CKYC & KRA KYC Form

Know Your Client Application Form (For Individuals only)

(Please fill the form in English and in BLOCK Letters) Fields marked with '*' are mandatory fields

Application Type* ☐ New ☐ Update
KYC Number* _____
KYC Type* ☐ Normal (PAN is mandatory)
☐ PAN Exempt Investors (Refer Instruction K)

1. IDENTITY DETAILS (Please refer instruction A at the end)

PAN				Please enclose a duly attested copy of your PAN Card
	Prefix	First Name	Middle Name	Last Name
Name* (same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				
Date of Birth*	DD / MM / YYYY			**PHOTO** Affix recent passport size photograph and sign across it Signature / Thumb Impression
Gender*	☐ M- Male ☐ F- Female ☐ T-Transgender			
Marital Status*	☐ Married ☐ Unmarried ☐ Others			
Citizenship*	☐ IN- Indian ☐ Others – Country _____ Country Code ___			
Residential Status*	☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National ☐ Person of Indian Origin			
Occupation Type*	☐ S-Service (☐ Private Sector ☐ Public Sector ☐ Government Sector) ☐ O-Others (☐ Professional ☐ Self Employed ☐ Retired ☐ Housewife ☐ Student) ☐ B-Business ☐ X-Not Categorised			

2. PROOF OF IDENTITY (PoI)* (for PAN exempt Investor or if PAN card copy not provided) (Please refer instruction C & K at the end)

(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

☐ A- Passport Number		**Passport Expiry Date**	DD / MM / YYYY
☐ B- Voter ID Card			
☐ D- Driving Licence		**Driving Licence Expiry Date**	DD / MM / YYYY
☐ E- Aadhaar Card			
☐ F- NREGA Job Card			
☐ Z- Others (any document notified by the central government)		**Identification Number**	

3. PROOF OF ADDRESS (PoA)*

☐ **3.1 Current / Permanent / Overseas Address Details** (Please see instruction D at the end)

Address Line 1*					
Line 2					
Line 3				**City / Town / Village***	
District*		**Zip / Post Code***		**State/UT Code** as per Indian Motor Vehicle Act, 1988	
State/UT*		**Country***		**Country Code** as per ISO 3166	
Address Type*	☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified				

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted) **Proof of Address***

☐ Passport Number		**Passport Expiry Date**	DD / MM / YYYY
☐ Voter ID Card			
☐ Driving Licence		**Driving Licence Expiry Date**	DD / MM / YYYY
☐ Aadhaar Card			
☐ NREGA Job Card			
☐ Others (any document notified by the central government)		**Identification Number**	

☐ **3.2 Correspondence / Local Address Details*** (Please see instruction E at the end)

Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1', Submit relevant documentary proof)

Address Line 1*					
Line 2					
Line 3				**City / Town / Village***	
District*		**Zip / Post Code***		**State/UT Code** as per Indian Motor Vehicle Act, 1988	
State/UT*		**Country***		**Country Code** as per ISO 3166	

4. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

Email ID					
Mobile		**Tel. (Off)**		**Tel. (Res)**	

5. FATCA/CRS INFORMATION (Tick if Applicable)

☐ **Residence for Tax Purposes in Jurisdiction(s) Outside India** (Please refer instruction B at the end) Additional Details Required* (Mandatory only if above option (5) is ticked)

Country of Jurisdiction of Residence*		**Country Code of Jurisdiction of Residence** as per ISO 3166	
Tax Identification Number or equivalent* (If issued by jurisdiction)			
Place / City of Birth*			
Country of Birth*		**Country Code** as per ISO 3166	
Address Line 1*			
Line 2			
Line 3		**City / Town / Village***	
District*	**Zip / Post Code***	**State/UT Code** as per Indian Motor Vehicle Act, 1988	
State/UT*	**Country***	**Country Code** as per ISO 3166	

6. DETAILS OF RELATED PERSON (Optional) (please refer instruction G at the end) (in case of additional related persons, please fill 'Annexure B1')

☐ Related Person ☐ Deletion of Related Person		**KYC Number of Related Person** (if available*)		
Related Person Type*	☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative			
	Prefix	First Name	Middle Name	Last Name
Name*				

(If KYC number and name are provided, below details of section 6 are optional)

☐ **Proof of Identity [PoI] of Related Person*** (Please see instruction (H) at the end) (Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

☐ A- Passport Number		**Passport Expiry Date**	DD / MM / YYYY
☐ B- Voter ID Card		☐ C- PAN Card	
☐ D- Driving Licence		**Driving Licence Expiry Date**	DD / MM / YYYY
☐ E- Aadhaar Card		☐ F- NREGA Job Card	
☐ Z- Others (any document notified by the central government)		**Identification Number**	

7. REMARKS (If any)

8. APPLICANT 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 declare that I am not making this application for the purpose of contravention of any Act, Rules, Regulations or any statute of legislation or any notifications/directions issued by any governmental or statutory authority from time to time.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date DD / MM / YYYY **Place** _____

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies

	KYC Verification Carried Out by (Refer Instruction I)	In-Person Verification (IPV) Carried Out by (Refer Instruction J)
Date	DD / MM / YYYY	DD / MM / YYYY
Emp. Name		
Emp. Code		
Emp. Designation		
Employee Signature		
Institution Details		
Name		
Code		
Emp. Branch		
Institution Stamp		

Vardhaman Capital Private Limited
Member: NSE, BSE & NSDL (DP)
SEBI Regd. No.: INZ000204533
CIN: U67120WB1995PTC068108

Request for Reactivation

Reactivation Form – Individual

From,

_____

_____

_____

Date
DD / MM / YYYY

To,
Vardhaman Capital Pvt. Ltd.
Wardley House, 25 Swallow Lane
2nd Floor,
Kolkata – 700001.

Dear Sir,

Sub: My/Our request for reactivation of client trading account in cash and future market segment on NSE/BSE

I/we _____(name of the client), have trading account with Unique Client Code _____ allotted to me/us by your broking house situated at Wardley House, 25 Swallow Lane 2nd Floor, Kolkata-700001, or at _____ (branch name) since _____ (date of activation of the account).In this regard, you are requested to reactive my/our trading account and allow trading with the immediate effect.

I/we hereby confirm and undertake that:

☐ 1. I/We have completed all the KYC formalities and submitted all the required documents thereof (such as Proof of identity, Address Proof, Bank proof, PAN etc) at the time of opening the trading account originally and enrolling as a Client with you.

☐ 2. There is no material changes in the other information provided to you in KYC form.

☐ 3. A dully filled up, signed & stamped Data updation form is enclosed with latest changes require to be done in my UCC a/c with you. I/we declare that the information given above is true to my/our knowledge.

Thanking You.
Yours Faithfully,

Date
DD / MM / YYYY

Place

Signature & Stamp (for Non-individual Client)

Vardhaman Capital Private Limited
Member: NSE, BSE & NSDL (DP)
SEBI Regd. No.: INZ000204533
CIN: U67120WB1995PTC068108

Data Updation Form

Vardhaman Capital Private Limited

From,

_____

_____

_____

Date
DD / MM / YYYY

To,
Vardhaman Capital Pvt. Ltd.
25, Swallow Lane, Wardley House, 2nd Floor,
Kolkata - 700001

Dear Sir,

Reg: Change / Addition of detail in KYC.

With reference to my/our UCC Code no. _____ with you. I/We would like to update you about changes in my Bank A/C / DP A/C / Address / Email ID's / Contact No. / Financial details / Other's _____ as detail below. In my present database recorded with you.

Name of Bank		**A/c No.**	
Address		**MICR No.**	
Name of DP		**Address**	
Client ID		**DP ID**	
New Address			
New Email ID			
Latest Income Details	☐ 0-1 lakh ☐ 1-5 lakhs ☐ 5-10 lakhs ☐ 10-25 lakhs ☐ above 25 lakhs		
Any Other Change	(Mobile No.)		

Kindly make necessary changes in your record.

I/We are enclosing Photocopy of proof with the letter.

Thanking you,
Yours truly,

Date
DD / MM / YYYY

Place

Signature of the Client

Vardhaman Capital Private Limited
Member: NSE, BSE & NSDL (DP)
SEBI Regd. No.: INZ000204533
CIN: U67120WB1995PTC068108

Consent Letter for Internet Based Trading

Internet Based Trading (IBT) facility

To,
Vardhaman Capital Pvt. Ltd.
25, Swallow Lane
Wardley House
Kolkata-700001

Date
DD / MM / YYYY

Sub: Consent Letter for Internet based Trading facility

Dear Sir,

I/We would like to inform you that I/We _____ having UCC code _____ already registered with you in **NSE CM / NSE F&O / BSE CM** Segment. I/ We presently wish to trade through Internet Based Trading (IBT) in NSE/ BSE segment and request you to provide me the same.

I am aware of the rules and regulations of the exchange for Internet based trading and ensure you to fulfill the compliance of the same.

Kindly acknowledge the receipt of the same.

Thanking You
Yours Faithfully.

Signature of the client	
Name of the client	
Address	

Vardhaman Capital Private Limited
Member: NSE, BSE & NSDL (DP)
SEBI Regd. No.: INZ000204533
CIN: U67120WB1995PTC068108

FATCA/CRS Declaration
For Individuals

Voluntary Documents & Formats: The documents are voluntary in nature and will be made available if clients opt for their own convenience.

The below information is required for all applicant(s)/guardian

I) Address Type: ☐ Residential or Business ☐ Residential ☐ Business ☐ Registered Office (for address mentioned in form)

II) Is the applicant(s)/guardian's Country of Birth / Citizenship / Nationality / Tax Residency other than India? ☐ Yes ☐ No

III) If you ticked "Yes" in point no. II above, please provide the following information [mandatory]

Please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers below.

Place/City of Birth		
Country of Birth		
i)	☐ TIN or	
	☐ Functional equivalent (please specify name & Number)	
	Country of Issue	
ii)	☐ TIN or	
	☐ Functional equivalent (please specify name & Number)	
	Country of Issue	
iii)	☐ TIN or	
	☐ Functional equivalent (please specify name & Number)	
	Country of Issue	

IV) Customer Declaration (Applicable for all customers)

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 understand that VCPL is relying on this information for the purpose of determining my status in compliance with FATCA/CRS. VCPL is not able to offer any tax advice on FATCA/CRS or its impact. I shall seek advice from professional tax advisor for any tax questions.

iii. I agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.

iv. I agree that as may be required by domestic regulators/tax authorities VCPL may also be required to inform reportable details to CBDT or close or suspend my account.

v. I certify that I provide the information on this form and to the best of my knowledge and belief the certification is true, correct, and complete including the taxpayer identification number / functional equivalent number of the applicant.

Name	Signature	Date

Notes

1. **The term United States person means:**
   a) An individual, being a citizen or resident of the United States of America;
   b) Partnership or corporation organized in the United States of America or under the laws of the United States of America or any State thereof;
   c) A trust if: (i) a court within the United States of America would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust; and (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust;
   d) An estate of a decedent who was a citizen or resident of the United States of America.
2. **Functional Equivalent of TIN includes the following:** A social security/insurance number, citizen/personal identification/services code/national identification number, a resident/population registration number, Alien card number, etc.
3. If you have ticked "Yes" in point no. II above but do not have Taxpayer Identification Number/functional equivalent, please fill the detailed FATCA/CRS Declaration Form specifying the reason for the same and sign the self-certification in this regard.
4. In case of joint holders, please provide separate FATCA/CRS Declaration.

For non-individual clients, please attach FATCA, CRS & Ultimate Beneficial Ownership (UBO) Self-Certification Form separately.

Vardhaman Capital Private Limited
Member: NSE, BSE & NSDL (DP)
SEBI Regd. No.: INZ000204533
CIN: U67120WB1995PTC068108

Most Important Terms and Conditions (MITC)

Annexure A · For non-custodial settled trading accounts

1. Your trading account has a "Unique Client Code" (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, net worth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such.

Thanking You.
Yours Faithfully,

Date DD / MM / YYYY **Place**	Signature & Stamp (for Non-individual Client)