

KNOW YOUR CLIENT (KYC) FIRST HOLDER APPLICATION FORM (FOR INDIVIDUALS ONLY)



Please fill in ENGLISH & in BLOCK LETTERS with black/blue ink & tick the appropriate options

A. IDENTITY DETAILS

1. Name of Applicant															
2. Maiden Name	FOR MARRIED WOMEN ONLY														
3. Father ☐ / Spouse Name ☐															
4. Mother Name															
5. a. Gender	☐ Male ☐ Female ☐ Transgender														
b. Date of birth	DD / MM / YYYY			c. Marital Status ☐ Single ☐ Married ☐ Others											
6. Nationality	☐ Indian ☐ Others(ISO 3166 Country Code)														
7. Status	☐ Resident Individual ☐ Non Resident Individual ☐ Foreign National ☐ Person of Indian Origin														
8. PAN															

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

FH
2/16

9. Specify the proof of identity submitted :

B. ADDRESS DETAILS

1. Residence / Correspondence Address																	
City/Town/Village									District								
Pin Code					State						Country						
2. Contact/Mobile No											Tel (Res.)						
Tel (Off.)											Email id						
3. Specify the proof of address submitted for Residence / Correspondence Address:																	
4. Permanent Address (if different from above correspondence address) (Mandatory for NRIs)																	
City/Town/Village									District								
Pin Code					State						Country						

RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA

Country of Jurisdiction of Residence*		Country of Birth*		ISO 3166 Country Code of Birth*	
Tax Identification Number or Equivalent (If issued by Jurisdiction)					

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

Date DD / MM / YYYY Place _____ Signature of Applicant

FH
3/16

FOR OFFICE USE ONLY

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by	Seal/Stamp of the Intermediary
Name & E Code				
Designation				
Date	DD / MM / YYYY	DD / MM / YYYY	DD / MM / YYYY	
Signature				

PLEASE SIGNATURE

D. DEALING THROUGH SUB-BROKERS / AUTHORISED PERSON (AP) / OTHER STOCK BROKERS

If Yes, please specify:

Name of Stock Broker

Name of SB/AP

Name of Exchange

Client Code (as given by other broker)

Details of disputes/dues pending from/to such stock broker/sub-broker:

Whether you are a Member / Sub-broker / AP of any Exchange ☐ Yes ☐ No

If yes, provide SEBI / EXCHANGES REGISTRATION NO:

Ph.

Website:

E. STANDING INSTRUCTIONS / OTHER DETAILS / EMAIL - SMS ALERT / CONTRACT NOTE PREFERENCE

Contract Note/Holding & Transaction Statement including CAS/Other Documents*

☐ Electronic ☐ Physical

Receive Delivery Instruction Slip

☐ No ☐ Yes

Share Email ID with Registrar & Transfer Agent

☐ No ☐ Yes

Receive Annual Report

☐ Electronic ☐ Physical ☐ Both

DP Account Statement

☐ Monthly ☐ Fortnightly ☐ Weekly
☐ As per SEBI Regulation

Declaration for Mobile Number

☐ Self ☐ Spouse ☐ Child ☐ Parent

Declaration for Email ID

☐ Self ☐ Spouse ☐ Child ☐ Parent
☐ Do not have

Running Account Settlement

☐ Monthly ☐ Quarterly

Whether you wish to avail of the facility of internet trading / wireless technology (please specify)

☐ Yes ☐ No**Note:**

1. Dividend / Interest will be credited to bank account via ECS.
2. In case client doesn't opt for DIS booklet, it would be issued on request at any later date.
3. BO can view his ISIN balances, transactions & value portfolio online. To register for Easi please visit **website www.cdslindia.com**
4. *Other documents includes SEBI prescribed standard documents i.e. Rights & Obligation documents for trading and depository account, Risk Disclosure Document and Guidance Note or any other communication /document disseminated by Paterson Securities.
5. Paterson may carry out proprietary trades on top of client trades.

F. PAST ACTIONS

Details of any action / proceedings initiated / pending / taken by SEBI / Exchanges / any other authority against the applicant / constituent Partners / promoters / whole time directors /authorized persons in charge of dealing in securities during the last 3 years:

☐ No

If yes, please specify

G. INTRODUCER DETAILSStatus of Introducer ☐ Sub-broker/AP ☐ Employee ☐ Existing Client ☐ Others (Specify):

Introducer Name:

SB/Emp/Client Code:

Address:

Mobile No:

Signature of the Introducer

H. GST REGISTRATION DETAILS

Registration No

Validity Date

Name of the State

GSTIN No:

DD / MM / YYYY

Note: Paterson may carry out proprietary trades in addition to cliental trades.

Note: In case of any correction in the form - Sign next to the correction done & that has to match the original signature

I. INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002		
I/We intend to invest in Stock Market with: ☐ Own Funds ☐ Borrowed Funds		
Experience	Number of years of Investment / Trading Experience	
Gross Annual Income	☐ Below 1 lac ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ >25 Lacs OR Net Worth in ₹ ("Net worth should not be older than 1 year") as on date DD / MM / YYYY	
Occupation (Please tick)	☐ Govt Service ☐ Professional ☐ Private Sector Service ☐ Public Sector ☐ Business ☐ Housewife ☐ Student ☐ Retired ☐ Agriculturist ☐ Others (Pls Specify) _____	
Nature of Business	☐ Manufacturing ☐ Services ☐ Trading ☐ Consultancy ☐ Others _____	
Client Category Commercial participant Noncommercial participant	☐ value chain participant ☐ exporter ☐ importer ☐ hedger ☐ financial participant ☐ trader ☐ arbitrager	
Is the Client Politically Exposed Person (PEP) or Related to a PEP ☐ PEP ☐ Related to PEP ☐ Not a PEP / RPEP		
For Office use: Risk Category: ☐ High ☐ Medium ☐ Low		
DECLARATION 1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we 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/we are aware that I/we may be held liable for it. In case of nonresident account, I/we also declare that I / we have complied and will continue to comply with FEMA regulations. 2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet. 3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, www.paterson.co.in. 4. I/We further confirm having read and understood the contents of the "Standard Documents" a) Rights and Obligations of stock broker, sub-broker and client for trading on Exchanges [including additional rights & obligations in case of internet/wireless technology based trading]; b) Rights and obligations of beneficial owner and depository participant as prescribed by SEBI and depositories; c) Risk Disclosure Documents detailing risks associated with dealing in the securities market; d) Guidance note detailing Do's and Don'ts for trading on stock exchanges; e) Policies and Procedures Document describing significant policies and procedures of the stock broker Note: The above mentioned documents [a,c,d] in the vernacular languages are available in our website. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for information on stock broker's designated website, www.paterson.co.in. 5. I/We further confirm having read and understood the contents of the "Terms & Conditions for availing Mutual Fund services of BSE StAR / NSE MFSS facility" & "Terms and Conditions-cum-registration/Modification form for receiving SMSAlerts from CDSL" and acknowledge that these are Voluntary [non-mandatory] documents for availing mutual fund services and SMS alert services as provided by Paterson Securities Pvt Ltd and unconditionally agree to abide by the terms and conditions mentioned therein. 6. I/We understand that, if I/we have signed the NACH mandate, it is applicable for Equity and Mutual Fund SIPs, Margin payments, collecting of MTM debit for derivative trades and for collecting charges on depository services as agreed by me while enrolling as a client of Paterson Securities Pvt Ltd. I/We further confirm having read and understood the terms and conditions applicable to the NACH mandate given along with the standard documents.		
FH 10/16	SH 5/7	TH 5/7
(First/Sole Holder)	(Second Holder)	(Third Holder)
Place: _____		Date: DD / MM / YYYY

Note: In case of any correction in the form - Sign next to the correction done & that has to match the original signature