

KYC CHANGE / ADDITION & ACCOUNT REACTIVATION REQUEST FORM | INDIVIDUAL | RBL

APPENDIX-'A'

Religare Broking Limited
Club 125 (Tower A) A-3,4 & 5, Sector- 125,
Noida-201301 (U.P.)

ACKNOWLEDGMENT NO. _____



PHOTO



Ph.: 0120-4866666 Fax: 0120-4866275

(Please fill this update/modification form in ENGLISH and in BLOCK LETTERS)

(Please tick (symbol of tick) the box on Left margin of appropriate row where CHANGE/CORRECTION is required and provide the details in the corresponding row)

Update my KYC details as per below Re-activate my account and update my KYC details Re-activate my account with no change in KYC

A ACCOUNT DETAILS

Trading Account Number _____
Demat Account No _____ C - KYC Number, if available _____

B IDENTITY DETAILS

Aadhar Number _____ PAN _____

Name* (Same as ID Proof) Prefix _____ First Name _____ Middle Name _____ Last Name _____
 Father Spouse Name* _____
 Gender M-Male F-Female T-Transgender Date of Birth DD / MM / YYYY
 Marital Status* Married Unmarried Others _____ Please Specify _____
 Citizenship IN-Indian Others _____ Please Specify _____
 Residential Status Resident Individual Non Resident Indian Foreign National Person of Indian Origin
 Specify the proof of Identity Submitted Aadhar Card Any Other (Please Specify) _____

C NEW ADDRESS DETAILS

(Please refer instruction 'C' at the end)

1. New Correspondence Address _____
 City/Town/Village _____
 State _____ Pin Code _____ Country _____
 Address Type Residential/Business Residential Business Registered Office Unspecified _____ Please Specify _____
 Specify the proof of Address submitted _____ Validity / Expiry DD / MM / YYYY
 2. New Permanent Address (if different from above) _____
 City/Town/Village _____
 State _____ Pin Code _____ Country _____
 Address Type Residential/Business Residential Business Registered Office Unspecified _____ Please Specify _____
 Specify the proof of Address submitted _____ Validity / Expiry DD / MM / YYYY

D NEW CONTACT DETAILS

1. Contact Details (Please refer instruction 'F' at the end of Form)
 Tel (Off.) _____ Fax _____
 Tel (Res.) _____ Mobile _____
 E-mail ID _____ SMS Alert Facility*
 Email Alert Facility*

*Stock Exchange(s)/Depositories issue transaction alerts on subscription to SMS/E-mail alert facility directly. *Email & Mobile No. are mandatory in Trading & Depository Account.

E DECLARATION(s)

1. Ownership Declaration - Contact Detail(s)
 A. E-mail — I hereby declare that the E-mail ID given by me belongs to me or my family
 In case of family, the owner of E-mail ID is my Spouse Dependent children Dependent Parent
 B. Mobile — I hereby declare that the Mobile given by me belongs to me or my family
 In case of family, the owner of Mobile is my Spouse Dependent children Dependent Parent
 2. Declaration for Electronic Communication Yes No
 I wish to receive all future communication to me including but not limited to Contract note, Bills and Statement of Account to be sent to the above mentioned ID

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 through SMS/Email on the above registered number/email address.

Place : _____

Date : DD / MM / YYYY

Sign. of Applicant

SIGNATURE OF ALL ACCOUNT HOLDER(S)

FOR OFFICE USE ONLY

KYC Verifier / IPV Details

Name of the person who has done the IPV : _____
 Designation : _____ Employee ID : _____

Name of Sub Broker/Authorised Person : _____
 Name of Organization : **Religare Broking Limited**

C-KYC Institution Code : IN0653
 Signature of the person who has done the IPV _____
 Originals Verified and Self-Attested Documents Copies received

Sign. of 1st Holder Sign. of 2nd Holder Sign. of 3rd Holder

Place : _____

Date DD / MM / YYYY

Place : _____

Date DD / MM / YYYY

1. PERSONAL DETAILS

Name* (Same as per KYC Records) Prefix _____ First Name _____ Middle Name _____ Last Name _____
 Maiden Name (If any*) _____
 Mother Name* _____
 Occupation Type* S-Service (Private Sector Public Sector Government Sector)
 O-Others (Professional Self Employed Retired Housewife Student)
 B-Business Not Categorized _____ (Please Specify)

2. PROOF OF IDENTITY (PoI)* (Please refer instruction 'B' 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-Driving Licence _____ Driving Licence Expiry Date DD / MM / YYYY
 D-UID (Aadhaar) _____
 Z-Others (any document notified by the central government) _____
 Identification Number _____

3. PROOF OF ADDRESS (POA) (Current / Permanent / Overseas details)

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

4. INCOME DECLARATION (Please specify gross annual income details) (Financial Document to provided in case client is active derivative Segment.

Income Range Per Annum Below ₹1Lac ₹1-5Lac ₹5-10Lac ₹10-25Lac ₹25Lac-1Crore Above ₹1Crore
 OR Net-worth Amount* (₹) As on Date : DD / MM / YYYY (Net worth should not be older than 1 year)

5. FATCA DECLARATION : (Please refer instruction 'G' at the end)

(A) I do not have any residence for tax purposes with jurisdiction (Out Side India)
 (B) I have the residence for tax purposes with jurisdictions out side India (if opted for 'B', please fill additional FATCA Declaration form)

6. DETAILS OF RELATED PERSON (If Opted related person if required to provide his/her KYC)

Addition of Related Person Deletion of Related Person KYC Number of Related Person (If available*) _____
 Related Person Type* Guardian of Minor Authorized Representative
 Name* Prefix _____ First Name _____ Middle Name _____ Last Name _____
 (If KYC Number and name are provided, POI details are optional)
PROOF OF IDENTITY (PoI) OF RELATED PERSON* (Please see instruction (H) at the end)
 A-Passport Number _____ Passport Expiry Date DD / MM / YYYY
 B-Voter ID Card _____
 C-Driving Licence _____ Expiry Date DD / MM / YYYY
 D-UID (Aadhaar) _____
 Z-Others (any document notified by the central government) _____
 Identification Number _____

 Related Person Signature

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 your 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 through SMS/Email on my registered number/email address.

 Signature of 1st Holder

 Signature of 2nd Holder

 Signature of 3rd Holder

Date DD / MM / YYYY

Place :

FOR OFFICE USE ONLY

KYC Verifier / IPV Details

Name of the person who has done the IPV :
 Designation :
 Employee ID :
 Name of Sub Broker/Authorised Person :
 Name of Organization : **Religare Broking Limited**
 C-KYC Institution Code : IN0653
 Signature of the person who has done the IPV
 Originals Verified and Self-Attested Documents Copies received

Place : Date DD / MM / YYYY

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CATEGORIZATION OF THE CLIENT FOR COMMODITY

Category
(Please Specify)

- Farmers/FPOs Value Chain Participants (VCPs) Proprietary Traders
 Domestic Financial Institutional investors Foreign Participants Others

Note: If you have select category except "Other" Please fill the declaration of Commodity.

DECLARATION

I, S/o / D/o / W/o
give my consent to download my KYC Records from the Central KYC Registry (CKYCR), only for the purpose of verification of my identity and address from the database of CKYCR Registry.
I understand that my KYC Record includes my KYC Records /Personal information such as my name, address, date of birth, PAN number etc.

Place :

Date :

/ /

SIGNATURE OF APPLICANT



Signature of all Account Holder(s)

INSTRUCTION / CHECK LIST FOR FILLING KYC FORM

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 authorised to deal in securities/ commodities derivatives 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 authorised 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 current & 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 along with other statutory approvals required for investment in commodities. (as applicable)
- 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) & Address (POA): - List of documents admissible as Proof of Identity & Address:

- Passport.
- Driving license.
- Unique Identification Number (UID) (Aadhaar).
- Voter's Identity Card issued by Election Commission of India.
- Job card issued by NREGA duly signed by an officer of the State Government.
- Letter issued by the National Population Register containing details of name, address, or any other document as notified by the Central

Government in consultation with the Regulator.

C. In case of "Officially Valid Documents (OVD)" listed in Proof of Identity & Address does not contain updated address, the document as prescribed below shall be deemed to be the OVD for the limited purpose of proof of address for three month under Conditions that welcome letter after KYC should not returned back in reasonable time to start transaction in account:

- Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
- Property or Municipal tax receipt.
- Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
- Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.
- For FII / sub account, Power of Attorney given by FII / subaccount to the Custodians (which are duly notarized and / or apostilled or consularised) that gives the registered address should be taken.

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, 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 authorised 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, authorised 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.

MANDATORY TERMS AND CONDITIONS FOR RESEARCH SERVICES

Religare Broking Limited

Club 125 (Tower A) A-3,4 & 5, Sector- 125,
Noida-201301 (U.P.)

Ph.: 0120-4866666 Fax: 0120-4866275

(Please fill this update/modification form in ENGLISH and in BLOCK LETTERS)

(Please tick (symbol of tick) the box on Left margin of appropriate row where CHANGE/CORRECTION is required and provide the details in the corresponding row)



As per the SEBI circulars, all SEBI registered Research Analyst are required to communicate "Mandatory terms and conditions" and "Most Important Terms and Conditions (MITC)" to clients. In light of the aforesaid disclosure requirement, please find below "Mandatory terms and conditions" and "MITC": -

- Availing the research services:** By accepting delivery of the research service, the client confirms that he/she/it has elected to subscribe the research service of the Religare Broking Ltd (the "Research Analyst" or "RA") at his/her sole discretion. Religare Broking Ltd. confirms that research services shall be rendered in accordance with the applicable provisions of the RA Regulations.
- Obligations of Religare Broking Limited:** Religare Broking Limited and client shall be bound by SEBI Act and all the applicable rules and regulations of SEBI, including the RA Regulations and relevant notifications of Government, as may be in force, from time to time.
- Client Information and KYC:** You shall furnish all such details in full as may be required by Religare Broking Ltd. in its standard form with supporting details, if required, as may be specified by BSE /SEBI/regulators from time to time.
RA shall collect, store, upload and check KYC records of the clients with KYC Registration Agency (KRA) as specified by SEBI from time to time.
- Standard Terms of Service:** Client hereby consents the following:
"I/We have read and understood the terms and conditions applicable to a research analyst as defined under regulation 2(1)(u) of the SEBI (Research Analyst) Regulations, 2014, including the fee structure.
I/We are subscribing to the research services for our own benefits and consumption, and any reliance placed on the research report provided by research analyst shall be as per our own judgment and assessment of the conclusions contained in the research report.
I/We understand that:
 - Any investment made based on the recommendations in the research report are subject to market risk.
 - Recommendations in the research report do not provide any assurance of returns.
 - There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report."

Declaration:

Religare Broking Ltd. hereby declares that:

- It is duly registered with SEBI as an RA pursuant to the SEBI (Research Analysts) Regulations, 2014
Registration number: **INH100006977**
Registration date: **March 29, 2019**
 - It has registration and qualifications required to render the services contemplated under the RA Regulations, and the same are valid and subsisting;
 - Research analyst services provided by it do not conflict with or violate any provision of law, rule or regulation, contract, or other instrument to which it is a party or to which any of its property is or may be subject;
 - The maximum fee that may be charged by RA is ₹1.51 lakhs per annum per family of client.
 - The recommendations provided by RA do not provide any assurance of returns.
- Consideration and mode of payment:** The client shall duly pay to Religare Broking Ltd., the agreed fees for the services that RA renders to the client and statutory charges, as applicable. Such fees and statutory charges shall be payable through the specified manner and mode(s)/mechanism(s).
 - Risk factors:** Investments are subject to market risk. Read all the related documents carefully before investing. Past performance is not necessarily a guide to future performance.
 - Conflict of interest:** The RA shall adhere to the applicable regulations/circulars/directions specified by SEBI from time to time in relation to disclosure and mitigation of any actual or potential conflict of interest. Detailed conflict of interest has been disclosed in the Research Report.
 - Termination of service and refund of fees:** Disclosure that the RA may suspend or terminate rendering of research services to client on account of suspension/ cancellation of registration of RA by SEBI and shall refund the residual amount to the client.
In case of suspension of certificate of registration of the RA for more than 60 (sixty) days or cancellation of the RA registration, RA shall refund the fees, on a pro rata basis for the period from the effective date of cancellation/ suspension to end of the subscription period.
 - Grievance redressal and dispute resolution:** Any grievance related to (i) non-receipt of research report or (ii) missing pages or inability to download the ensure report, or (iii) any other deficiency in the research services provided by RA, shall be escalated promptly by the client to **Grievance Redressal Team via Email address: igreligare@religare.com, Contact Number: 1860-25-88888**
Religare Broking Ltd. shall resolve grievances within 7 (seven) business working days or such timelines as may be specified by SEBI under the RA Regulations.
Religare Broking Ltd. shall redress grievances of the client in a timely and transparent manner.
Any dispute between the RA and his client may be resolved through arbitration or through any other modes or mechanism as specified by SEBI from time to time.
- Disclosure of use of artificial intelligence:** Religare Broking Limited utilizes Artificial Intelligence (AI) tools exclusively for the limited purpose

Sign. of 1st Holder

Sign. of 2nd Holder

Sign. of 3rd Holder

1st Holder Name



2nd Holder Name



3rd Holder Name



of linguistic refinement, to enhance the clarity and readability of its research reports. Any additional or expanded use of Artificial Intelligence tools, if undertaken, shall be disclosed as a part of the research reports published.

11. **Mandatory notice:** Clients shall be requested to go through Do's and Don'ts while dealing with RA as specified in SEBI master circular no. SEBI/HO/MIRSD-POD- 1/P/CIR/2024/49 dated May 21, 2024 or as may be specified by SEBI from time to time.
12. **Most Important Terms and Conditions (MITC):** That the client shall take note of the MITC annexed hereto as Annexure-1.
13. **Optional Centralised Fee Collection Mechanism:** SEBI vide circular number: SEBI/HO/MIRSD/MIRSDPOD-1/P/CIR/2024/120 dated September 13, 2024, had introduced an optional mechanism for collection of fees by SEBI Registered IAs and RAs from their clients, called 'Centralized Fee Collection Mechanism (CeFCoM) for IA and RA' to differentiate unregistered entities from SEBI registered IA/RAs and provide clarity to clients that the fees are being paid to a SEBI registered IA/ RA. Pursuant to aforesaid SEBI circular, BSE vide its notice no. 20240923-8 dated 23 Sep 2024 had prescribed operational framework for the said mechanism. However, since the said mechanism is optional, the same has not yet been provided to clients by Religare Broking Ltd.

Annexure-1

Most Important Terms and Conditions

- a) These terms and conditions, and consent thereon are for the research services provided by the Research Analyst (RA) i.e. Religare Broking Limited in the capacity of Research Analyst cannot execute/carry out any trade (purchase/sell transaction) on behalf of, the client. Thus, the clients are advised not to permit RA to execute any trade on their behalf
- b) The fee charged by RA to the client will be subject to the maximum of amount prescribed by SEBI/ Research Analyst Administration and Supervisory Body (RAASB) from time to time.(Applicable only for Individual and HUF Clients).
Note:
 - i. The current fee limit is Rs 1,51,000/- per annum per family of client for all research services of the RA.
 - ii. The fee limit does not include statutory charges.
 - iii. The fee limits do not apply to a non-individual client / accredited investor
 - iv. Currently Nil, Religare Broking Limited reserves the right to levy charges in future.
- c) Religare Broking Limited may charge fees in advance if agreed by the client. Such advance shall not exceed the period stipulated by SEBI; presently it is one quarter. In case of pre-mature termination of the RA services by either the client or the RA, the client shall be entitled to seek refund of proportionate fees only for unexpired period.
- d) Fees to Research Analyst may be paid by the client through any of the specified modes like cheque, online bank transfer, UPI, etc. Cash payment is not allowed. Optionally the Client can make payments through Centralized Fee Collection Mechanism (CeFCoM) managed by BSE Limited (i.e. Currently recognised as RAASB).
- e) Religare Broking Limited is required to abide by the applicable regulations/ circulars/ directions specified by SEBI and RAASB from time to time in relation to disclosure and mitigation of any actual or potential conflict of interest. Religare Broking Limited will endeavour to promptly inform the client of any conflict of interest that may affect the services being rendered to the client.
- f) Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. No scheme of this nature shall be offered to the client by Religare Broking Limited.
- g) Religare Broking Limited cannot guarantee returns, profits, accuracy, or risk-free investments from the use of the Religare Broking Limited's research services. All opinions, projections, estimates of the RA are based on the analysis of available data under certain assumptions as of the date of preparation /publication of the research report.
- h) Any investment made based on recommendations in research reports are subject to market risks, and recommendations do not provide any assurance of returns. There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report. Any reliance placed on the research report provided by the RA shall be as per the client's own judgment and assessment of the conclusions contained in the research report.
- i) The SEBI registration, Enlistment with RAASB, and NISM certification do not guarantee the performance of the RA or assure any returns to the client.
- j) For any grievances,
Step 1: the client should first contact the RA using the details on its website
Step 2: If the resolution is unsatisfactory, the client can also lodge grievances through SEBI's SCORES platform at scores.sebi.gov.in
Step 3: The client may also consider the Online Dispute Resolution (ODR) through the Smart ODR portal at <https://smartodr.in>
- k) Clients are required to keep contact details, including email id and mobile number/s updated with the RA at all times.
- l) The RA shall never ask for the client's login credentials and OTPs for the client's Trading Account Demat Account and Bank Account. Never share such information with anyone including RA.

Sign. of 1st Holder

Sign. of 2nd Holder

Sign. of 3rd Holder

1st Holder Name



2nd Holder Name



3rd Holder Name

