

PART I - KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Non-Individuals)

☐ NEW ☐ CHANGE REQUEST (Please tick ✓ the appropriate)



mastertrust
BROKING & INVESTMENTS

MASTER CAPITAL SERVICES LTD

CIN : U67190HR1994PLC076366

Registered Office : A-852-A Basement, Sushant Lok Phase-I Gurugram, Haryana- 122002

Corporate Office : 1012, 10th Floor, Arunachal Building, 19, Barakhamba Road, New Delhi-110 001

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Acknowledgement No.

Please fill this form in ENGLISH and in BLOCK LETTERS

A. IDENTITY DETAILS															
<input type="checkbox"/>	1.	Name of the Applicant													
<input type="checkbox"/>	2.	Date of Incorporation	D	D	M	M	Y	Y	Y	Y	Place of incorporation				
<input type="checkbox"/>	3.	Date of commencement of business	D	D	M	M	Y	Y	Y	Y					
<input type="checkbox"/>	4.	a) PAN									b) Registration No. (e.g. CIN)				
<input type="checkbox"/>	5.	Status (please tick any one)	<input type="checkbox"/> Private Limited Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Partnership <input type="checkbox"/> Trust <input type="checkbox"/> Charities <input type="checkbox"/> NGO's <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> HUF <input type="checkbox"/> AOP <input type="checkbox"/> Bank <input type="checkbox"/> Government Body <input type="checkbox"/> Non-Government Organization <input type="checkbox"/> Defense Establishment <input type="checkbox"/> BOI <input type="checkbox"/> Society <input type="checkbox"/> LLP <input type="checkbox"/> Others (please specify) _____												
B. ADDRESS DETAILS															
<input type="checkbox"/>	1.	Address for Correspondence													
		City/Town/Village							PIN Code						
		State							Country						
<input type="checkbox"/>	2.	Contact Details	Mobile No.*						E-mail ID*						
		Tel. (Off.)						Tel. (Res.)							
<input type="checkbox"/>	3.	Specify the proof of address submitted for correspondence address													
<input type="checkbox"/>	4.	Registered Address (if different from above)													
		City/Town/Village							PIN Code						
		State							Country						
<input type="checkbox"/>	5.	Specify the proof of address submitted for Registered address													
C. OTHER DETAILS															
<input type="checkbox"/>	1.	Name, PAN, Residential Address and Photographs of Promoters/ Partners/Karta/Trustees and whole time directors:	As per Seperate Sheet Enclosed												
<input type="checkbox"/>	2.	a. DIN of whole time directors													
		b. Aadhaar Number of Promoters/Partners/Karta													
DECLARATION I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake 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 am aware that I may be held liable for it. I hereby consent to receiving information from Central KYC Registry/KRA Agencies/Master Capital Services (MCSL) through SMS/Email on the above registered number /email address. I am also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my 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.										Signature of the Applicant	(2) Date D D M M Y Y Y Y				
FOR OFFICE USE ONLY															
<input type="checkbox"/> Originals verified & Self-Attested documents copies received															
Name of the person doing IPV ^s & Interview										Designation					
Date of IPV ^s D D M M Y Y Y Y										Signature of the person doing IPV*					
Name of the Organization										SEBI Regn. No. #					
Signature of the Authorised Signatory of Master Capital Services Ltd. with Seal & Stamp										Date D D M M Y Y Y Y					

\$ IPV - stands for In Person Verification # Member Broker / Authorised Person * Mandatory Field

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM (For Trading and Demat Account)

A. IMPORTANT POINTS

- Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities/commodities on behalf of company/firm/others.
- 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.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- 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.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
- 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.
- 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.
- 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:

- Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving license.
- PAN card with photograph.
- 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.)

- Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy/Unique Identification Number (UID) (Aadhaar Letter).
- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook -- Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- 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.
- 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.
- 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.
- 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.)

- 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.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs 50, 000/- p.a.
- In case of institutional clients, namely, FIIs, MFs, VCFs, FVCLs, 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.

F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below :

Type of Entity	Documentary Requirements
Corporate	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). *Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. Copies of the Memorandum and Articles of Association and certificate of incorporation. Copy of the Board Resolution for investment in securities/commodities market. Authorised signatories list with specimen signatures.
Partnership Firm	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Certificate of registration (for registered partnership firms only). *Copy of partnership deed. Photograph, POI, POA, PAN of Partners. Authorised signatories list with specimen signatures.
Trust	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Certificate of registration (for registered trust only). **Copy of Trust deed. Photograph, POI, POA, PAN of Trustees. List of trustees certified by managing trustees/CA.
HUF	<ul style="list-style-type: none"> PAN of HUF. Bank pass-book/bank statement in the name of HUF. Deed of declaration of HUF/ List of coparceners. Photograph, POI, POA, PAN of Karta.
Unincorporated Association or a Body of Individuals	<ul style="list-style-type: none"> Proof of Existence/Constitution document. Resolution of the managing body & Power of Attorney granted to transact business on its behalf. Authorized signatories list with specimen signatures.
Banks/Institutional Investors	<ul style="list-style-type: none"> Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> Copy of SEBI registration certificate. Authorized signatories list with specimen signatures.
Army/Government Bodies	<ul style="list-style-type: none"> Self-certification on letterhead. Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> Copy of Registration Certificate under Societies Registration Act. List of Managing Committee members. Committee resolution for persons authorised to act as authorised signatories with specimen signatures. True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

Note : (1)* For corporate: 25% or more ownership & for other entities 15% and above implies "controlling ownership from UBO perspective".

(2)** For Trusts, the trustees and settlers / protectors are also to be given as UBOs

(3) Individual having controlling stake /UBO shall submit KYC-Part-I, separately, alongwith the copy of their aadhaar card/other proof of identity / address.

**Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of
Know Your Client (KYC) Application Form for Non-Individuals**

Name of Applicant															
PAN of the Applicant															

1.	Name															<p align="center">Photograph</p> <p align="center">Please affix your recent passport size photograph & Sign Across it.</p>		
	Relationship with Applicant (i.e. promoters, whole time directors etc.)																	
	PAN													DIN				
	AADHAAR																	
	Residential / Registered Address																	
		City/Town/Village										PIN						
State												Country						
Wether Politically Exposed <input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO																		

2.	Name															<p align="center">Photograph</p> <p align="center">Please affix your recent passport size photograph & Sign Across it.</p>		
	Relationship with Applicant (i.e. promoters, whole time directors etc.)																	
	PAN													DIN				
	AADHAAR																	
	Residential / Registered Address																	
		City/Town/Village										PIN						
State												Country						
Wether Politically Exposed <input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO																		

3.	Name															<p align="center">Photograph</p> <p align="center">Please affix your recent passport size photograph & Sign Across it.</p>		
	Relationship with Applicant (i.e. promoters, whole time directors etc.)																	
	PAN													DIN				
	AADHAAR																	
	Residential / Registered Address																	
		City/Town/Village										PIN						
State												Country						
Wether Politically Exposed <input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO																		

4.	Name															<p align="center">Photograph</p> <p align="center">Please affix your recent passport size photograph & Sign Across it.</p>		
	Relationship with Applicant (i.e. promoters, whole time directors etc.)																	
	PAN													DIN				
	AADHAAR																	
	Residential / Registered Address																	
		City/Town/Village										PIN						
State												Country						
Wether Politically Exposed <input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO																		

Name & Signature of the Authorised Signatory(ies)	 (3)															Date <table border="1"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table>								D	D	M	M	Y	Y	Y	Y
																D	D	M	M	Y	Y	Y	Y								

**Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of
Know Your Client (KYC) Application Form for Non-Individuals**

Name of Applicant															
PAN of the Applicant															

5.	Name															<p align="center">Photograph</p> <p align="center">Please affix your recent passport size photograph & Sign Across it.</p>
	Relationship with Applicant (i.e. promoters, whole time directors etc.)															
	PAN													DIN		
	AADHAAR															
	Residential / Registered Address															
		City/Town/Village							PIN							
		State							Country							
Wether Politically Exposed		<input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO														

6.	Name															<p align="center">Photograph</p> <p align="center">Please affix your recent passport size photograph & Sign Across it.</p>
	Relationship with Applicant (i.e. promoters, whole time directors etc.)															
	PAN													DIN		
	AADHAAR															
	Residential / Registered Address															
		City/Town/Village							PIN							
		State							Country							
Wether Politically Exposed		<input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO														

7.	Name															<p align="center">Photograph</p> <p align="center">Please affix your recent passport size photograph & Sign Across it.</p>
	Relationship with Applicant (i.e. promoters, whole time directors etc.)															
	PAN													DIN		
	AADHAAR															
	Residential / Registered Address															
		City/Town/Village							PIN							
		State							Country							
Wether Politically Exposed		<input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO														

8.	Name															<p align="center">Photograph</p> <p align="center">Please affix your recent passport size photograph & Sign Across it.</p>
	Relationship with Applicant (i.e. promoters, whole time directors etc.)															
	PAN													DIN		
	AADHAAR															
	Residential / Registered Address															
		City/Town/Village							PIN							
		State							Country							
Wether Politically Exposed		<input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO														

**Name & Signature of the
Authorised Signatory(ies)**

 (3)

Date

D	D	M	M	Y	Y	Y	Y
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