

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. **Self attested copy of PAN card is mandatory for all clients in all type of change request.**
2. 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/OCICard 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.
9. 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 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.
11. 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:

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Aadhaar Number / Passport / Voter ID card / Driving license.
3. 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.)

1. Aadhaar Number / Passport / Voters Identity Card/Ration

Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. 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.
6. 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.
7. 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.
8. 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.)

1. 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.
3. 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.

E. List of people authorized to attest the documents:

1. 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.

CHANGE REQUESTS FORM

Please strike off whichever section is not applicable and not required to be updated

Date - -

UCC:

To, **Agroy Finance & Investment Ltd, New Delhi**

BO-ID:

Please update the bank account details with respect to my trading & demat account held with you.

A. BANK ACCOUNT(S) DETAILS - For Payin / Payout and Dividends / Corporate Actions (Please attach a Cancelled Cheque)

Bank Name

Branch Address

City/Town/Village PIN Code

State Country

Bank Account No.

Account Type Saving Current Others - In case of NRI NRE NRO

MICR Number IFSC Code

B. DEPOSITORY ACCOUNT(S) DETAILS (Please attach Client Master, if Demat Account is not with AGROY)

Depository Participant Name

Depository Name NSDL DP ID BO ID

CDSL DP ID BO ID

Beneficiary Name

C. TRADING PREFERENCES

*Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

NSE, BSE, MCX	NSE, BSE			MCX
All Segments	Cash / Mutual Fund	F&O	Currency	Commodity Derivatives
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be submitted by the client.

D. CONSENT FOR MOBILE AND EMAIL ID REGISTRATION

I/We hereby request you to send all your communications pertaining to my/our Trade Confirmations, Contract Notes, MTM Obligation, Margin Calls or any other communication (which is necessary from your Compliance point of view) including the verification call from Agroy etc., on the below mentioned Mobile number / Email ID:

Email ID: Name:..... Self Spouse Child Parent Authorised Signatory

Mobile No:..... Name:..... Self Spouse Child Parent Authorised Signatory

*
First Holder Signature

Second Holder Signature

Third Holder Signature

E. NOMINATION FORM

Please fill either Part 1 or Part 2

To, AGROY FINANCE AND INVESTMENT LTD., New Delhi
(SEBI REG#INZ000185530) (DP ID 12060700)

Date - -

I/We wish to make a nomination [As per details given below]

Nomination Details

UCC BO ID

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

	1st Nominee	2nd Nominee	3rd Nominee
1. Name of the nominee(s) (Mr/Mrs)	<input type="text"/>	<input type="text"/>	<input type="text"/>
2. Share of each Nominee <i>(Any odd lot after division shall be transferred to the first nominee)</i>	<input type="text"/> %	<input type="text"/> %	<input type="text"/> %
3. Relationship with the Applicant <i>(If Any)</i>	<input type="text"/>	<input type="text"/>	<input type="text"/>
4. Address of Nominee(s) City / Place State & Country PIN Code	<input type="text"/>	<input type="text"/>	<input type="text"/>
5. Mobile / Tel No. of Nominee(s)	<input type="text"/>	<input type="text"/>	<input type="text"/>
6. Email Id of nominee(s)	<input type="text"/>	<input type="text"/>	<input type="text"/>
7. Nomination Identification details <i>[Please tick any one of the following and provide details of the same]</i>	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank Account <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank Account <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank Account <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account
Points 8-14 to be filled only if nominee(s) is a minor			
8. Date of Birth	<input type="text"/> - <input type="text"/> - <input type="text"/>	<input type="text"/> - <input type="text"/> - <input type="text"/>	<input type="text"/> - <input type="text"/> - <input type="text"/>
9. Name of Guardian	<input type="text"/>	<input type="text"/>	<input type="text"/>
10. Address of Guardian City / Place State & Country PIN Code	<input type="text"/>	<input type="text"/>	<input type="text"/>
11. Mobile / Tel No. of Guardian	<input type="text"/>	<input type="text"/>	<input type="text"/>
12. Email Id of Guardian	<input type="text"/>	<input type="text"/>	<input type="text"/>
13. Relationship of Guardian with the Nominee	<input type="text"/>	<input type="text"/>	<input type="text"/>
14. Guardian Identification details <i>[Please tick any one of the following and provide details of the same]</i>	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank Account <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank Account <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank Account <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account

Note : 1. Signatures of witness along with name and address required, if account holder affixes thumb impression instead of signatures
2. This nomination shall supersede any prior nomination made by the account holder(s) if any.

*
First Holder Signature

Second Holder Signature

Third Holder Signature

F. DECLARATION FORM FOR OPTING OUT OF NOMINATION

To, AGROY FINANCE AND INVESTMENT LTD., New Delhi
(SEBI REG#INZ000185530) (DP ID 12060700)

Date - -

UCC BO ID

Name of the Account Holders

1st Holder	2nd Holder	3rd Holder
<input type="text"/>	<input type="text"/>	<input type="text"/>

I/We hereby confirm that I/We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in no-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my/our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my/our trading/demat account, which may also include documents by Court or other such competent authority, based on value of assets held in the trading / demat account.

*
First Holder Signature

Second Holder Signature

Third Holder Signature

This Demat Debit and Pledge Instruction is annexed to the Non-Judicial e-Stamp Paper vide
Certificate No..... Dated:.....

DEMAT DEBIT AND PLEDGE INSTRUCTION

To
Agroy Finance and Investment Limited
CDSL DP ID 60700
New Delhi

Trading UCC: _____ Demat BOID: _____

Pursuant to SEBI Circular SEBI/HO/MIRSD/DoP/P/CIR/2022/44 dated April 04, 2022, with respect to my / our Demat Account and Trading Account held with you, I/we hereby authorise you to carry out Demat Debit and Pledge Instructions as follows:

1. Transfer of securities held in my/our beneficial owner accounts towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by me/us on the Stock Exchange through Agroy Finance and Investment Limited.	<input type="checkbox"/>	* First Holder
	<input type="checkbox"/>	* Second Holder
	<input type="checkbox"/>	* Third Holder
2. Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) viz. Agroy Finance and Investment Limited for the purpose of meeting my / our margin requirements in connection with the trades executed by me/us on the Stock Exchange.	<input type="checkbox"/>	* First Holder
	<input type="checkbox"/>	* Second Holder
	<input type="checkbox"/>	* Third Holder
3. Mutual Fund transactions being executed on Stock Exchange order entry platforms.	<input type="checkbox"/>	* First Holder
	<input type="checkbox"/>	* Second Holder
	<input type="checkbox"/>	* Third Holder
4. Tendering shares in open offers through Stock Exchange platforms.	<input type="checkbox"/>	* First Holder
	<input type="checkbox"/>	* Second Holder
	<input type="checkbox"/>	* Third Holder

* the same may be eSigned or signed physically by all joint holders / authorised signatories

* in this regard refer the clause in 'Rights and Obligations' Document under the sub heading 'Additional Rights and obligations. Given on website and in client copy

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, networth, 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 schemes.

ACKNOWLEDGEMENT:

Date --

*
First Holder Signature

Second Holder Signature

Third Holder Signature