N	Document	Document Number	Y/N	Document	Document Number
☐	PAN		☐	Aadhaar (last 4 digits only)	
☐	Passport		☐	Driving License	
☐	Voter ID		☐	NREGA Job Card	
☐	National Population Register Letter		☐	Any other document (Pls specify _____)	

I hereby give my consent to HDFC Bank Ltd / HDFC Securities Ltd to update my information with the CKYCRR if in case there is change in any existing information or the information retrieved is incomplete or not as per the present KYC norms prescribed by the Regulator. I also hereby consent that the Reporting Entities may consume the update notification received by them from the CKYCRR, for the updation/periodic updation of the KYC records maintained at their end, if any. I, understand that the KYC Records downloaded from the Central KYC Records Registry (CKYCRR), would be used only for the purposes of verification of my identity and address. I, further understand that my KYC Record includes the Officially valid documents provided by me as well as the personal information such as my name, address, date of birth, PAN etc.

Actions carried out by RE on the basis of the instant specific consent and permission given to the extent as above, shall be construed to be actions undertaken directly by me and the same shall not be questioned by me at a later stage, unless otherwise found in contravention of the specific consent or the permission.

Client Details	
Signature / Thumb Impression:	
Name	
Date	
(If Client is a Minor) **Name of Parent / Guardian:** **Relationship with Minor:** **Signature / Thumb Impression of Parent/Guardian:**	