

Branch code

Name and Signature of Authorised Signatory\_

### **CUSTOMER INFORMATION FORM For Individuals Only**

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

	 a/c nu	

	Office use only App	lication Type	New U	pdate A/c Typ	oe ✓ Normal	Small	Simplified (for l	ow risk customer	s)		
	Prefix	Mr.	Ms.	Others							
	Applicant Name		FIRST NAM	IE		MID	DLE NAME			SURNAME	
	Applicant Name (Same as per ID Proof)										
	Gender	Male	Female Tra	ansgender	Marital Sta	atus Single	e Married				Signature across
	Residential Status	Resident Ir	ndividual	NRI Forei	gn National	Person of	Indian Origin				Signatur photograp
ails	Date of Birth	D D M M	YYYY							,	
Personal Details	Differently abled status	Yes	lo Percenta	age of Impairme	ent	_				Applic	
onal	Type of Impairment		Point G on 3 for details	UDID Nu	mber					latest pa	
Pers	Code Nationality	Indian	Other, please	specify						size p	DIIOLO
Ξ	PAN (Mandatory)	maan	Outlot, piodeo								
	Proof of identity	PAN	Any other				Evniry date	D M M Y	v v v		
	1 1001 of lacitaty	1744	(Please specify)	ST NAME		M	IDDLE NAME	D IVI IVI I		URNAME	
	Mother's Name	Ms.									
	Spouse's Name Mr.	/ Mrs. / Ms.									
	Father's Name	Mr.									
									D		
	Proof of Address (Spe	ecity)							Expiry Date	D D M M	YYYY
SS	Residence/ Correspondence										
ddre	Address										
ld A	Landmark (Mandatory)										
aii	City				Sta	te					
ıt/N	District				Country						
Present / Mailing Address	PIN Code			Please menti	on a prominent	landmark to e	ensure that the de	eliverables reacl	h you		
4	Address Type	Residence	Business	Residential an	d Business	Registered Off	fice Unspecifie	ed			
	Permanent Add	ress same as Pr	esent Address								
SS	Permanent Address										Mandatory to be
dres	Address										filled if different from above
anent Address	Landmark (Mandatory)										Mandatory for
ane	City				Sta	te					Non Resident Applicant to specify
Perm	District				Country						overseas address
_	PIN Code			Residing at cu	rrent residence s	since Y Y		mention a pror		rk to ensure	
	Separate email ID & mo	obile number d	eclaration - I here	eby declare tha	t the below		tnat tn	e deliverables re	eacn you		
<u> </u>				ouse	Dependent P	arent	Dependent Child	Iren			
Contact Details	(Mandatory)										
act	Tel (R) +		D N		R	Mobile No		N U M I			
Cont	Tel (O) +		D N		R	- E X T			N U M	B E R	
	Email ID belongs to E-mail ID	Self	5p	ouse	Dependent P	arent	Dependent Child	aren			
	Mode of receiving state	ment of accoun	nts & annual reno	orts Electro	onic Physic	al	Share my	email ID with th	ie RTA Yes	No	
	Wode of receiving state	ment of accoun	nto a annuar repo	orts Electro	APPLICAN'			Cinali ID With th	ic ICIA 103	140	
	I hereby declare that the d	etails furnished i	n this form are true	and correct to the				and to inform you o	of any changes th	nerein immediate	ely. In case any of
	the above information is fo Registry / FATCA. I hereby	ound to be false of	or untrue or mislead	ding or misrepres	senting. I/We am /a	are aware that I	/We may be held lia	ble for it. My perso	onal/KYC details	may be shared	with Central KYC
	will be opened as per name				gistry trirough Sivi	o/emailon me	above Registered II	umber / emairauu		ture of the app	
	(Originals verific	ed) and Self –At	tested Document	copies received					Signa	itale of the app	, i duit
	In-Person-Verificat	tion (IPV) detail	s:		Seal / Stam	p of					
	Name of the Persor	n doing IPV			HDFC secu						
		rson doing IPV_					S2				
	Signature of the Per Designation & Emp.	. code					32				
	Branch code			D	D M M Y	YYY	D D N	M Y Y Y	Y Place		

Name of the organisation: HDFC Securities Ltd.

	*Gross annual income	(₹)(Income range per	annum) Below Rs.	1 lac R	s. 1 lac to 5 lacs	Rs. 5 lacs to	10 lacs Rs. 10 lacs to 25 lac	More than Rs. 25 lacs
	OR Net worth (₹)			as on date	D D M M	Y Y Y Net	worth should not be older than one year	
	Occupation details	Public Sector	Private Sector	Government	Service Emplo	oyer Name		
5	(please tick any one below and give brief details)	Business Pr	rofessional Agricu	ılturist Retire	d Student	Housewife Desig	gnation	
		Others (please spec	cify)			_		
	Brief Details			Please tick, if	applicable Polit	cally Exposed Perso	on (PEP) Related to a Politically	/ Exposed Person (PEP)
	Are you a tax residen	t of any country of	ther than India?	No Ye	es, then please fill	below		
	City of Birth				Country	of Birth		
	Address for Tax purpo	ose (please tick)	Same as Mailing	g Address	Same as pern	nanent Address		
	Country/(ies) o	f Tax Residency #		Tax Identific	cation Number (T	N)%	Nationality / Citizenship	Identification Type (TIN or Other%, please specify)
	1.							
	2.							
	3.							
	4.							
	5.							
	#To also include USA	, where the individu	al is a citizen /green c	ard holder of US	A % In cas	e Tax Identification I	Number is not available , kindly provi	ide 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	<ol> <li>Self-certification (in attached format) that the account holder is neither a citizen of United States of A nor a resident for tax purposes;</li> <li>Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below); AND</li> <li>Any one of the following documents:</li> <li>Certified Copy of "Certificate of Loss of Nationality or</li> <li>Reasonable explanation of why the customer does not have such a certificate despite renouncing Ucitizenship; or Reason the customer did not obtain U.S. citizenship at birth</li> </ol>	
2	Residence/mailing address in a country other than India	<ol> <li>Self-certification (in attached format) that the account holder is neither a citizen of United States o America nor a resident for tax purposes; and</li> <li>Documentary evidence (refer list below)</li> </ol>	of
3	Telephone number in a country other than India (and no telephone number in India provided)	<ol> <li>Self-certification (in attached format) that the account holder is neither a citizen of United States o America nor a resident for tax purposes; and</li> <li>Documentary evidence (refer list below)</li> </ol>	of
4	Standing instructions to transfer funds to an account maintained in a country other than India	<ol> <li>Self-certification (in attached format) that the account holder is neither a citizen of United States o America nor a resident for tax purposes; and</li> <li>Documentary evidence (refer list below)</li> </ol>	of

#### 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:

- 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

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#### 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.
- 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
- 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.)

- 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.
- 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:

- 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) Th	e Br	anc	h Ma	anaç	ger,_									bran	ch.								
HDFC	Banl	k Lir	mite	d ("Ē	ank	" wh	ich	term	shall i	nclude	e its	suc	cess	ors	and	assig	ns)	)					
	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												ssors										
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and

#### 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)

- 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	A	Aadhaar No (Last Four Digits only)										nly)	Signature
	*	*	*	*	*	*	*	* :	*				