



#### **Acknowledgement**

**Received the Application Number** 202320  
**of Mr./Ms./Mrs./M/s.** \_\_\_\_\_ **on** \_\_\_\_\_ **(date of receipt)**  
**Amount collected: Account Opening Fees** \_\_\_\_\_ **Margin** \_\_\_\_\_  
**Cheque No.** \_\_\_\_\_ **Cheque Date** \_\_\_\_\_ **Favouring** \_\_\_\_\_  
**RM Name** \_\_\_\_\_ **RM Contact No.** \_\_\_\_\_ **RM Signature** \_\_\_\_\_  
**Authorised person/DSA Name** \_\_\_\_\_  
**Authorised person/DSA Contact No.:** \_\_\_\_\_ **Authorised person/ DSA Sign** \_\_\_\_\_

#### **Note:**

**You can track your Application after 3 working days on [www.kotaksecurities.com](http://www.kotaksecurities.com),  
Link: <http://www.kotaksecurities.com/ksweb/Help/Customer-Queries/Check-Application-Status> (OR) contact our  
Call centre for help.**  
**Please call us on our toll free no. 1800 209 9191 / 1860 266 9191 to speak to our customer service executives.**



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For more details of any of these services call our Customer Service on 1800 209 9191 or get in touch with your RM

# Kotak Mahindra Bank

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 ICONS will help you identify information required to be filled in the form

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- Capital Letters
- Note
- Tick
- Signatures required on the page
- Client Signature
- Introducer's Signature



- Client's Witness Signature
- Kotak Signature
- Guardian Signature
- Signature of Nominee
- Company Stamp



\* Mandatory Fields

**CUSTOMER PROFILE SHEET**

(Individuals desirous of opening Savings A/c)

<b>Branch Code*</b>			<b>Meeting</b>	DD/MM/YYYY	
<b>NAME*</b>	Mr / Ms / Dr. Name			Date of Birth	DD/MM/YYYY
<b>SEX*</b>	M / F	MARRIED / SINGLE / OTHER	No. of Children	Age	
<b>ADDRESS*</b>	Flat/Plot No.	Building / Society		Road / Street	
		Area / Locality		City	PIN CODE
<b>CONTACT*</b>	Landline	Mobile		E-mail ID	
<b>EDUCATION</b>	UG / G / PG / PROF	IF PROF : CA / DOCTOR / LAWYER / OTHER (SPECIFY)			
<b>OCCUPATION*</b>	Service (Govt) / Service (Pvt) / Business / Self Employed / Retired / Housewife / Others				
<b>Co &amp; Designation</b>					
<b>HH INCOME PM</b>	<25K / 25K - 50K / 50K - 100K / 1L - 2L / > 2L				

<b>CURRENT BANKERS</b>		< 20K	20k to 50k	50k to 75k	75k to 1L	> 1L	ASSETS	NOS.	OWNERSHIP	SIZE
PRIMARY BANK NAME							HOUSE	1/2/3	Self / Financed	S/M/L
OTHER BANK NAME							CAR	1/2/3	Self / Financed	S/M/L
OTHER BANK NAME										

<b>EXISTING SAVINGS ACCOUNT FEATURE USAGE</b>				<b>MANDATORY INFO IF CRN TO BE CREATED</b>				
Investment A/c	F/R/N	ActivMoney (2 Way Sweep)	F / R / N	Salaried / Non-Salaried			Annual Income/ Salary (Rs)	
DD/BC	F / R / N	Bill Pay	F / R / N	IF SALARIED, NAME OF COMPANY / IF NON-SALARIED, NATURE OF ACTIVITY				
NEFT/RTGS	F / R / N	Standing Instruction	F / R / N	Form No.			Ticket No.	
Net Banking	F / R / N	Visa Money Transfer	F / R / N	Customer Type			Walk-In	Y / N
Phone Banking	F / R / N	Cash Deposit	F / R / N	Politically Exposed	Y / N		It Walk-in, Fl done by	Emp. Code / Agency Name
Home Banking	F / R / N	Cash Withdrawal (At ATM)	F / R / N	IP Mode	Cash/Cheque		IP Amount (Rs.)	
Mobile Banking	F / R / N	Any Other Service (Specify)	F / R / N	Risk Category	High/Medium/Low		Account Holder	Primary / Joint
Anywhere Banking	F / R / N	Any Other Service (Specify)	F / R / N	Staying at current residence since _____ years & _____ months				
				<input type="checkbox"/> Form is liable to be rejected if all information is not filled. <input type="checkbox"/> For Walk-in customers, landline & Fl is mandatory. <input type="checkbox"/> Please refer the respective MOPP for customer type and Risk Categorization				
F - Frequent   R - Rare   N - Never								

<b>OTHER FINANCIAL SERVICES</b>		<b>SERVICE PROVIDER</b> (Select appropriate option & Specify Name)	<b>Amount (Rs)</b>
Mutual Funds	Y / N / Lead	Direct AMC / Distributor / Agent:	
Insurance	Y / N / Lead	Agent / Bank / Distributor:	
Shares Trading	Y / N / Lead	Demat A/c with: Online / Offline Broker:	
Fixed Deposit	Y / N / Lead	Bank / Other:	
Home Loan	Y / N / Lead	Bank / Other:	
Car Loan	Y / N / Lead	Bank / Other:	
Personal Loan	Y / N / Lead	Bank / Other:	

Specifying amount is mandatory in case of lead

**Additional Remarks (If any):****Declaration** (applicable in case CRN is to be created)

Certified that the details mentioned in this profile sheet are true to the best of my knowledge and that the person mentioned above is not engaged in criminal/fraudulent activity. The information above complies with the account opening and funding requirement as per present internal procedures and the KYC and AML policy of the Bank and I undertake to inform the bank in case of knowledge of negative information on the customer or the customer's appearance in local press/media or from any other reliable source.

Sourced by (Emp Code &amp; Sign)

Checked by (Emp Code &amp; Sign)

(BSM) Reviewed by (Emp Code &amp; Sign)

Name: \_\_\_\_\_

**LIKELY CUSTOMER CATEGORY:** P / A / B / C**LEAD TYPE:** Hot / Warm / Cold

CRN (IF CONVERTED): \_\_\_\_\_

**Name of Customer** \_\_\_\_\_**RO / RM** \_\_\_\_\_**• Customer Informed of RO/ PBs name****Date and Time of Call****Mandatory for all Debit Card Applicants:**

- Activation of Debit Card for POS through Phone Banking and ATM

**SAVINGS****Ace / Staff 2 / Group 2**

- DP AMC Waiver
- Kotak Street Trading A/C Waiver
- Term Cover
- MF on Net
- MF Sweep
- KPRP (refer age criteria)
- RBI EFT
- Family Account
- Alerts and Mobile Banking
- DirectPay - Online Bill Payment
- Home Banking
- Free DD/BCs
- At Home Services (where avail)

**CURRENT****Ace :**

- MF Sweep or TD Sweep
- Investment Account & MF on Net (for investments of signatories)
- Free RBI EFT
- DP AMC Waiver
- Kotak Street Trading A/C features
- Term Cover
- Family Account
- Alerts and Mobile Banking
- Home Banking
- Free DD/BCs
- Free Cheque Collection
- Kotak Life Insurance

**Pro**

- Kotak Street Trading A/C Waiver
- KPRP (refer age criteria)
- RBI EFT
- MF on Net
- MF Sweep
- Alerts and Mobile Banking
- DirectPay - Online Bill Payment
- Home Banking
- Family Account
- Free DD/BCs
- At Home Services (where avail)
- DP Account

**Pro:**

- MF Sweep or TD Sweep
- Investment Account & MF on (Net for investments of signatories)
- RBI EFT
- Kotak Street Trading A/C Features
- Alerts and Mobile Banking
- Home Banking
- Family Account
- Free DD/BCs
- Kotak Life Insurance
- DP Account

**Edge / Affinity / Staff 2 / Group 2**

- Kotak Street Trading A/C Features
- KPRP (refer age criteria)
- RBI EFT
- MF on Net
- MF Sweep
- Mobile Banking
- DirectPay - Online Bill Payment
- Home Banking (Affinity restricted to free instrument pickup)
- DP Account

**Edge and Affinity :**

- MF Sweep or TD Sweep
- Kotak Street Trading A/C Features
- RBI EFT
- Investment Account & MF on Net (for investments of signatories)
- Mobile Banking
- Home Banking (Instrument Pick-up is free in case of Affinity, charged for all other HB (Affinity & Edge))
- DP Account
- Kotak Life Insurance

**OTHER TYPES OF ACCOUNT (DP, TD, ETC. OPENED WITHOUT CASA)**

- Savings Account Features (refer checklist above)
- Current Account Features (refer checklist above)
- DP Features
- K Street - Online Trading
- Investment Account & MF on Net
- Kotak Life Insurance

**COMMON SECTION**

- Other Feature \_\_\_\_\_
- Documentation Related \_\_\_\_\_

CHECKLIST FOR BANK

Sourcing Branch Code

Holder's Name :		Bulk Heat ID :-		AOF No.		
A/C No.	Product Code :-	Customer ID :-		Existing customer (Yes/No)		
<b>Compulsory Documents</b>						
	<b>Code</b>	<b>Documents Accepted</b>	<b>1st Applicant</b>	<b>2nd Applicant</b>	<b>3rd Applicant</b>	<b>4th Applicant</b>
		<b>NRI - Non Resident Indian</b>				
	<b>PP</b>	Indian Passport	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>W</b>	Valid Visa	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<b>PIO - Person of Indian Origin</b>				
	<b>OP</b>	Overseas Passport	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>PI</b>	Document Showing Indian Citizenship	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>PA</b>	PIO Affidavit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<b>Merchant Navy - Shippy</b>				
	<b>VC</b>	Valid Contract Copy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>CD</b>	CDC Booklet	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>SD</b>	Shippy Declaration	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<b>Intra Company Transfer</b>				
	<b>TR</b>	Letter of Appointment / Deputation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Verification of IDENTITY (I), SIGNATURE (S) ADDRESS (A) DOCUMENT</b>						
	<b>Code</b>	<b>Documents Accepted</b>	<b>1st Applicant</b>	<b>2nd Applicant</b>	<b>3rd Applicant</b>	<b>4th Applicant</b>
I	<b>SA</b>	PP Passport	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I	<b>SA</b>	DL Driving Licence	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I	<b>SA</b>	MC Marriage Certificate - only if wife is joint holder	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A	<b>RC</b>	Ration card	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A	<b>UB</b>	Utility Bill	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A	<b>PB</b>	Bank passbook/statement signed & stamped or with logo / printed by Bank	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A	<b>BOV</b>	Address Personally verified by Bank Officer	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
S	<b>Oth</b>	Others				
<b>Completed by (Front End)</b>			<b>DVU</b>	<b>Funding</b>		
Name:	Designation:		Name:	Funds Parked in		
Employee No.:	Branch :		Designation:			
Signature	Date:-		Employee No:	Value Date		
Inward - AOF at Branch	Date:-	Time:-	Signature	Funds Checked by		
Outward AOF at CPC	Date:-	Time:-	Date :-	<b>Msign</b>		
Signature				<input type="checkbox"/> Sign Captured		
				<input type="checkbox"/> Sign Linked		
				User Sign ..... Auth Sign .....		
<b>BCIF</b>			<b>CASA / TD Opening &amp; Main.</b>			
<input type="checkbox"/> CRN Creation Inputed by ..... Authorized by .....			<input type="checkbox"/> CASA Account	<input type="checkbox"/> Account Level Memo	<input type="checkbox"/> TD Account	
			<input type="checkbox"/> Operating Instructions	<input type="checkbox"/> Account Address	<input type="checkbox"/> Operating Ins	
<b>Channels &amp; Alert</b>			<input type="checkbox"/> Cheque Book	<input type="checkbox"/> Mandate Addition	<input type="checkbox"/> CBR	
<input type="checkbox"/> Phone Banking <input type="checkbox"/> Net Banking <input type="checkbox"/> Debit Card <input type="checkbox"/> Payment Gateway Inputed by ..... Authorized by .....			<input type="checkbox"/> CBR	<input type="checkbox"/> Statement Frequency	<input type="checkbox"/> Sweep In	
			<input type="checkbox"/> Nomination	<input type="checkbox"/> Blocking Account	<input type="checkbox"/> TD Payin	
<input type="checkbox"/> Mobile Banking <input type="checkbox"/> Alert Inputed by ..... Authorized by .....			<input type="checkbox"/> Sweep Out	<input type="checkbox"/> Unblocking Account	<input type="checkbox"/> OD Limit	
			<input type="checkbox"/> AQB Waiver	<input type="checkbox"/> Standing Instruction	<input type="checkbox"/> TD Lien	
			<input type="checkbox"/> Customer Relationship	<input type="checkbox"/> Funds Transfer	<input type="checkbox"/> Others	
			Input. By ..... Auth By ..... / Input. By ..... Auth By .....			
<b>Exceptions Raised</b>						

## Introduction Documents

(For Non Resident Indians and Persons of Indian Origin)

### SECTION I

Note: All documents submitted should be self-attested (signed, along with the word "TRUE COPY") by each account holder.

#### A) **Compulsory Documents**

- (i) Photocopy of the Passport pages where your name, address, specimen-signature, photograph, expiry date and Visa details are recorded;
- (ii) Copy of valid Visa (the visa could be either in the passport or given separately); and
- (iii) Proof of Address (local or foreign address that is selected as the preferred Mailing Address on the account opening form);
- (iv) Latest photograph (passport sized)

#### B) **If you have not met our Branch Staff in person while submitting your forms & supporting documents, the following procedure needs to be followed:**

1. All compulsory documents stated in point "A" above need to be attested by the Indian diplomatic mission in your country of residence; or by any of our approved list of Overseas Bankers (please contact our representative for full details) OR by Notary Public OR by any Branch of an Indian Bank abroad.
2. We will also require any two of the following documents:
  - (i) Details of your existing NRE bank Account in India OR an Overseas Bank Account which would include an account number, type of account, Bank & branch name with full postal address including pin-code and telephone number of your branch, etc;
  - (ii) Copy of the latest statement of your existing NRE bank account (with account number, branch name) in India, or an Overseas Bank Account OR first and last page of the passbook showing your name, address, NRE account number, branch name as well as transaction details. The transactions show in the statement or passbook should relate to a period within the last 3 months;
  - (iii) Copy of any recent letter received from your existing banker (Overseas / Indian banker). The account number and account title should be specified in the letter
  - (iv) A cheque drawn on your existing banker abroad OR from your NRE account in India duly signed by you. (The signature should agree with the specimen signature given in the account opening form);
  - (v) Any cancelled paid cheque in original drawn on your Banker abroad showing your signature, bank name, account number and other details mentioned in the points above.

### SECTION II

Should you fall under any of the following categories, we will also require you to provide the following documents:

If you are:

- A Person of Indian Origin (PIO):
  - (i) Copy of Indian passport of spouse OR
  - (ii) Copy of Indian passport held by self or your parents / grandparents at any time OR
  - (iii) PIO Card
  - (iv) OCI (Overseas Citizen of India) Card
- Employed with the Merchant Navy:
  - (i) Valid contract copy
  - (ii) Original letter from principal / agent / liaison office stating the contract details
  - (iii) CDC Booklet copies
- Transferred to an overseas posting:
  - (i) Letter of Transfer from the Company

### SECTION III

#### Proof of Mailing Address

The following documents, where your current address is mentioned, can be used as a Proof of Address. This address must necessarily be similar to the mailing address mentioned on the account opening form.

#### Indian Address

1. Valid Passport;
2. Valid Driving Licence;
3. Valid ID Documents/Card with Photo issued by Govt. Org, PSU, Statutory/Regulatory Auth, Scheduled Commercial Banks, Public Financial Institutions & Professional Bodies like ICAI, ICWAI, ICSI, Bar Council, etc. to their Members;
4. Marriage Certificate (where your spouse is a joint account holder);
5. Existing Utility Bill (Electricity/Telephone/Piped Gas - not more than 2 months old);
6. Letter from your Existing Housing Society (Only for home-owners);
7. Existing Leave & Licence/Tenancy Agreement (For Tenants);
8. Existing Credit Card Bill - not more than 3 months old;
9. Existing Bank account passbook/Statement not more than 3 months old - signed & stamped by the bank official or with logo printed by Bank (internet downloads are not acceptable).

#### Overseas Address

1. Valid Passport;
2. Existing Overseas Bank Statement not more than 3 months old - signed & stamped by the bank official or with logo printed by Bank (internet downloads are not acceptable);
3. Valid Local Driving Licence;
4. Existing Employer's Certificate indicating your address;
5. Certificate from the Indian Diplomatic Mission stating your address;
6. Existing Utility bill (Electricity/Telephone/Piped gas - not more than 2 months old)
7. Existing Credit Card Bill (not more than 3 months old)
8. OCI Card

**Account Opening Form  
(Non Resident Indians)**
**Preferred Home Branch** \_\_\_\_\_  
**Account Type**
**Preferred PINS Branch** \_\_\_\_\_

Rupee Savings Account  NRE (Non Resident External-Repatriable)  
 Rupee Savings Account  NRE PINS (Non Resident External-Repatriable Portfolio Investment Scheme)  
 Rupee Current Account  NRE (Non Resident External-Repatriable)  
 Rupee Current Account  NRE PINS (Non Resident External-Repatriable Portfolio Investment Scheme)  
 Rupee Fixed Deposits  NRE (Non Resident External-Repatriable)

NRO (Non Resident Ordinary Non-Repatriable)  
 NRO PINS (Non Resident Ordinary Non-R Repatriable Portfolio Investment Scheme)  
 NRO (Non Resident Ordinary Non-Repatriable)  
 NRO PINS (Non Resident Ordinary Non-Repatriable Portfolio Investment Scheme)  
 NRO (Non Resident Ordinary Non-Repatriable)

**Foreign Currency** **Term** **Deposit** **Accounts - (FCNR)**  
 Currency  USD  EUR  GBP  JPY  AUD  CAD  
 Investment Account  Repatriable  Non-Repatriable

**Personal Details**
**Name**  
 (Title)  (First Name)  (Middle Name)  (Last Name) (upto 40 Characters only)
**Short Name**  (upto 16 Characters only) # PAN 

(This Name will appear on the Debit Card)

**Date of Birth**  DD MM YY YY YY  
**Marital Status**  Single  Married  
**Religion :**  Hindu  Muslim  Christian  Sikh  Zoroastrianism  Buddhism  Other Please specify \_\_\_\_\_  
**Caste :**  General  OBC  SC  ST

**Gender**  Male  Female

**Nationality**  Indian  Others

**Father's Name** 
**Mother's Maiden Name** 
**Spouse's Name** 
**Passport Details** **Passport No.**   
**Place of Issue** 
**Date of Issue**  DD MM YY YY YY  
**Date of Expiry**  DD MM YY YY YY

**VISA Details** **Type of VISA**   
**Place of Issue** 
**Issued by**  DD MM YY YY YY  
**Date of Expiry**  DD MM YY YY YY

**Other Details**

<b>Education</b>	<input type="checkbox"/> Non Graduate	<input type="checkbox"/> Graduate	<input type="checkbox"/> Post Graduate	<input type="checkbox"/> Professionally qualified	<input type="checkbox"/> Other _____
<b>Occupation</b>	<input type="checkbox"/> Business	<input type="checkbox"/> Housewife	<input type="checkbox"/> Self employed	<input type="checkbox"/> Retired	<input type="checkbox"/> Others _____
	<input type="checkbox"/> Professional	<input type="checkbox"/> Non-working	<input type="checkbox"/> Student	<input type="checkbox"/> Salaried	
<b>Profession</b>	<input type="checkbox"/> Finance	<input type="checkbox"/> Art	<input type="checkbox"/> Legal	<input type="checkbox"/> Teaching	<input type="checkbox"/> Agriculturist Medical
	<input type="checkbox"/> Engineer	<input type="checkbox"/> Management	<input type="checkbox"/> Information Technologist	<input type="checkbox"/> Architect	<input type="checkbox"/> Others _____
<b>Monthly Household Income</b>	<input type="checkbox"/> < USD 2,500		<input type="checkbox"/> USD 4,000 - USD 6,000	<input type="checkbox"/> < USD 10,000	
	<input type="checkbox"/> USD 2,500 - USD 4,000		<input type="checkbox"/> USD 6,000 - USD 10,000		

**Contact Details**
**Indian Residence Address**   
**Landmark**   
**City**  **Pin Code**   
**Country**  **State**   
**Telephone No.**  **Fax No.** 
**Overseas Residence Address**   
**City**  **Pin Code**   
**Country**  **State**   
**Telephone No.**  **Fax No.** 

(with country code, area, codes, followed by the telephone number)

**Mobile Number** 
**Preferred Mailing Address**  Indian address  Overseas address

(Debit Card/PIN Password mailers will be sent to the preferred mailing address of each applicant. Account Statement / Cheque Book will be sent to preferred mailing address of the first applicant)

**E-mail Address**  (Required for e-mail Alerts and e-news << letters)

**Account Statement**
**Mailing address**   
**City**  **Pin Code**   
**Country**  **State**   
**Telephone No.**  **Fax No.** 

# As per NSDL PAN No. is necessary.

\* To be filled only if statement of this account needs to be sent to an address different from first applicant's mailing address.

**For Bank use only**
**CRN ID** 
**Account No.**

## Channel Access Request

I wish to apply for access to the following channels

	Phone Banking	Net Banking	Debit Card	Payment Gateway
Deposit Account(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> *
Demat Account(s)	<input type="checkbox"/>	<input type="checkbox"/>		
Investment Account(s)	<input type="checkbox"/>	<input type="checkbox"/>		
Insurance	<input type="checkbox"/>	<input type="checkbox"/>		

\* Access to Payment Gateway will give automatic access to Net Banking, Direct Pay, Online Shopping and all Gateway services that may be introduced by the Bank from time to time.  
#Mandate in favour of Bank to be executed to avail transaction facility on Net Banking for Investment Account(s).

I/We hereby expressly consent and authorize the Bank to make telephone calls and send SMSs or / emails to inform me / us on any information or updates relating to the Bank's existing products / services or any new products/services. The said consent given is valid till such time I/we withdraw the same by giving the same in writing.

### Name of Applicants

#### Customer Relationship Number\*

Name of 2nd Applicant \_\_\_\_\_

Name of 3rd Applicant \_\_\_\_\_

\* If not available, please fill the Joint Applicant Details Form for each applicant, representative / guardian of the applicant.

### Mode of Operation

Singly       Either or survivor       Jointly       Others, please specify \_\_\_\_\_

#### Nomination Details

Yes       No      Letter signed by me       Furnished       Not Furnished

# Mandatory for single Account holders / Proprietary Accounts

### Payment Details

Currency \_\_\_\_\_

Amount (In figures) \_\_\_\_\_ (In words) \_\_\_\_\_

### Mode of Payment

Demand Draft/Cheque (enclosed) Number \_\_\_\_\_ Dated \_\_\_\_\_  
for \_\_\_\_\_  
Currency & Amount \_\_\_\_\_

# Cheques issued by the customer from his/her existing bank account and made payable to "Kotak Mahindra Bank Ltd. A/c" (Customer Name) will only be accepted.

Wire Transfer/Telegraphic Transfer Reference No. \_\_\_\_\_ Dated \_\_\_\_\_  
For \_\_\_\_\_  
Currency & Amount \_\_\_\_\_ From \_\_\_\_\_  
 Others (please specify) \_\_\_\_\_ (remitting Bank's name & address) \_\_\_\_\_

### Term Deposit Details

Currency \_\_\_\_\_

Amount (In figures) \_\_\_\_\_ (In words) \_\_\_\_\_

# Period : Months \_\_\_\_\_ Days \_\_\_\_\_

Maturity Instructions (In the absence of specific instructions, the Term Deposit will be automatically renewed at original terms at the rates prevailing at the time of renewal).

Re - Investment       Simple\*  
 Renew Principal and Interest       Renew  
 Repay Principal and Interest       Repay  
 Renew Principal and Pay Interest

\* Not available for FCNR Deposits

### Mode of Payment for Interest/Maturity Amount

Pay by Bankers Cheque to my mailing address on record  
 Transfer to my/our Savings/Current Accout No. \_\_\_\_\_ & \_\_\_\_\_  
 Outward Remittance

\* If Term Deposit tenure is less than six months please mention tenure in days only.

### 2-Way Sweep\*

2-Way Sweep is the facility of automatically moving out amounts above a pre-specified level from current / savings account to a Term Deposit (TD) Account. In case of insufficient balance in current / savings account the TD's will be broken and required amount transferred to the current/savings account.

2-Way Sweep required as per features of account chosen       Yes       No

\* Available for Rupee account (NRE+NRO)s Only.

### Sweep-In

Sweep-In is the facility of linking current/savings accounts with TDs. In case of insufficient balance the linked TDs will be broken prematurely and required amount is transferred to the savings/current account. This facility is allowed only if the order of names and mode of operation is same in the accounts and the TD's linked to it.

For sweep-in facility, please link Savings/Current Account Number \_\_\_\_\_ & \_\_\_\_\_

and Term Deposit Number(s) \_\_\_\_\_ & \_\_\_\_\_

### Introduction Details

Introduction to be provided by existing account holder or documents as per checklist

Introducer Name \_\_\_\_\_

Customer Relationship No. \_\_\_\_\_ Account No. \_\_\_\_\_ (Client ID in case of demat)

I confirm that I am an account holder of Kotak Mahindra Bank Ltd. for the past \_\_\_\_\_ months and personally know the applicant for more than \_\_\_\_\_ months and confirm his/her identity and address as stated above.

X Signature of the Introducer \_\_\_\_\_

Signature Verified by \_\_\_\_\_  
(Sign and Stamp)

### Credit Facilities (Only for Current Account)

I/We declare that I/we do not enjoy credit facilities with other bank(s).

I/We enjoy credit facility/have current accounts with other bank(s). (Please attach the details of such facilities separately as per format enclosed).

**Joint Applicant Details**  
(To be filled by 2nd/3rd Applicant Separately)

**Personal Details**

Name

(Title)  (First Name)  (Middle Name)  (Last Name)

Short Name  (upto 16 Characters only) # PAN

(This Name will appear on the Debit Card)

Date of Birth  D  D  M  M  Y  Y  Y

Gender  Male

Female

Marital Status  Single  Married

Nationality  Indian

Others \_\_\_\_\_

Religion :  Hindu  Muslim  Christian  Sikh  Zoroastrianism

Buddhism  Other Please specify \_\_\_\_\_

Caste :  General  OBC  SC  ST

Father's Name

Mother's Maiden Name

Status

Resident Indian  Non Resident Indian/PIO (for NRO Account only)

Spouse's Name

Passport Details

Passport No. \_\_\_\_\_

Date of Issue  D  D  M  M  Y  Y  Y

Place of Issue \_\_\_\_\_

Date of Expiry  D  D  M  M  Y  Y  Y

VISA Details

Type of VISA \_\_\_\_\_

Issued by  D  D  M  M  Y  Y  Y

Place of Issue \_\_\_\_\_

Date of Expiry  D  D  M  M  Y  Y  Y

Other Details

Education  Non Graduate  Graduate

Post Graduate

Professionally qualified  Other \_\_\_\_\_

Occupation  Business  Housewife

Self employed

Retired

Professional  Non-working

Student

Salaried

Profession  Finance  Art

Legal

Engineer  Management

Information Technologist

Monthly Household Income  < USD 2,500

USD 4,000 - USD 6,000

USD 2,500 - USD 4,000  USD 6,000 - USD 10,000

< USD 10,000

Contact Details

Indian Residence Address

Landmark   
 City  Pin Code   
 Country  State   
 Telephone No.  Fax No.

Overseas Residence Address

City  Pin Code   
 Country  State   
 Telephone No.  Fax No.

(with country code area, codes, followed by the telephone number)

Mobile No.

Preferred Mailing Address  Indian address  Overseas address

(Debit Card/PIN Password mailers will be sent to the preferred mailing address of each applicant. Account Statement / Cheque Book will be sent to preferred mailing address of the first applicant)

E-mail Address

(Required for e-mail Alerts and e-news << letters)

Channel Access Request

I wish to apply for access to the following channels

Phone Banking

Net Banking

Debit Card

Payment Gateway

Deposit Account(s)



Demat Account(s)



Investment Account(s)



Insurance



\* Access to Payment Gateway will give automatic access to Net Banking, Direct Pay, Online Shopping and all Gateway services that may be introduced by the Bank from time to time  
#Mandate in favour of Bank to be executed to avail transaction facility on Net Banking for Investment Account(s).

I/we hereby expressly consent and authorize the Bank to make telephone calls and send SMSs or / emails to inform me / us on any information or updates relating to the Bank's existing products / services or any new products/services. The said consent given is valid till such time I/we withdraw the same by giving the same in writing.

Introduction Details

Introduction to be provided by existing account holder or documents as per checklist

Introducer Name

Customer Relationship No.

Account No.

confirm that I am an account holder of Kotak Mahindra Bank Ltd. for the past \_\_\_\_\_ months and personally know the applicant for more than \_\_\_\_\_ months and confirm his/her identity and address as stated above.

X Signature of the Introducer   
Signature Verified   
(Sign and Stamp)

# As per NSDL Per NSDL PAN No. is necessary.

## Application for Portfolio Investment Scheme

We hereby appoint KOTAK MAHINDRA BANK, an authorized dealer, as a 'Designated Bank' (the nomenclature used in Regulations aforesaid) for the purpose of routing my / our transactions relating to purchase and sale of shares / convertible debentures under PIS, we hereby advise that we have read and understood the terms and conditions as specified under the Portfolio Investment Scheme (PIS) and hereby declare that we agree to comply with all statutory / regulatory requirements under the PIS from time to time.

We hereby agree:

- The facility is available only to customers maintaining their PIS account with designated branches of Kotak Mahindra Bank.
- And undertakes to deal with only one designated branch at any given point of time for PIS. All transactions under PIS will be routed through Kotak Mahindra Bank only.
- And undertakes that NRE / NRO PIS Savings account will not be used to route any other transactions besides transactions related to the purchase and sale of shares. All routine transactions, demat charges, dividend warrants etc will be routed through the normal NRE / NRO Savings account held with Kotak Mahindra Bank.
- And undertakes to submit the complete details of all shares held by me which were purchased from the Primary market as a non resident or from the primary / secondary market prior to becoming a non resident in the format as specified by Kotak Mahindra Bank.
- And undertakes to do only delivery based transactions and not indulge in speculative transaction.
- To place purchase orders only if Kotak Mahindra Bank can earmark sufficient balance covering the purchase consideration of securities and other applicable charges in client's Bank account.
- To report to and / or cause to be reported to Kotak Mahindra Bank all transactions done directly through stock brokers on the same day of execution by submission of the original broker contract note/s.
- And undertakes to send details to Kotak Mahindra Bank of all payments made to the stock broker on account of purchase of securities purchased in the format prescribed or may be prescribed by the Bank from time to time.
- Payments for shares/receipts from the broker on account of sale of shares will be made against the amounts specified on the bills and no adjustment of purchases against sale transactions will be done even if various sale and purchase transactions are done during the same period. No net off/set off of amount between sale/ purchase transactions will be permitted, cheques for gross amount will be presented to the Bank.
- To send to Kotak Mahindra Bank all payment instruments (Cheque/DD etc) received from a stock broker on account of sale of securities for crediting in appropriate account along with complete details and the bills.
- The purchase of equity shares/convertible debentures in each company with repatriation and non repatriation benefits shall not exceed 5% (or as prescribed by Reserve Bank of India from time to time) of the paid up capital of the company, subject to an overall ceiling of 10% (or as prescribed by Reserve Bank of India from time to time). All consequences of failure in such compliance, including any losses arising out of reversal of transactions shall be to our account.
- Kotak Mahindra Bank will recover its fees/charges applicable for PIS by the debit to the NRE/NRO PIS Savings account held.
- Kotak Mahindra Bank will deduct capital gains tax as applicable on each transaction and the sale proceeds net of tax will be credited to the designated account.
- And undertakes to submit the CA certificate and undertaking as per the formats specified under PIS in case we are arranging to pay the capital gains tax separately through our Chartered Accountant.
- Tax deducted at source by Kotak Mahindra Bank will not be on exchange rate adjustment.
- The sale made will be adjusted on First In First Out basis (FIFO) for the purpose of calculating capital gains.
- Kotak Mahindra Bank will not undertake any follow up for deliveries of any shares purchased by us.
- Kotak Mahindra Bank will not undertake monitoring and follow up of corporate actions associated with any holdings of the account holder.
- To ensure before placing/conveying SALE orders that they actually hold free shares (shares pending demat or locked/pledge are not free shares).
- Not to make any contract for sale either directly through a stock broker or through Kotak Mahindra Bank in respect of any securities, which the client has not taken delivery of.
- To accept the tax deduction made by Kotak Mahindra Bank as conclusive and binding on us.

I/We shall indemnify and hold harmless Kotak Mahindra Bank against any or/all losses, costs or claims which Kotak Mahindra Bank might incur/suffer as a result of my / our availing / using PIS.

I/We specifically agree to hold Kotak Mahindra Bank harmless and defend the bank from any and all costs, expenses and charges arising from or by reason of any claims by any third party with regard to infringement of PIS, and further agrees that Kotak Mahindra Bank shall not be liable for any loss, actual or perceived, caused directly or indirectly by equipment failure, communication line failure, system failure, internet failure, securities failure on the internet, unauthorized access or any other problem technological or otherwise, that might prevent the client from entering or the Bank from executing an order or other conditions beyond Bank's control.

### Application from Non-Resident Individuals of Indian Nationality or Origin for permission to purchase shares/ convertible debentures of Indian companies through stock exchange/s in India under Portfolio Investments Scheme (PIS).

#### Instructions

1. The application should be completed and submitted to the NRI Cell, Kotak Mahindra Bank, Mumbai or the designated branch.
- 2\*. For the purpose of the facility of investment in shares and securities, a person (not being a citizen of Pakistan or Bangladesh) shall be deemed to be of Indian Origin, if
  - (i) he, at any time, held an Indian passport or
  - (ii) he or either of his parents or any of his grand parents was a citizen of India by virtue of the Constitution of India or Citizenship Act, 1955 (57 of 1955). A spouse (not being a citizen of Pakistan or Bangladesh) of an Indian citizen or of a person of Indian Origin is also deemed to be a person of Indian Origin.

Particulars of the applicant	Applicant	Joint Applicant
1. (i) If the applicant is not a citizen of India the basis on which he/she Claims to be a person of 'Indian Original (instruction 2 *) (ii) Whether resident outside India permanently; if not, since when residing abroad. (iii) Occupation (employment, Business, vocation etc.) (iv) Relationships with Joint Holder		
2. Name and Address of the Kotak Mahindra Bank Branch in India through which the Applicant/s desires to purchase shares/ debentures.		
3. Sources of funds from which payment for shares/debentures to be purchased will be made <ol style="list-style-type: none"> <li>(i) By remittances from abroad (Y/N)</li> <li>(ii) From non-resident bank account in India               <ol style="list-style-type: none"> <li>(a) Nature of account viz., NRE/FCNR account</li> <li>(b) Account number</li> <li>(c) Name and address of the bank branch maintaining the account</li> </ol> </li> </ol>		
4. For investment on non repatriation basis Source of funds from which payment for shares/debentures to be purchased will be made <ol style="list-style-type: none"> <li>(i) By remittances from abroad (Y/N)</li> <li>(ii) From non-resident bank account in India               <ol style="list-style-type: none"> <li>(a) Nature of account viz., NRE/FCNR/NRO account</li> <li>(b) Account number</li> <li>(c) Name and address of the bank branch maintaining the account</li> </ol> </li> </ol>		
5. Whether the applicant already holds any Shares/ Convertible Debentures in Indian companies with/ without benefits of repatriation under the Portfolio Investments Scheme (PIS). If so, please attach a complete list of such Shares / Convertible Debentures indicating the name and address of the company, total number and face value of the shares/convertible debentures held along with the copy of such approval.		



## Declarations

### Bank Account

The particulars contained herein shall be valid for all accounts opened by me/us or to be opened by me/us hereafter either singly or with other(s) and/or by me/us in any representative capacity with the Bank unless informed to you otherwise. I/We have read and understood the Terms and Conditions governing the opening of an account with Kotak Mahindra Bank Ltd. (the Bank), and those relating to various Services including but not limited to (a) ATMs (b) Phone Banking (c) Debit Card (d) Net Banking (e) Payment Gateway (f) Mobile Banking (g) Alerts Service (h) Opening of an Investment Account. I/We understand that the Bank may at its absolute discretion, discontinue any of the Services completely or partially without any notice to me/us. I/We agree that the Bank may debit my account for service charges as applicable from time to time. I/We understand that investment products are not bank objects or other obligations of or guaranteed or insured by Kotak Mahindra Bank Ltd, or their affiliates. They are subject to risk and possible loss of principal. Past Performance is not indicative of future performance.

I/We hereby declare that I/we are Non-Resident Indian(s) or Person of Indian Origin. I/We understand that the above account will be opened on the basis of the statements/declarations made by me/us in this application as well as on the supportings to be submitted with the applications. I/We also agree that if any of the statements/declarations made is found to be not correct in material particulars and/or the relevant supporting documents/proof is not provided by me in one month's time, you are not bound to pay any interest on the deposit made by me/us. I/We confirm that the facility of standing instruction is not available on my or our pins account and I/we shall not give any such instructions to the Bank to execute the same. I/We agree that the account will be put into use for bonafide transactions and shall not violate any provisions of any Government/Exchange Control Regulation/RBI guidelines, any other regulation or law as may be applicable to my/our accounts and the Bank's Terms and Conditions. I/We agree to debit the required charges for issuing the pay order/demand draft to my/our NRE/NRO accounts.

I/We authorise the Bank to automatically renew the deposit on due date for an identical period (unless otherwise specifically instructed before due date). The earlier advice given to me will be treated as discharged advice on due date, I/we agree that no claim shall be made by me/us for any interest on the deposit(s) for any period after date(s) of maturity of the deposit(s). I/We agree to abide by the provisions of the Foreign Currency (Non-Resident) A/c. Non-Resident (External) Account Scheme. I/We understand that the interest applicable for the renewed period will be at the applicable ruling rates on the date of maturity and that the renewed advice will be made available on my/our presenting the duly discharged original advice on the maturity date or later for payment, I/We further understand that the renewal will be in accordance with the provisions of the Reserve Bank of India scheme in force at the time of renewal. I/We agree that if a premature withdrawal is permitted at my/our request the payment of interest on the deposit may be allowed in accordance with the prevailing stipulations laid down by Reserve Bank of India/Government of India and the Bank in this regard. I/We shall not make available to any person resident in India, foreign currency against reimbursement in Rupees or in any other manner in India. I/We would confirm that all debits to my/our accounts for the purpose of investment in India and credits representing sale proceeds of investments in India are covered either by general or special permission of Reserve Bank of India.

I/We hereby authorise issuance of ATM-Debit card and provision of Internet Banking service as per the form, I/We undertake to ratify and confirm all that the user(s) do(es) or cause(s) to do through ATM and Internet Banking channels. This authority shall continue to be in force until any one of us revokes by a notice in writing delivered to you. I/We understand that investment products are not bank objects or other obligations of or guaranteed or insured by Kotak Mahindra Bank Ltd. or their affiliates. They are subject to risk and possible loss of principal. Past Performance is not indicative of future performance.

I/We hereby undertake to intimate you my/our return to India for permanent residence immediately on arrival. I/We hereby declare the above information is true to the best of our knowledge. I/We shall advise the Bank immediately in the manner as agreed by me/us and in the form acceptable to the Bank, in case of any change in the above details and information given by me/us.

### Mandate for Investment Account

I/We hereby authorize you to transfer funds in any form and manner including but not limited to by way of debit/credit of my/our account(s), and issue pay-orders/demand drafts/ bankers cheques, from my/our account for the purchase, redemption, switch, receipt of dividends or any such acts for Mutual Fund unit in pursuance of the instruction given by me/ us or my Attorney from time to time. I/We hereby state that all the acts, deeds and things done by you based on such instruction shall be binding on me/us. This mandate by me/us is to be adhered to by the Bank in respect of all actions permitted by the RBI and/or relevant regulations as applicable from time to time.

### PINS Account

I/We solemnly declare that the particulars given above are true and correct to the best of my/our knowledge and belief and that I/we are citizen(s) of India/person(s) of Indian Origin.

I/We agree and undertake to ensure that my/our total holding of equity/preference shares/convertible debentures in any one Indian company that may be allowed to be purchased through stock exchange/s (including the equity/preference shares/convertible debentures already held, if any, in that company) with/without repatriation benefits shall, at no time, exceed five percent of the paid up-capital/paid-up preference capital/paid-up value of each series of convertible debentures of that company. I/We further declare and undertake that I/We have not appointed and shall not appoint any other bank/authorized dealer as a designated bank for the purpose of PINS, subject to the overall ceiling of 10 percent.

I/We agree not to engage in short selling and we shall take delivery of the shares purchased and make delivery of the shares sold. I/We shall not transfer shares etc. held my/our name by way of gift (except to my/our relatives as defined by Section 6 of the Companies Act, 1956 or to a Charitable Trust duly registered under the laws in India) or sale under private arrangement without prior approval of Reserve Bank of India.

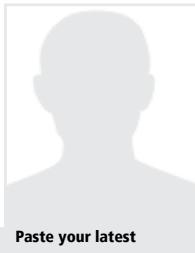
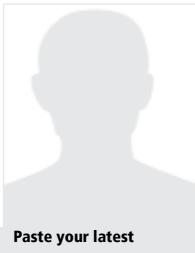
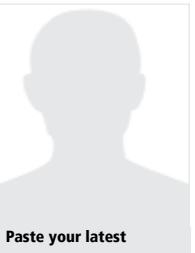
I/we agree that the shares etc acquired, under my/our instructions can be kept under safe custody with Kotak Mahindra Bank, or delivered my/our local representative, on my confirmation that these shares etc.. are not pledged for giving loan to a third party without obtaining prior permission from the Reserve Bank of India.

I/We undertake to inform the Bank of transactions executed by us either directly or through our representative on the same day as the transaction has been executed. I/We understand that any delay in reporting the transaction to the designated branch may result in a profit/loss due to the Reserve Bank of India's or Kotak Mahindra Bank's directive. I/We agree to incur the profit/loss while executing the said directive.

I/We hereby authorize the bank to debit my/our bank accounts for payment of PINS approval and account opening charges, purchase consideration including bank charges as prescribed or may be prescribed from time to time, brokerage or any other expenses in relation to maintain the abovesaid PINS account and in settlement of claims arising from purchase/sale of securities.

I/We agree and undertake that I/we will not at any time seek repatriation of the capital invested in respect of purchases of shares/debentures made on non-repatriation basis. This undertaking will also be binding on my/our heirs, executors, successors and assignors and they will not be entitled to seek repatriation of any capital so invested by me/us or any income earned thereon.

I/We further agree to abide by aforesaid terms & conditions in addition to terms & conditions already agreed to be adhered by me/us in the Application for PIS.

1 <sup>st</sup> applicant / Primary applicant	2 <sup>nd</sup> applicant	3 <sup>rd</sup> applicant
 <b>Paste your latest Photograph</b> <small>1<sup>st</sup> Holder</small>	 <b>Paste your latest Photograph</b> <small>2<sup>nd</sup> Holder</small>	 <b>Paste your latest Photograph</b> <small>3<sup>rd</sup> Holder</small>
 <small>1/27</small> <small>Signature of the Client / Guardian (In case of Minor)</small>	 <small>1/16</small> <small>Signature of the Client / Guardian (In case of Minor)</small>	 <small>1/16</small> <small>Signature of the Client / Guardian (In case of Minor)</small>

**points to take note -**

- Please sign in Black ink only,
- The Net Banking, Phone Banking and Payment Gateway access, if applied for, is applicable for all Deposit Accounts existing or to be opened in future.
- Net Banking and Phone Banking access, if applied for, is applicable T9 for all Investment Accounts existing or to be opened in future.
- Transaction rights on Direct Channel for Investment Accounts are subject to the customer executing granting Power of Attorney in favour of the Bank as required from time to time.
- Channel access for MF Investment (2-Way Sweep) is restricted to view or enquiry rights on Phone Banking and Net Banking.
- The channel access for Demat Accounts is restricted to view or enquiry rights and is subject to all the applicants of the Demat Account signing the declaration.
- All account existing or to be opened in future will be linked to the Debit Card/Payment Gateway. Customer to give specific instructions if he/she wishes to de-link any account(s).
- Payment Gateway/Direct Access facility is provided as per regulatory guidelines as applicable from time to time.
- The Mobile Banking Service will enable the Customer to receive customised messages through SMS over his/her mobile phone as chosen by the customer and informed to the Bank, with respect to events/transactions/information relating to his/her account(s).
- The Mobile No. and E-mail Address registered in this form will be used across all Kotak Mahindra Bank accounts held by the Customer and would be used for all future correspondence made by the bank.
- "Jointly held" Accounts would not be given transaction rights through Mobile Banking Services and Net Banking.
- In case of "Jointly held" accounts, signatures of all account holders are required
- All communications shall be sent at the address of the Sole/First Holder only.
- Thumb impressions and signatures other than English or Hindi or any other languages not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or Notary Public or a Special Executive Magistrate.
- Transaction statements will be sent on a monthly basis subject to a transaction having taken place and the holdings cum transaction statements on a quarterly basis will be sent to all account holders at their local/permanent address.
- Please paste your photograph in the space provided.
- Identity and Address proofs are required for additional holder(s).
- Strike off whichever is not applicable.

**For Bank Use Only**

	1st Applicant	2nd Applicant	3rd Applicant
CRN			
Flex Customer ID			

**Branch** \_\_\_\_\_**Account Number** \_\_\_\_\_**Account Sourcing Date (dd/mm/yy)** \_\_\_\_\_**Date Account opened** \_\_\_\_\_**Source code** \_\_\_\_\_**Created by** \_\_\_\_\_**Lead Generator code** \_\_\_\_\_**Mandate No.** \_\_\_\_\_**Lead Converter code.** \_\_\_\_\_**Category**  P  A  B  C**RM code** \_\_\_\_\_**Approved by** \_\_\_\_\_

I have clearly explained to the customer the advantage of nomination facility and in spite of the same he/she still does not want to nominate and he/she also refused to provide a specific letter to the effect that he/she does not want to make a nomination.

Employee Signature \_\_\_\_\_

Employee Code \_\_\_\_\_

**FORM DA 1**

(Separate Forms required for Multiple Account)

Nomination under Section 45-ZA of the Banking Regulation Act, 1949, and rule 2 (1) of the Banking Companies (Nomination) Rules, 1985, in respect of bank deposits.

I/We

Name(s) \_\_\_\_\_

Address(es) \_\_\_\_\_

nominate the following person to whom in the event of my/our/minor's death the amount of the deposit, particulars whereof are given below, may be returned by

(name and address of branch/office in which deposit is held)

**Deposit**

Nature of \_\_\_\_\_

Distinguishing No. 

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--	--	--	--

--	--	--	--	--	--	--

Additional details, if any \_\_\_\_\_

**Nominee**

Name \_\_\_\_\_

Address \_\_\_\_\_

Relationship with depositor, if any \_\_\_\_\_

Age \_\_\_\_\_ If nominee is a minor, date of birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

As the nominee is a minor on this date, I/we appoint Shri/Smt/Kum\*

Name \_\_\_\_\_

Address \_\_\_\_\_

Age \_\_\_\_\_

to receive the amount of the deposit on behalf of the nominee, in the event of my/our/minor's death during the minority of the nominee.

Date \_\_\_\_\_

Place \_\_\_\_\_

Signature(s) /Thumb Impression(s)\*\*

 27  
Depositor 2  
16  
Depositor 2  
16  
Depositor

Signature of First Witness\*\*\*



Signature of Second Witness\*\*\*



Name \_\_\_\_\_

Name \_\_\_\_\_

Address \_\_\_\_\_

Address \_\_\_\_\_

\* Strike out if nominee is not a minor.

\*\* Where deposit is made in the name of a minor, the variation of nomination should be signed by a person lawfully entitled to act on behalf of the minor.

\*\*\* Thumb impression(s) shall be attested by two witnesses and signature will be attested by one witness.

**FORM DA 1**

(Separate Forms required for Multiple Account)

Nomination under Section 45-ZA of the Banking Regulation Act, 1949, and rule 2 (1) of the Banking Companies (Nomination) Rules, 1985, in respect of bank deposits.

I/We

Name(s) \_\_\_\_\_

Address(es) \_\_\_\_\_

nominate the following person to whom in the event of my/our/minor's death the amount of the deposit, particulars whereof are given below, may be returned by

(name and address of branch/office in which deposit is held)

**Deposit**

Nature of \_\_\_\_\_

Distinguishing No. 

--	--	--	--

--	--	--	--

--	--	--	--	--	--	--

Additional details, if any \_\_\_\_\_

**Nominee**

Name \_\_\_\_\_

Address \_\_\_\_\_

Relationship with depositor, if any \_\_\_\_\_

Age \_\_\_\_\_ If nominee is a minor, date of birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

As the nominee is a minor on this date, I/we appoint Shri/Smt/Kum\*

Name \_\_\_\_\_

Address \_\_\_\_\_

Age \_\_\_\_\_

to receive the amount of the deposit on behalf of the nominee, in the event of my/our/minor's death during the minority of the nominee.

Date \_\_\_\_\_

Place \_\_\_\_\_

Signature(s) /Thumb Impression(s)\*\*

 27  
Depositor 2  
16  
Depositor 2  
16  
Depositor

Signature of First Witness\*\*\*



Signature of Second Witness\*\*\*



Name \_\_\_\_\_

Name \_\_\_\_\_

Address \_\_\_\_\_

Address \_\_\_\_\_

\* Strike out if nominee is not a minor.

\*\* Where deposit is made in the name of a minor, the variation of nomination should be signed by a person lawfully entitled to act on behalf of the minor.

\*\*\* Thumb impression(s) shall be attested by two witnesses and signature will be attested by one witness.


**Mandate Form**

1. Customer Relationship Form to be submitted for each Mandate Holder
2. Separate Mandate Form required for multiple accounts

Savings Account No.

Branch: \_\_\_\_\_

Account Holder's Name

I/We refer to my/our above mentioned account with your bank.

I/We hereby authorise you to honour instructions given for the above account by

Name: Mr./Ms.

Address : \_\_\_\_\_

Contact Nos: (O) \_\_\_\_\_

(R) \_\_\_\_\_

E-mail ID/ \_\_\_\_\_

I/We hereby authorise the mandate holder

- 1) To draw cheques on the said account
- 2) To deposit and / or discount cheques and other instruments in the said account and for this purpose to endorse on my/our behalf cheques, drafts, pay orders and other instruments payable to me/us.
- 3) To make deposits from balances available in the account in my/our names and to renew such deposits for such periods as may be given in writing by the mandate holder.
- 4) To certify balance confirmation statement and statement of accounts issued by the Bank in respect of the said account.
- 5) To give instructions in writing involving debits to the said account, transfers therefrom etc.

I/We hereby declare that as per Exchange Control guidelines issued by RBI

- 1) The mandate holder can exercise the authority conferred by this letter to withdrawals for local payments only, and to make investments in India where I/We hold general permission or have obtained specific permission from RBI.
- 2) The mandate does not permit the mandate holder to repatriate funds in foreign currency from my/our account(s) or to make gifts to residents on behalf of the account holder(s).

I/We hereby further declare that the above restrictions in the operation of the account have been made known to the mandate holder by me/us. I/We and the mandate holder are governed by the present Exchange Control guidelines and any changes brought therein from time to time. This authority shall continue in force until I/we expressly revoke it by a notice in writing delivered to you and I/we shall be responsible/liable to you for all acts of the mandate holder.

Yours faithfully,

Account Holder :

1 - Holder

2 - Holder

3 - Holder

Mandate Holder:

Mandate Holder

Attested By:

1 - Holder

2 - Holder

3 - Holder

Date \_\_\_\_\_

**Bank use only**

Branch \_\_\_\_\_

Input by \_\_\_\_\_

Authorised by \_\_\_\_\_

Account No. \_\_\_\_\_

Customer ID No. \_\_\_\_\_

Customer ID No. \_\_\_\_\_

Bank CIF ID \_\_\_\_\_

GL/SL Product Code \_\_\_\_\_

Mandate No. \_\_\_\_\_


**Mandate Form**

1. Customer Relationship Form to be submitted for each Mandate Holder
2. Separate Mandate Form required for multiple accounts

Savings Account No.

Branch:

Account Holder's Name

I/We refer to my/our above mentioned account with your bank.

I/We hereby authorise you to honour instructions given for the above account by

Name: Mr./Ms.

Address :

Contact Nos: (O)

(R)

E-mail ID/

I/We hereby authorise the mandate holder

- 1) To draw cheques on the said account
- 2) To deposit and / or discount cheques and other instruments in the said account and for this purpose to endorse on my/our behalf cheques, drafts, pay orders and other instruments payable to me/us.
- 3) To make deposits from balances available in the account in my/our names and to renew such deposits for such periods as may be given in writing by the mandate holder.
- 4) To certify balance confirmation statement and statement of accounts issued by the Bank in respect of the said account.
- 5) To give instructions in writing involving debits to the said account, transfers therefrom etc.

I/We hereby declare that as per Exchange Control guidelines issued by RBI

- 1) The mandate holder can exercise the authority conferred by this letter to withdrawals for local payments only, and to make investments in India where I/We hold general permission or have obtained specific permission from RBI.
- 2) The mandate does not permit the mandate holder to repatriate funds in foreign currency from my/our account(s) or to make gifts to residents on behalf of the account holder(s).

I/We hereby further declare that the above restrictions in the operation of the account have been made known to the mandate holder by me/us. I/We and the mandate holder are governed by the present Exchange Control guidelines and any changes brought therein from time to time. This authority shall continue in force until I/we expressly revoke it by a notice in writing delivered to you and I/we shall be responsible/liable to you for all acts of the mandate holder.

Yours faithfully,

Account Holder :

1 - Holder

2 - Holder

3 - Holder

Mandate Holder:

Attested By:

1 - Holder

2 - Holder

3 - Holder

Date

**Bank use only**

Branch

Input by

Authorised by

Account No.

Customer ID No.

Customer ID No.

Bank CIF ID

GL/GL Product Code

Mandate No.



## Merchant Navy Declaration Form

The Manager  
Kotak Mahindra Bank

Date: \_\_\_\_\_

Dear Sir/Madam,

Re: Declaration

I hereby confirm that I have just returned after completion of my contract with \_\_\_\_\_ (name of company) registered in \_\_\_\_\_ (address of the principals)

I am on a break for \_\_\_\_\_ days/months and will be joining on a new contract on/by \_\_\_\_\_ (date/timeframe). I request you to kindly open an NRE/FCNR account in my name on the basis of the documents submitted.

I also confirm that I will inform the bank in case I am unable to proceed on a new contract or choose not to go on a new contract, and have the non-resident accounts opened in my name redesignated to resident/RFC accounts (if eligible).

Yours Sincerely



Signature of applicant

### For Bank Use Only

Branch \_\_\_\_\_

Customer Relationship No \_\_\_\_\_

Customer sourcing date (dd/mm/yy) \_\_\_\_\_

Flex Id ) \_\_\_\_\_

Signature Verification ) \_\_\_\_\_

Created by \_\_\_\_\_

Authorised by \_\_\_\_\_

### Minor Declaration Form

(To be filled if any of the account holders are minor)

Branch \_\_\_\_\_

Account Number    (if available)

### Details of Minor

Name of the Minor \_\_\_\_\_

Customer Relationship Number  (if available)

Relationship with Guardian \_\_\_\_\_

### Details of Guardian

Name of the Guardian \_\_\_\_\_

Customer Relationship Number  (if available)

Nature of Guardianship  Nature

Legal (Please furnish copy of court order)

Source of funds  Own funds

Minor's funds

I hereby declare that I shall represent the said minor in all transactions connected with this account until the said minor attains majority. I declare that the account will be operated for the benefit of the minor, I shall indemnify the Bank against the claim on the account of the minor for any withdrawal transaction made by me in his/her account.



Signature of Guardian

Date \_\_\_\_\_

\*Minor with joint holders not allowed in Demat Accounts



# FAX INDEMNITY

To,  
Kotak Mahindra Bank Limited

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This **UNDERTAKING** is executed and/or deemed to be signed at the place and on the date mentioned in hereto by the party hereinafter referred to as "the Customer" (which expression shall, unless it be repugnant to the context or meaning thereof, be deemed to mean and include, when the "Customer" is-  
a) An Individual, his or her heirs, executors, administrators and permitted assigns;  
b) A Firm, the partner or partners for the time being of the said firm, the survivor or survivors of them and the heirs, executors and administrators of the last survivor, his/her/their permitted assigns;  
c) A Company, its successors and permitted assigns;  
d) A Hindu Undivided Family or a HUF firm, its coparceners;  
e) A Trust, and or an Association, corporate or incorporate, and includes its successors and permitted assigns and all its members and their respective heirs, executors, administrators and permitted assigns; of the One Part;  
in favour of Kotak Mahindra Bank Limited, a banking company incorporated under the Companies Act, 1956 having its Registered Office at 36-38A, Nariman Bhavan, Nariman Point, Mumbai and a Branch office inter-alia in India at Mumbai 400 00... In India (hereinafter called "the Bank", which expression shall unless it be repugnant to the context or meaning thereof be deemed to mean and include its successors in title and assigns) of the Other Part; at \_\_\_\_\_ on \_\_\_\_\_ Day of \_\_\_\_\_ as follows

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WHEREAS:

A. The Customer maintains \_\_\_\_\_ Account/s ("the said Account/s") in the Customer's name with the bank at its, Account/s in the branch in India;  
B. In its day to day business, the Customer is required to give urgent instructions to the Bank for operation of the said Account/s including to pay moneys therefrom or otherwise to the debit or credit of the said Account/s; and for which purpose the Customer has requested the Bank to allow the Customer to give instructions in connection with the same by facsimile transmission (Fax Submission) or by Electronic Mail (e-mail). Each such direction or instruction intimated or purported to be intimated to the Bank by facsimile/ e-mail as aforesaid is hereinafter referred to as "Instruction".

AND IN CONSIDERATION OF THE ABOVE, the Customer hereby/\* hereby jointly and severally irrevocably agrees, confirms and undertakes ("in case of individual customers) with the Bank and these presents witnesseth as follows:

1. The Customer hereby requests and authorises the Bank to from time to time (at the Bank's discretion), rely upon and act or omit to act in accordance with any directions, instructions and/or other communication which may from time to be or purport to be given in connection with or in relation to the said Account/s by facsimile/e-mail by the Customer/all the Customers jointly/any one or either or survivor of the Customers) or the person(s) authorised by the Customer to act on the Customer's behalf (" Authorised Persons").
2. The Customer acknowledges that:
  - a) sending information by facsimile/e-mail is not a secure means of sending information;
  - b) the Customer is aware of the risks involved in sending facsimile Instructions/ e-mail, including the risk that facsimile/e-mail Instruction may:
    - be fraudulently or mistakenly written, altered or sent; and
    - not be received in whole or in part by the intended recipient;
  - c) the request to the Bank to accept and act on facsimile/e-mail Instructions is for the customer's convenience and benefit.
3. The Customer declares and confirms that the Customer has for the Customer's convenience and after being fully aware of, and having duly considered, the risks involved, (which risks shall be borne fully by the Customer) requested and authorised the Bank to rely upon and act on Instructions which may from time to time be given by facsimile/e-mail as mentioned above. The Customer further declares and confirms that the Customer is aware that the Bank is agreeing to act on the basis of Instructions given by facsimile only by reason of, and relying upon, the Customer executing this writing and agreeing, confirming, declaring and indemnifying the Bank as done by this writing and the Bank would not have done so in the absence thereof. The provisions of this writing shall apply to any and all matters, communications, directions and instructions whatsoever in connection with the said Accounts.
4. The Bank may (but shall not be obliged to) require that any Instruction should contain or be accompanied by such identifying code or test as the Bank may from time to time specify and the Customer shall be responsible for any improper use of such code or test.
5. The Bank may (but shall not be obliged to) act as aforesaid without inquiry as to the identity or authority of the Customer or the Authorised Person(s) as the case may be, giving or purporting to give any Instruction or as to the authenticity of any facsimile /e-mail message and may treat the same as fully authorised by and binding on the Customer regardless of the circumstances prevailing at the time of the Instruction and notwithstanding any error, misunderstanding, lack of clarity, fraud, forgery, or lack of, authority in relation thereto, and without requiring any confirmation provided that the concerned person acting on behalf of the Bank believed the Instruction to be genuine at the time it was acted upon.
6. Notwithstanding anything contained herein or elsewhere, the Bank shall not be bound to act in accordance with the whole or any part of the Instructions or directions contained in any Instruction and may in its sole discretion and exclusive determination, and without being required to give any notice or assign reason, decline or omit to act pursuant to any Instruction, or defer acting in accordance with any Instruction, and the same shall be at the Customer's risk and the Bank shall not be liable for the consequences of any such refusal or omission to act or deferment of action.
7. In consideration of the Bank acting and/or agreeing to act pursuant to the terms of this writing and/or any Instructions as provided in this writing, the Customer hereby agrees to indemnify the Bank and keep the Bank at all times indemnified from and against all actions, suits, proceedings, costs, claims, demands, charges, expenses, losses and liabilities howsoever arising in consequence of or in any way related to the Bank having

acted or omitted to act in accordance with or pursuant to any Instruction or the terms of this writing.

8. In addition the Customer shall indemnify the Bank at all times and keep the Bank indemnified and save harmless against any and all claims, losses, damages, costs, liabilities and expenses incurred, suffered or paid by the Bank or required to be incurred, suffered or paid by the Bank and also against all demands, actions, suits, proceedings made, filed, instituted against the Bank, in connection with or arising out of or relating to-
  - i) any Instruction received by/given to the Bank which it believes in good faith to be such an Instruction by Facsimile/e-mail Submission; and/or
  - ii) any unauthorised or fraudulent Instruction to the Bank; and/or
  - iii) any unauthorised dissemination, copying, use or disclosure of any Premium Service Banking Reports which are dispatched by the Bank to the Customer by facsimile/e-mail;
9. Upon receipt by the Bank, each Instruction shall constitute and (irrespective of whether or not it is in fact initiated or transmitted by the Customer and/or by the Authorised Person(s), shall be deemed to conclusively constitute the Customer's mandate to the Bank to act or omit to act in accordance with the directions and Instructions contained therein notwithstanding that such Instruction may have been authorised or transmitted in error or fraudulently or may otherwise not have been authorised by or on behalf of the Customer or the Authorised Person(s) or may have been altered, misunderstood or distorted in any manner in the course of communication.
10. a. The Customer is aware that the Bank may be receiving facsimile Instructions on thermal paper and, in such case, by reason of the chemical composition of thermal paper, the writing/Instruction on the facsimile/facsimile paper may disappear after a short period. The Customer confirms that the same shall be at the Customer's risk and the Bank shall not be obliged to take any precaution by way of making and preserving a photocopy of such facsimile or otherwise. Without prejudice to the above, if the Bank makes any photocopy of such facsimile, the Customer agrees that such photocopy shall be conclusive and binding upon the Customer notwithstanding that the same is a photocopy.
- b. The Customer is aware that the Bank may be receiving e-mail Instructions, the writing/Instruction on the e-mail may disappear due to computer failure/ malfunction and/or any reasons. The Customer confirms that the same shall be at the Customer's risk and the Bank shall not be obliged to take any precaution by way of making/taking printouts of e-mail and preserving a hard copy of such e-mail or otherwise. Without prejudice to the above, if the Bank makes of any hard copy/takes printout of such e-mail, the Customer agrees that such hard copy/print-out shall be conclusive and binding upon the Customer notwithstanding that the same is a printout/hard copy of the e-mail.
11. On the immediate next day after the day on which any Instructions are transmitted to the Bank by e-mail/facsimile, the Customer shall deliver to the Bank, a hard (and in original) copy of the Instruction/s in writing signed by the Customer or the Authorised Person(s) (as the case may be). Each hard copy shall be marked with and bear the wordings "CONFIRMATION OF FAX / E-MAIL" and may be applicable, in bold letters on the top thereof. PROVIDED THAT the Bank may, but shall not be obliged to, await receipt of the hard copy prior to taking any action in connection with any Instructions; PROVIDED FURTHER AND ALWAYS THAT the absence of or omission to deliver such writing shall not be in any manner construed to mean that such Instructions were not given by the Customer and/or the Authorised Person(s) and shall not in any manner prejudice the Bank's rights under this writing.
12. The Bank may at any time without assigning any reason and without any notice withdraw the facility of giving Instructions by facsimile/e-mail altogether or in respect of any such said Account(s) and/or related banking operations or matters. However, any such termination shall not affect anything done or any rights or liability accrued or incurred prior to the termination and all the above indemnities given by the Customer to the Bank hereunder shall survive any such termination.
13. If the Customer desires to discontinue giving Instructions by facsimile/e-mail as provided in this writing, the Customer shall deliver to the Bank a prior written notice of 7 (seven) days in this behalf. Such notice of discontinuation shall bind the Customer forthwith upon the notice being given by the Customer. However, such notice of discontinuation shall not be effective as against the Bank until the Bank has acknowledged in writing to the Customer that it has acted on such notice PROVIDED that such discontinuation shall not release the Customer from the terms of this writing in respect of any action taken or omitted to be taken by the Bank in accordance with the Instructions or directions contained in any Instruction or the terms of this writing prior to such acknowledgement by the Bank.
14. The Bank shall not be under any obligations at any time to maintain any special facility for the receipt of any Instructions by way of Facsimile/e-mail or to ensure the continued operations or availability of any such facsimile/e-mail or equipment.
15. The Customer acknowledges and confirms that it is aware of the nature of internet/ intranet telecommunications services, that the Facsimile/e-mail transmissions may not be received properly and may be read or be known to any unauthorised persons. The Customer agrees to assume and bear all the risks involved in respect of such errors and misunderstanding and the Bank shall not be responsible in any manner for the same or breach of confidentiality thereto and shall also not be liable for any claims, loss, damage, cost or expense and liability arising therefrom.
16. The protection available to the Bank under this writing shall be in addition to any protection available to the Bank under any other provision of law or agreement to which the Bank may be entitled. This is also without prejudice to the Bank's other rights, privileges, powers and remedies in law and the Bank may delay enforcing its rights without at any time losing them and waiver of a right by the Bank hereunder available to it by law shall not be deemed to be a waiver of any other rights or of the same right at another time.
17. The Customer hereby specifically agrees and confirms that any matter or issue arising hereunder shall be governed by and construed exclusively in accordance with the Indian laws and shall be, at the sole discretion of the Bank, subject to the jurisdiction of the courts in India.

Dated \_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_ at \_\_\_\_\_  
 SIGNED AND DELIVERED BY the Customer who has executed this document on the date specified above.

'Mode of execution of document shall be according to the nature of the Customer.

27  
Signature of applicant



To,  
**Kotak Mahindra Bank Limited**

Dated: \_\_\_\_\_

Dear Sirs,

**1) Change of correspondence Address**

Kindly send all the deliverable for my PINS account to the address of Kotak Securities Limited, 27 BKC, C 27, G Block, Bandra Kurla Complex, Bandra (E) Mumbai 400 051. who is the POA holder for the said account.

**2) Registration of Power of Attorney and Linking of my account(s) with Trading Account**

I/We have issued a Power of Attorney dated in favour of Kotak Securities Limited (KSL) granting authorities to them, for doing the acts, deeds and things as stated therein respectively through their authorized officials, more particularly for operating my/our selected account(s) as under for facilitating my/our securities transactions through KSL

Bank Account No.:   DP Client ID

(Required only if you are linking your existing Demat Account with KMBL to your trading account with KSL).

A copy of the said Power of Attorney is enclosed for your records. You are requested to register the said Power of Attorney for operation of the aforesaid account(s).

Further, I/we hereby request you to link my said Bank and/or Demat account with trading account maintained by me/us with Kotak Securities Ltd bearing trading Client ID.  I/We confirm that I/we am/are aware that on linking my Demat Account with Trading Account, all the unused Delivery Instruction Slips stand cancelled.

I authorize the Bank to execute instructions received by me/us in the form and manner prescribed by the Bank from time to time including but not limited to Net Banking, Payment Gateway, Phone Banking, Electronic mails. Facsimile and further Bank is entitled to transfer funds in any form and manner including but not limited to by way of debit/credit of my/our account(s), and issue pay-orders/demand drafts/bankers cheques, from my/our account to honour all my/our instructions given by me/us directly or by KSL by virtue of the powers conferred to it by me/us against my/our Trading Account maintained with it and all actions by you shall be permitted by RBI and/or relevant regulators as applicable from time to time.

**3) Debit Authorisation**

- I/We authorise you to debit my/our Saving/Current account No.  towards Trading Account opening charges Rs.  and margin money Rs.  Pay to Kotak Securities Ltd.
- I/We authorise you to debit my/our savings/current account No.  towards PINS approval charges (inclusive of service tax) and credit my PINS account No.  for annual AMC charges recovery.
- I/We authorise you to debit my/our savings/current account No.  towards PINS approval and account opening charges.

I/We hereby authorize Kotak Securities Ltd to obtain my/our Bank account from Kotak Mahindra Bank Ltd bank account linked with Kotak Securities Limited on a periodic basis for the purpose of updating my/our financial details and I/We have no objection to Kotak Mahindra Bank Ltd for sharing my/our Bank account statement with Kotak Securities Limited.  Yes  No

Thanking You

Yours faithfully,

X \_\_\_\_\_

Name of the sole / First Holder

X \_\_\_\_\_

Name of the Second Holder

X \_\_\_\_\_

Name of Third Holder

Encl: Copy of Power of Attorney



## Declaration Cum Undertaking

Initials of  
1st, 2nd  
& 3rd  
Holder  
required

To,  
Kotak Mahindra Bank Ltd.

I \_\_\_\_\_ Individual/karta of \_\_\_\_\_ residing at \_\_\_\_\_ declare that:

1. My residential status under the Income Tax Act., 1961 for the Financial Year \_\_\_\_\_ is 'Non-resident' and shall continue to be otherwise informed. I undertake to inform Kotak Mahindra Bank Ltd (Kotak), immediately upon any change of my residential status.
2. My Permanent Account Number (PAN) allotted under Income Tax Act., 1961 is \_\_\_\_\_
3. I am tax resident of \_\_\_\_\_ (Country) and shall continue to be so unless otherwise informed by me in writing. My Tax Identification No [corresponding to Permanent Account Number (PAN)] is \_\_\_\_\_ in \_\_\_\_\_ (Country). The following proof of my tax residency is attached herewith.
  - a. Copy of tax residential certificate issued by the tax/competent authority of country of residence. AND/OR
  - b. Copy of Tax Identification number certificate issued by the tax/competent authority of country of resident. AND/OR
  - c. Copy of Accountant's/tax attorney's certificate duly certifying the country of my/our tax residence. AND/OR
  - d. Copy of my/our latest tax returns/forms filed in the said country of my/our residence.
4. The Place of assessment of my world income is \_\_\_\_\_ (Country).
5. I am the beneficial owner of the funds which are lying credited in my Portfolio Investment Scheme (PINS) bank account No. \_\_\_\_\_ and consequently the beneficial owner of the investments made from that account.
6. The shares/securities are held/will be held by me as investment and not as any business asset and that I am not dealing or trading in them.
7. I do not have any permanent establishment in India.
8. I hereby authorise you to pay Income tax on my behalf in respect of the gains made by me on such investment transactions at the applicable enacted rates.
9. In case it is found that the tax actually payable has either not been paid or has not been paid in full, I undertake to pay the said amount of tax along with interest found due in accordance with the provision of the Income-tax Act, 1961.
10. Further, it is hereby declared that Kotak is not acting as an agent on my/our behalf and the services rendered by Kotak are principal to principal basis and it shall not be deemed to create any fiduciary or agency relationship between me/us and Kotak. Further, it is not intended to confer upon third party any rights or remedies.
11. I undertake (if called upon by the tax authorities of India) to submit the requisite documents etc. for enabling the said Authorities to determine the nature and amount of income from the remittance made from my abovesaid PINS bank account, as well as documents required for determining my liabilities under the provisions of Income Tax Act, 1961.
12. I hereby agree to indemnify and keep indemnified M/s. KOTAK MAHINDRA BANK LTD saved and harmless against all/any claims, loss, damages, prosecution made or suffered, against/by the Bank due to non/lower payment of tax on the basis of this declaration. If the Bank is required to pay the said tax or any interest/penalty, I agree to reimburse the same and the liability in this regard will be borne by me.
13. I am a person resident outside India as per the provisions of Foreign Exchange Management Act (FEMA) and the statements and information given above are true and correct and no relevant information has been concealed.
14. This document is subject to the laws of India and jurisdiction of the Courts of Mumbai.

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1 - Holder

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16

2 - Holder

6  
16

3 - Holder

Date: \_\_\_\_\_

Place: \_\_\_\_\_

### **Witness 1 (Customers Side)**

Name : \_\_\_\_\_

Address : \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

### **Witness 2 (Bank Side)**

Name : \_\_\_\_\_

Address : \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_



**Signature Required**

202320

## **SELF DECLARATION**

Dated : 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

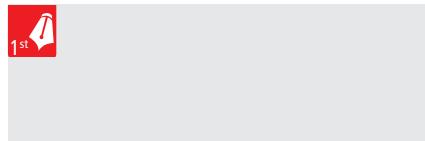
To,  
Kotak Mahindra Bank Ltd.,  
Address

I Mr./Mrs./Ms. \_\_\_\_\_, state and declare that my name has been misspell as \_\_\_\_\_ in \_\_\_\_\_

I desire to open bank account with you under the name \_\_\_\_\_, although my name is \_\_\_\_\_ however the same is incorrectly mentioned as \_\_\_\_\_ in the \_\_\_\_\_

I hereby agree and confirm that what is stated above is true and correct information. I hereby agree to indemnify and keep Kotak Securities Limited indemnified at all times from and against all costs, charges, damages, penalties (including reasonable attorneys fees) suffered and/or incurred by Kotak Mahindra Bank Ltd., for any act done or omitted to be done based on the above declaration.

### **Client Name & Signature**



**ADD**



Ver.11/19/20/07/1020

Signature

Initials

Note

Tick

Capital Letters



## NAME DECLARATION FORM

Dated : 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

To,

Kotak Mahindra Bank Ltd.

Branch: \_\_\_\_\_

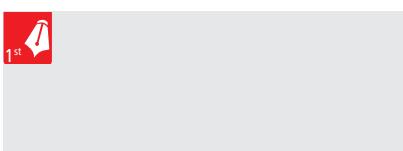
I Mr./Mrs./Ms. \_\_\_\_\_, state and declare that I am also known as \_\_\_\_\_, and many of my official records bear my name as \_\_\_\_\_.

I say that I desire to open a savings / current account with you under the name and style of \_\_\_\_\_ although the documents submitted by me are bearing my name as \_\_\_\_\_.

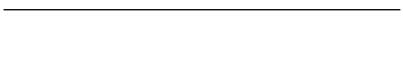
I request you therefore to open the account with your bank on my aforesaid representation as per the form duly filled in by me and accept the documents furnished by me in support thereof. I agree to abide by all the terms & conditions of the bank as are applicable for the opening and operation of the said account.

I state that without prejudice to the Banks other right in law or under the term & condition or otherwise, I shall be liable to pay damages and compensation to the Bank, which may be incurred or suffered by the bank upon the bank opening as requested by me relying on my aforesaid representation.

### Client Name & Signature



### ADD



**DUAL SIGNATURE DECLARATION**Dated : 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

To,

The Manager

Kotak Mahindra Bank Ltd.  
.....  
Branch

Dear Sir,

**New Account**

I Mr./Mrs./Ms. \_\_\_\_\_ have submitted my \_\_\_\_\_ (document) as Signature proof for opening a Savings / Current account at your branch.

However the above referred signature on the \_\_\_\_\_ (document) is my old signature and is not the same as my present signature. I have affixed my present signature being \_\_\_\_\_ in the Account Opening Form. Request you to consider my signature as on the account opening form as my present signature.

I don't have any document with my present signature. Hence I have enclosed the affidavit in lieu of the signature proof document.

**Existing Customer**

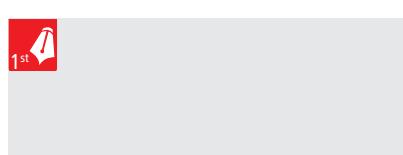
I have a Savings / Current account No. \_\_\_\_\_ with your \_\_\_\_\_ branch. Due to efflux of time my signature has changed from \_\_\_\_\_ and my present signature is as follows  
\_\_\_\_\_ I would like to change my present signature as affixed above with the Bank records.

- I have submitted \_\_\_\_\_ (document) for the new signature.
- I don't have any document with my present signature. Hence I have enclosed the affidavit in lieu of the signature proof document.

Kindly do the needful and process the same.

Thanking You,

Yours Faithfully,

**Client Name & Signature**

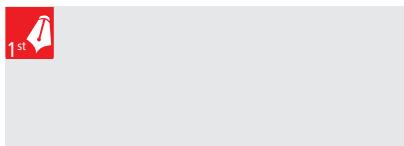


## AFFIDAVIT (NEW CUSTOMER)

I, \_\_\_\_\_, son/daughter/wife of Shri. \_\_\_\_\_ indian inhabitant aged about \_\_\_\_\_ years, residing at -, \_\_\_\_\_ do hereby solemnly state and affirm as under:

- 1) I am desirous of opening an Account with Kotak Mahindra Bank Ltd, \_\_\_\_\_ Branch.
- 2) I state that my signature appearing on the \_\_\_\_\_ (Document submitted for signature proof) is not the same as the signature on the Account Opening Form.
- 3) I state that I do not possess any other signature proof document with my present signature \_\_\_\_\_
- 4) I further state that the signature affixed by me hereunder is my signature and I state that the said signature may be considered as my signature proof in lieu of signature proof document.

### Client Name & Signature



I hereby state that, whatever stated above is true to the best of my knowledge and belief and I believe the same to be true.

Solemnly affirmed at \_\_\_\_\_ )  
 on this \_\_\_\_\_ day of \_\_\_\_\_ )  
 \_\_\_\_\_ )

Deponent

Before me

Notary

**FEE SCHEDULE FOR PORTFOLIO INVESTMENT SCHEME  
NRI CUSTOMERS (for offline Clients only)**

I/We choose to be charged as

**OPTION 1**

SR NO	FEES HEAD	FEES*
1	PINS approval issuance fee (one time fee)	Rs. 1,500
2	Annual account maintenance fee	Rs. 1,000
3	Transaction Fees (per contract - Purchase and sale separate contract notes)	Rs. 100
4	CA certificate for Deduction of Long term/Short term Capital Gains tax	Rs.100 per transaction Rs.300* per certificate#.

**OPTION 2**

1. Flat annual fee of INR 20,000 (Rupees twenty thousand only). This amount will be levied in four installment of Rs. 5,000 each quarter.
2. CA Certificate charges: Rs.100 per transaction with a maximum of Rs.300 per certificate\*.

\* Plus 12.36% Service Tax applicable (including education cess and secondary and higher secondary cess). CA certificate charge is inclusive of service tax and cess and is subject to revision from time to time.

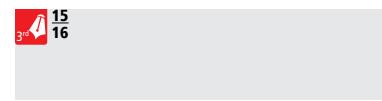
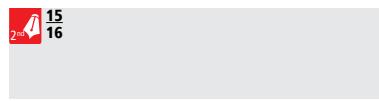
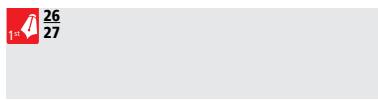
# One Certificate is issued per day per trading ID.

**TERMS & CONDITIONS**

1. Charges / service standards are subject to revision at the Bank's sole discretion and as informed by circulars sent by ordinary post.
2. Account Maintenance fees are non refundable and levied on a calendar year basis.
3. Fees for issuing approvals and annual account maintenance fee will be debited annually, while the fees for processing the sale proceeds will be debited each time the transaction is processed.
4. All fees will be debited to the designated Savings Account.
5. The above charges are independent of the demat account charges and the brokerage.
6. The above transaction charges and CA certificate charges will also be levied in case of
  - a) Processing of sale proceeds purchased through Primary market (customer not registered for PINS).
  - b) Processing of sale proceeds purchased through Primary market as a resident / non-resident / inherited (by a customer registered for PINS)
  - c) Processing of sale proceeds of ESOP shares.
7. Flat annual fee will be levied for entire year from the date of account opening in the case of Option 2, even if the account is closed before the completion of the year. The balance amount payable, to be recovered at the time of account closure.

I/ We have accepted and agree to be bound by the above schedule of charges and terms & conditions.

**Signature**



(To be signed by all the account holders and submitted along with the PINS Application Form)

**INDEX - Individual Account Opening Form****Contents****Page Nos.**

<b>Mandatory</b>	<b>Section I :</b> <i>KRA / Aadhaar based A/c Opening</i>	
	<b>PART A</b> : <i>Document captures the basic information about the constituent and an instruction/checklist.</i>	1-6
	<b>PART B</b> : <i>Document captures the additional information about the constituent relevant to Trading &amp; Demat account.</i>	
	<b>PART C</b> : <i>Document captures nomination details for Trading &amp; Demat account.</i>	
	<b>Tariff sheet and Charges for Other Services</b> <i>Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)</i>	7
	<b>Schedule of Charges</b> <i>Detailed Charges for Demat</i>	8
	<b>Voluntary Additional Terms &amp; Conditions</b> <i>Additional Terms &amp; Conditions for availing trading services with Kotak Securities</i>	19-22 Suppl.
	<b>Power of Attorney</b> <i>Document for authorising Kotak Securities to complete trading and settlement related obligations.</i>	11-12
	<b>FATCA/CRS Declaration</b> <i>Declaration by customer to comply with Foreign Account Tax Compliance Act (FATCA) and/or Common Reporting Standards (CRS) requirements</i>	9-10
	<b>Authorisation Letter</b> <i>Annexure 1, Annexure 2</i>	RM copy
<b>Voluntary</b>	<b>Self-declaration for KYC documents in foreign language for NRI Clients</b> <i>Document to be executed by NRI clients if KYC documents are in foreign language</i>	RM copy
	<b>Declaration confirming non-solicitation of client</b> <i>Document for non-solicitation for opening account of NRI other than from Gulf countries</i>	13
	<b>Risk profiler</b> <i>Document Describing suitability questionnaire to help in closing right investment product</i>	RM copy
	<b>Draft Formats</b> <i>1) Banker Verification Letter to establish the signature proof of the client, 2) Self Declaration, 3) Name Affidavit</i>	RM copy

TM\CM: Kotak Securities Limited • SEBI Registration No: INZ000200137(Member of NSE, BSE, MSE, MCX and NCDEX) Research Analyst INH000000586, NSDL/CDSL:IN-DP-NSDL-23-97, AMFI ARN:0164, PMS INP000000258, CIN: U99999MH1994PLC134051, Compliance Officer Name: Manoj Agarwal; Phone No. +91 (022) 42858484; E-mail ID: ks.compliance@kotak.com CEO Name: Jaideep Hansraj; Phone No. +91 (022) 42858301 & E-mail ID: ceo.ks@kotak.com For any grievance/dispute please contact Kotak Securities Ltd. at E-mail ID- service.securities@kotak.com or Toll Free No. 1800 209 9191 / 1860 266 9191

Exchange	NSE	BSE	MSE	In case not satisfied with the response, please contact the concerned exchange(s) / Depository at:
Email ID	ignse@nse.co.in	is@bseindia.com	investorcomplaints@mse.com	
Phone No	18002660058	(022) 2272 8097	(022) – 61129000 Ext. 9028	

Depository	NSDL	CDSL
Email ID	relations@nsdl.co.in	complaints@cdslindia.com
Phone No	(022) 2499 4200	(022) 2272 3333

You can also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575.

**INSTRUCTION LIST FOR FILLING KYC FORM - Important Points :**

1. Self attested copy of PAN card and all other documents are mandatory for all clients and persons authorized to deal in securities on behalf of company/firm/others.
2. Copies of all documents submitted by the client should be verified with original by Kotak Securities employee/Registered Authorised Person. 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.  
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).
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/PIO Card/OCI Card and overseas address proof is mandatory.
8. Under Interoperability, Kotak Securities has selected NSE Clearing Limited (NCL) as its designated clearing corporation for Cash and equity derivatives segment transactions and Indian Clearing Corporation Limited (ICCL) as its designated clearing corporation for currency derivatives segment transactions.
9. "This document is voluntary. Voluntary means that the document is not prescribed by Regulators, however the same is required by KSL for offering the seamless trading platform and various other facilities in connection to all your accounts and dealings with KSL. If you do not wish to avail the services of KSL, you need not execute such documents"
10. "Reference to checklist for account opening" : DP : NSDL Circular No. NSDL/PI/2004/1622 dated September 7,2004 pursuant to SEBI Circular No. MRD/Dop/Dep/Cir-29/2004 dated August 24, 2004 ([Link](https://www.sebi.gov.in/legal/circulars/aug-2004-proof-of-identity-and-proof-of-address-for-opening-a-beneficiary-owner-account-for-non-body-corporates_9688.html))  
Trading : SEBI Circular No - CIR/MIRSD/16/2011 dated August 22, 2011. ([Link](https://www.sebi.gov.in/legal/circulars/aug-2011/simplification-and-rationalization-of-trading-account-opening-process_20483.html))



## CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

**Important Instructions**

- A) Fields marked with '\*' are mandatory fields.
- B) Tick '✓' wherever applicable.
- C) Please fill the form in English and in BLOCK letters.
- D) Please fill the date in DD-MM-YYYY format.
- E) For particular section update tick(✓) in the box section number and strike off the sections not required to be updated.

- F) Please read section wise detailed guideliness/ instruction at the end.
- G) KYC number of applicant is mandatory for update application.
- H) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode.
- I) In case you submit deemed Officially Valid Document (OVD) for proof of address as your Officially Valid Document (OVD) does not contain updated address then you are required to submit OVD or their equivalent E-document within a period of three months, failing which we may suspend your account.

**A Clarification / Guidelines on filling 'Personal Details' section**

- 1 Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 One the following is mandatory : Mother's name, Spouse's name, Father's name.

**B Clarification / Guidelines on filling 'Current Address details' section**

- 1 In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
- 2 PoA to be submitted only if the submitted PoA does not have current address or address as per PoA is invalid or not in force.
- 3 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 4 In Section 2, one of I,II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.
- 5 In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.
- 6 List of documents for 'Deemed Proof of Address':

**Description**

- 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.
- 7 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- 8 "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.

**C Clarification / Guidelines on filling 'Contact details' section**

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add '0' in the beginning of Mobile number.

**D Clarification / Guidelines on filling 'Related Person details' section**

- 1 Provide KYC number of related person, if available.

**E Clarification on Minor**

- 1 Guardian details are optional for minors above 10 years of age for opening of bank account only
- 2 However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

**Please follow the below Legends**

KRA	AADHAR
-----	--------

Information not required to be filled by the clients who are KRA complied / or have provided consent for authenticating with Aadhar.

KRA	AADHAR	NON KRA & NON AADHAR
-----	--------	----------------------

Information required to be filled by all clients including KRA complied, Client opting for Aadhar based A/c Opening & Non KRA & Non Aadhar clients

**ICONS FOR ILLUSTRATION**

Signature



Initials

Client Signature  
(Full Signature)

Note



Client's Witness Signature



Tick



Capital Letters


**Section I\* - KRA/Aadhar Based Account Opening - First Holder**

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

Please read section wise detailed guidelines / instructions mentioned at the beginning.

**I a\* - KRA/ Aadhar Based Account Opening**
**KRA** 
**AADHAR** 
**NON KRA & NON AADHAR** 
**K**
**A**

 1) Are you a KYC-KRA complied client  Yes  No

 2) Do you wish to provide consent for authenticating with Aadhar based system for account opening:  Yes  No (Currently not applicable)

If Yes, I understand that I have alternatives against Aadhaar. I further understand that upon Aadhar authentication/sharing the share code my photo/kyc/demographic details shall be extracted/converted in readable format for the purpose of opening the accounts with Kotak securities Ltd and be forwarded to all Regulators including KRA's and CKYCR.

"यदि इसका जवाब हाँ है - मैं समझता हूँ कि मेरे पास आधार के अंतरिक्ष अन्य विकल्प भी हैं, मैं ये भी समझता हूँ कि आधार जांच और शेयर कोड साझा करने पर मेरी फोटो/KYC/डेमोग्राफिक डीटेल को उपयोग किया जाएगा और पठनीय कार्ड में बदलकर उसका उपयोग कोटक सिक्योरिटीज के साथ अकाउंट खोलने के लिए किया जाएगा और उसे सभी रेगुलेटर्स (KRA,CKYCR) को भेजा सकता है।

 3) Please provide PAN details     

If answer to questions No. 1 is "NO" please skip section I b, I c & complete the section highlighted (✓) as 'Non KRA & Non Aadhar'

If answer to questions No. 1 is "YES", then complete the details upto section I c on the same page & proceed to applicable section on next page

**I b - Declaration**
**KRA** 
**AADHAR** 
**NON KRA & NON AADHAR** 

This section is "Not Applicable" for customers who are Non-KRA complied or have not provided consent for authenticating with UIDAI system.

(Please tick whichever is applicable)

I hereby confirm that my details appearing on KRA/UIDAI have been shared. I further confirm that there are no changes in the same including my Address /Email id/Mobile Number. **OR**

I hereby confirm that my details appearing on KRA/UIDAI have been shared. I hereby confirm that my Address/Email id/Mobile Number\*\* as appearing on the same have undergone change(s) and I have filled up the updated details below:

**I c - Contact Details**
**KRA** 
**AADHAR** 
**NON KRA & NON AADHAR** 

This section is "Not Applicable" for customers who are Non-KRA complied or have not provided consent for authenticating with UIDAI system.

**Particulars**
**Existing details as per KRA System**
**Updated details**

(In case of changes in existing details, else please mention NA)

**Email Id**
**Mobile No.:**
**New Residence /Permanent Address**
 Same as KRA

 Same as UIDAI

 Updated Address mentioned below

**PROOF OF ADDRESS**

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

 A-Passport No. 

Expiry Date

D D M M Y Y Y Y

 B-VoterID Card 
 C-Driving Licence 

Expiry Date

D D M M Y Y Y Y

 D-NREGA Job Card 
 E-National Population Register Letter 
 F-Proof of Possession of Aadhaar/ VID (Virtual ID) 

 / 
 E-KYC Authentication 
 Offline verification of Aadhaar 
**Address:** Line1\* 

 Line 2 

 Line 3 

 Landmark (If any) 

 City /Town /Village\* 

 District\* 

 Pin Code\* 

 State/U.T\* 

 Country\* 
**New Correspondence Address**
 Same as UIDAI

 Same as Residence/permanent

 Updated Address

 Same as KRA address mentioned above

**NEW CORRESPONDENCE / CURRENT ADDRESS**

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

 A-Passport No. 

Expiry Date

D D M M Y Y Y Y

 B-VoterID Card 
 C-Driving Licence 

Expiry Date

D D M M Y Y Y Y

 D-NREGA Job Card 
 E-National Population Register Letter 
 F-Proof of Possession of Aadhaar/ VID (Virtual ID) 

 / 
 E-KYC Authentication 
 Offline verification of Aadhaar 
 Deemed Proof of Address - Document Type 
**Address:** Line1\* 

 Line 2 

 Line 3 

 Landmark (If any) 

 City /Town /Village\* 

 District\* 

 Pin Code\* 

 State/U.T\* 

 Country\* 
**Client Signature (1<sup>st</sup> Holder)**


\*\*Strike of whichever is not applicable

 NRE  NRO -  NRE & NRO BOTH  Tick

Kotak Securities Ltd.

## CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual - First Holder

Please fill the form in English and in BLOCK Letters. | Please read section wise detailed guidelines / instructions mentioned at the beginning.

## 1. PERSONAL DETAILS (Please refer instruction A)

 KRA  AADHAR  NON KRA & NON AADHAR 

Name\*(Same as ID proof)

Prefix

First Name

Middle Name

Last Name

Maiden Name (if any\*)

Prefix

First Name

Middle Name

Last Name

Father/Spouse Name\*

Prefix

First Name

Middle Name

Last Name

Mother Name\*

Prefix

First Name

Middle Name

Last Name

Nationality\*

Date of Birth\*  /  /  Y  Y  YGender\*  M-Male  F-Female  T- TransgenderMarital Status\*  Married  Unmarried

Residential Status\*

 Non-Resident Foreign NationalPHOTOGRAPH  
NOT APPLICABLE  
FOR UIDAI CLIENTSPAN Card 

## 2. PROOF OF IDENTITY AND ADDRESS (Please refer instruction B)

 KRA  AADHAR  NON KRA & NON AADHAR 

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

 A-Passport No. B-Voter ID Card C-Driving Licence D-NREGA Job Card E-National Population Register Letter F-Proof of Possession of Aadhaar/ VID (Virtual ID) E-KYC AuthenticationPassport Expiry Date  D  D /  M  M /  Y  Y  YDriving Licence Expiry Date  D  D /  M  M /  Y  Y  Y Offline verification of Aadhaar Address: Line1\* Line 2 Line 3 Landmark (If any) 

City /Town /Village\*

District\* Pin Code\* State/U.T\* Country\* 

## 3. CURRENT ADDRESS DETAILS (Please refer instruction B)

 KRA  AADHAR  NON KRA & NON AADHAR 

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

 Same as above mentioned address (In such cases address details as below need not be provided)Passport Expiry Date  D  D /  M  M /  Y  Y  YDriving Licence Expiry Date  D  D /  M  M /  Y  Y  Y Offline verification of Aadhaar Address: Line1\* Line 2 Line 3 Landmark (If any) 

City /Town /Village\*

District\* Pin Code\* State/U.T\* Country\* 

## 4. CONTACT DETAILS (Please refer instruction C)

 KRA  AADHAR  NON KRA & NON AADHAR 

(All communications will be sent on provided Mobile no. / Email-ID)

This section is "Not Applicable" for customers who are KRA complied or have provided consent for authenticating with UIDAI system.

Tel.(Res.)  9  1 -  Mobile  9  1 - Tel.(Off.)  9  1 -  Fax  9  1 S T D - E-mail ID. 

## 5. REMARKS (If any)

 KRA  AADHAR  NON KRA & NON AADHAR 

## 6. APPLICANT DECLARATION

 KRA  AADHAR  NON KRA & NON AADHAR 

- 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 Client Signature (1<sup>st</sup> Holder)

## For Office Use Only

 KRA  AADHAR  NON KRA & NON AADHAR 

## Application Type\*

 New  Update

(Mandatory for KYC update request)

## KYC Number

(To be filled by financial institution)

 Normal  Minor Aadhaar OTP Based E-KYC (in non-face to face mode) Certified Copies E-KYC data received from UIDAI Data received from Offline verification  Digital KYC Process Equivalent e-document Video Based KYC

## Check list to be verified by acquiring sales staff

 Details Applicable for All Holders

## Details

Documents verified with original / Client Interviewed By / In-Person Verification done by

Name of the Employee / Authorised person

Employee Code / SEBI Reg. No. / AP Reg. No.

Name &amp; Address of Branch/ Franchisee/ Service Center

Designation of the Employee

Date and Place of verification

Signature 

## Name of Institution

## Code of Institution

Kotak Securities Ltd.

NSE Code - 08081

BSE Code - 673

MSE Code - 1024

MCX - 56285

NCDEX - 1262

## Stamp of Institution

**PART B : Trading & Demat Account related details**  **NRE**  Tick

**Account Type**  NRI-Repatriable  NRI-Non Repatriable  Promoter  Qualified Foreign Investor  
 Foreign National  Margin  Others (Please specify)

**Nature of A/C**  Offline Trading  Internet Trading **Additional Facilities**  Mobile Trading

 Tick

PI Chq leaf  
 Chq leaf with Pass-book copy

**BANK ACCOUNT DETAILS** \*Please map the bank account to be opened vide aforesaid Application No. to this Trading Account.  
 Application No. 202320 / Account No. \_\_\_\_\_

**Account Type :**  Saving  Current  NRE  NRO  FPI  Others

**Nature of Account :**  Single  Joint

Bank Name \_\_\_\_\_ / Branch Address \_\_\_\_\_

Pin Code \_\_\_\_\_ MICR NO \_\_\_\_\_ IFSC Code \_\_\_\_\_

Joint Account Holders (if any) 1 \_\_\_\_\_ 2 \_\_\_\_\_

**PINS BANK ACCOUNT DETAILS (for NRI)****Account Number****Customer Relationship No.**

Bank Name \_\_\_\_\_

Branch Address \_\_\_\_\_

Pin Code \_\_\_\_\_ MICR NO \_\_\_\_\_ IFSC Code \_\_\_\_\_

**RBI Reference No.****RBI Approval Date :**

--	--	--	--	--	--	--	--	--	--	--	--

**DEPOSITORY ACCOUNT DETAILS** (through which transactions will be routed) :  New DP  Existing DP

Beneficiary ID/Application No. 202320 \* Please map the DP account to be opened vide aforesaid Application No. to this Trading Account  
 (Application No is accepted only if the Demat A/c is opened with Kotak Securities)

**Depository Participant Name :**

**Depository Name :**  NSDL  CDSL **DP ID** \_\_\_\_\_

Ensure proof is provided for all DPs

**Beneficiary Name :**

Additional DP details : (For more, provide details on a separate sheet in the format given above)	DP ID	Client ID	DP Name	Depository Name

**PART B : Trading & Demat Account related details**  **NRO**  Tick

**Account Type**  NRI-Repatriable  NRI-Non Repatriable  Promoter  Qualified Foreign Investor  
 Foreign National  Margin  Others (Please specify)

**Nature of A/C**  Offline Trading  Internet Trading **Additional Facilities**  Mobile Trading

 Tick

PI Chq leaf  
 Chq leaf with Pass-book copy

**BANK ACCOUNT DETAILS** \*Please map the bank account to be opened vide aforesaid Application No. to this Trading Account.  
 Application No. 202320 / Account No. \_\_\_\_\_

**Account Type :**  Saving  Current  NRE  NRO  FPI  Others

**Nature of Account :**  Single  Joint

Bank Name \_\_\_\_\_ / Branch Address \_\_\_\_\_

Pin Code \_\_\_\_\_ MICR NO \_\_\_\_\_ IFSC Code \_\_\_\_\_

Joint Account Holders (if any) 1 \_\_\_\_\_ 2 \_\_\_\_\_

**PINS BANK ACCOUNT DETAILS (for NRI)****Account Number****Customer Relationship No.**

Bank Name \_\_\_\_\_

Branch Address \_\_\_\_\_

Pin Code \_\_\_\_\_ MICR NO \_\_\_\_\_ IFSC Code \_\_\_\_\_

**RBI Reference No.****RBI Approval Date :**

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

**DEPOSITORY ACCOUNT DETAILS** (through which transactions will be routed) :  New DP  Existing DP  
 Beneficiary ID/Application No. 202320 \* Please map the DP account to be opened vide aforesaid Application No. to this Trading Account  
 (Application No is accepted only if the Demat A/c is opened with Kotak Securities)

**Depository Participant Name :**

**Depository Name :**  NSDL  CDSL **DP ID** \_\_\_\_\_

Ensure proof is provided for all DPs

**Beneficiary Name :**

Additional DP details : (For more, provide details on a separate sheet in the format given above)	DP ID	Client ID	DP Name	Depository Name

**Declaration in lieu of PAN No. (U/s 139 Rule 114B):**

I do not have PAN as I am not liable to obtain the same as per any provisions of the Income Tax Act [Please refer checklist for details](#)

**Trading Preference:**

Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client. If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.

Exchange	Segment
<input checked="" type="checkbox"/> CASH	<input checked="" type="checkbox"/> NSE
	<input checked="" type="checkbox"/> BSE

**OTHER DETAILS:**  Gross Annual Income Details (please specify) :

Income Range per annum	<input type="checkbox"/> Below ₹ 1 lac <input type="checkbox"/> ₹ 1-5 lac <input type="checkbox"/> ₹ 5 -10 lac <input type="checkbox"/> ₹ 10 - 25 lac <input type="checkbox"/> More than ₹ 25 lac OR
Networth	Amount (₹) _____ As on (date) <span style="border: 1px solid black; padding: 2px;">D D M M Y Y Y Y</span> (Networth should not be older than 1 year)
Occupation (please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Retired <input type="checkbox"/> Agriculturist <input type="checkbox"/> Professional <input type="checkbox"/> Student <input type="checkbox"/> House wife <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others
GSTN	<b>Brief Details</b>
<input type="checkbox"/> Please tick, if applicable <input type="checkbox"/> Politically Exposed Person *(PEP) <input type="checkbox"/> Related to a Politically Exposed Person *(PEP) Any other information	

**Past Actions**

Details of any action/proceedings initiated/pending/taken by SEBI/Stock exchange/any other authority against the applicant/constituent in charge of dealing in securities during the last three years. Yes  No  If yes, please provide details

**Dealings through Authorised person and Other Stock Brokers**

- If client is dealing through the Authorised person, provide the following details:

Authorized person name \_\_\_\_\_ SEBI Registration number \_\_\_\_\_

Registered Office Address \_\_\_\_\_

Phone \_\_\_\_\_ Fax \_\_\_\_\_ - Website \_\_\_\_\_

- Whether dealing with any other Stock Broker/Authorised person (if case dealing with multiple Stock Brokers/Authorised person, provide details of all)

Name of Stock Broker \_\_\_\_\_ Name of Authorised person, if any \_\_\_\_\_

Client Code \_\_\_\_\_ Exchange \_\_\_\_\_

- Details of disputes/dues pending from/to such Stock Broker/Authorised person:  Yes  No If yes, \_\_\_\_\_

**Additional Details**

- Whether you are an Investment Advisor registered with SEBI

Yes  No If yes, please provide SEBI Registration no. \_\_\_\_\_

- Whether you are an employee / authorised representative/clerk in the employment of another trading member?

Yes  No (If yes, attach the NOC of other trading member.)

- Preference for receiving Standard documents\*  Electronic  Physical (In case your preference is 'Physical' then please ensure that you receive the copy of Standard documents from sales person before account opening.)

\*Standard documents includes Rights & Obligations document, Risk Disclosure document & Guidance Note.

(Ref: SEBI Cir. No. : CIR/MIRSD/64/2016 dated July12, 2016)

- Whether you are Member/ Authorised person/ Remisier of any Exchange:  Yes  No If yes, please provide SEBI Reg. Number \_\_\_\_\_

- Whether you wish to receive Physical Contract Note or Electronic Contract Note (ECN)

Physical  Electronic Specify your Email Id \_\_\_\_\_ Same as mentioned in Part A

\*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.

**INFORMATION ABOUT INVESTMENT EXPERIENCE**

**Investment and Trading Experience and Preferences**  No prior experience No. of Years in Stock \_\_\_\_\_  
No. of Years in Derivatives \_\_\_\_\_ No. of Years in any other investment \_\_\_\_\_

**Educational Qualifications**  Non Graduate  Graduate  Post Graduate  
 Professionally qualified  Others \_\_\_\_\_

**Name of Employer (If Employed)** \_\_\_\_\_

**Name of Establishment (if self employed / business / professional /others)** \_\_\_\_\_ Nature of Business \_\_\_\_\_

**Office Address :** \_\_\_\_\_ City \_\_\_\_\_ Pin \_\_\_\_\_

**Introducer**  **Self Introduced**  **Introduced by others** (If introduced by others please fill up below details) **Details of Introducer**

Name	Surname	Name	Middle Name
Address			
Telephone No. of Introducer			
Status of Introducer	Employee/Authorised person/Remisier/Authorised Person/ Existing client/Others, Please specify		

**Introducer's Signature**



**Client Signature**



Place:

Date:



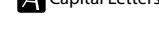
X Initials



! Note



✓ Tick



A Capital Letters

**PART C DEMAT ACCOUNT OPENING FORM** NRE  NRO -  NRE & NRO BOTH  Tick

(I hereby authorise Kotak Securities Ltd. to use below details for opening Demat account)

Client-ID (To be filled by Participant)

**Standing Instructions**I/We authorise you to receive credits automatically into my/our account :  Yes  NoAccount to be operated through Power of Attorney (PoA) :  Yes  No**SMS Alert facility** Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form : Sole/First Holder  Yes  No**Option for issuance of DIS booklet alongwith account opening**

(to be filled by persons seeking to open a depository account who have given Power of Attorney to operate the depository account to a stock broker/Participant/Portfolio Manager and do not intend to open a Basic Services Demat Account)

**Option for Issue of DIS booklet (please tick any one)****Option 1**  I/We do not wish to receive the DIS booklet with account opening. However, the DIS booklet should be issued to me/us on my/our request at any later date.**Option 2**  I/We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening.**Option to avail BSDA**

(Applicable only to individual accounts)

 I/We wish to open regular demat account. I/We wish to open BSDA account\*

\*BSDA - Basic Services Demat Account is a facility with limited services for individuals eligible as per the SEBI guidelines. For more details, please refer SEBI circular No. CIR/MRD/DP/22/2012 dated August 27, 2012 and SEBI Circular No. CIR/MRD/DP/20/2015 dated December 11, 2015.

**Guardian Details (where sole holder is a minor)**

For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)

<b>A Guardian Name</b>	First Name	Middle Name	Last Name
<b>PAN</b>			
<b>Relationship of guardian with minor</b>			

**Declaration**

- 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.
- I/We confirm having received and read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
- I/We further confirm having received/read and understood the contents of the 'Rights and Obligations' document(s), of stock broker/Authorised person & clients and Rights And Obligations of beneficial owner and depository participant, 'Risk Disclosure Document' 'Additional risk disclosure documents' for options and 'Guidance Note'. 'Rights And Obligations of the Clearing Member/Participant and its client in relation to the Securities Lending And Borrowing Scheme', 'Additional risk/obligation/liability statement in case of trading through wireless technology/ Smart Order Routing/Mutual Funds on Exchange platform', 'FAQ on Anti Money laundering (AML)' and nomination. 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 Company's designated website [www.kotaksecurities.com](http://www.kotaksecurities.com) at <http://kotaksecurities.com/ksweb/Important-Policies>.
- The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts.
- I/We understand that I can submit either of the following document copy as an address proof for registration.
  - Voter ID Card
  - Driving License
  - Passport
  - Aadhaar Card
  - Utility Bills etc.
 I willingly give my consent to Kotak Securities Limited to accept copy of my Aadhaar card and proceed with the referred application.
- The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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 non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations.

**DISCLOSURE AND NOTING OF MEMBER'S PRO ACCOUNT TRADING**

I/We confirm that I/we have made note that Kotak Securities Ltd. trades in its OWN/PRO account in National Stock Exchange of India Limited (NSE), Bombay Stock Exchange Limited (BSE) and Metropolitan Stock Exchange of India Limited (MSE).

Note: You can view the copies of your executed client registration form (KYC) and other documents on [www.kotaksecurities.com](http://www.kotaksecurities.com) from 5.00 pm to 8.00 am post login to your account or you will receive the copies of Client Registration Form and other documents executed by you along with welcome letter, as per your preference. It is your responsibility to check, scrutinize the said forms and documents and intimate discrepancies, if any to KSL immediately.**Client Signature (1st Holder)****Place:****PART D: Common Nomination form for Trading & Demat Account** Please tick (✓) any one I/We wish to make a nomination. [As per NSDL Form 10 details in case of demat account]  Trading  DematNumber of Nominees : 1.  2.  3.  I/We do not wish to make a nomination. [Strike off the nomination details below]  
(Nomination can be made upto three nominees in demat account however for trading account only single person mentioned in Details of 1st nominee will be considered)

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all securities held in the Depository by me / us in the said beneficiary owner account in the event of my / our death.

**Signature Required****202320  
Nomination Details****MANDATORY**

Name (Mr./Ms.) \_\_\_\_\_

Share of Nominee-100% (in trading a/c)  Equally   
 Share of each Nominee(s) (in demat a/c)  if not equally, please specify percentage \_\_\_\_\_ %

Any odd lot after division shall be transferred to the first nominee mentioned in the form  
 Relationship with the Applicant (If Any) \_\_\_\_\_

Address \_\_\_\_\_ PIN Code \_\_\_\_\_

Mobile/Telephone \_\_\_\_\_

Email ID \_\_\_\_\_

**Nominee Identification Details**

- Photograph & Signature
- PAN  VID
- Saving Bank A/c No.
- Proof of Identity
- Demat Ac ID

(Please tick any 1 of the below &amp; provide details of the same)

**Below details should be filled only if nominee(s) is a minor:**

Date of Birth \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

Name of Guardian (Mr./Ms.) \_\_\_\_\_

Address of Guardian \_\_\_\_\_

PIN Code \_\_\_\_\_

Mobile/Telephone of Guardian \_\_\_\_\_

Email ID of Guardian \_\_\_\_\_

Relationship of Guardian with nominee \_\_\_\_\_

**Guardian Identification Details**

- Photograph & Signature
- PAN  VID
- Saving Bank A/c No.
- Proof of Identity
- Demat Ac ID

**Client Signature (1st Holder)**

Name of the Witness	Address	Signature of witness

**Notes :**

- 1) The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form. 2) A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner. 3) The Nominee(s) shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time. 4) Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities. 5) Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir. 6) The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form. 7) On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s). 8) Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees. 9) On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees. 10) Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Instruction List. 11) Savings bank account details shall only be considered if the account is maintained with the same participant. 12) DP ID and client ID shall be provided where demat details is required to be provided. 13) All communication shall be sent at the address of the Sole/First holder only. 14) Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate. 15) Strike off whichever is not applicable.

**FOR OFFICE USE ONLY****UCC Code allotted to the Client:**

Client ID: \_\_\_\_\_

**Declaration from Employee / Authorised person**

Declaration: "I hereby declare that I have met the client personally and verified the person with the photo provided in account opening form (In person verification) and have verified all the proofs with original (OSV). I am aware of Civil and Criminal liability that may devolve upon me (irrespective of whether I remain in employment or not) as per law and Company policies, in the event of false declaration to this effect."

I/We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document(s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.



Date \_\_\_\_\_

Date \_\_\_\_\_

Date \_\_\_\_\_

**Employee / Authorised Person Name & Signature****Signature of the Authorised Signatory****Seal/ Stamp of the stock broker**

X Initials



A Capital Letters

## Schedule of Charges for Non-Resident



**>Please fill the brokerage rates in the below table.**

CASH SEGMENT	Brokerage Rate		Minimum / Lot Value	
	First Leg	Second Leg	First Leg	Second Leg
Delivery			N.A.	N.A.
Square off				

Other Charges# 0.02%

**Note:** 1. To be filled up only if opting for flat brokerage, for Scheme wise / Product wise brokerage, please sign the brokerage scheme document attached with form.

### **SCHEDULE OF CHARGES - Trading Account**

Sr. No.	Account Head	Rate
1	Trading Account Opening Charges - KSec.	₹ 1,000/-

\*Applicable from the second year onwards.

Minimum brokerage of Rs. 50/- shall be charged on every executed order in cash segment, subject to ceiling of 2.5% of contract value.

#In case of option contracts, other charges will be charged on transaction value i.e. (Strike Price plus Premium)\*Quantity.

### Charges for other Services

Nature of charge	Internet trading client (online)	Non Internet trading client (offline)
Auction Charges	Actuals or ₹ 25 per auction whichever is higher	
Cheque Bounce Charges	₹ 350 + Bank Charges	₹ 500 + Bank Charges
Research call on SMS		As per subscription on web
Password Printing and Dispatch Charges (Per Request)	₹ 25	Not Applicable
Call & Trade Charges per Call (First 20 calls per month are Free of Cost)	₹ 20	Not Applicable
Product Change Charges	₹ 500*	Not Applicable
Contract Notes:		
Contract note in digital form	Nil	Nil
Duplicate Hard Copy Contract Note dispatch on client request (one dispatch in a Month)	₹ 49	₹ 49
Digital Copy (Email Copy) for Current Financial Year	Free	Free
Digital Copy (Email Copy) for Previous One Financial Year	Free	Free
Digital copy (Email Copy) for prior to Previous One Financial Year	₹ 99 / Month	₹ 99 / Month
Interest on debit balance - Standard rate per annum	24%	24%
Inter - settlement charges	0.04% of the transaction value or ₹ 31.50 whichever is higher	0.0085% per day for the security value.
CDSL Pool account penalty shall be recovered from client on actual basis for ISIN not active with NSDL		
Any Statement Request:		
Hard copy - Any Year	₹ 99 / Per Statement / Per year	
Soft Copy /Email Copy for Current Financial Year	Free	
Soft Copy for Previous Financial Year	Free	
Soft Copy for prior to Previous one Financial Year	₹ 99 / Per Statement / Per year	

\*Subject to the product opted

#### Terms & Conditions:

- For Fixed Brokerage:** Minimum brokerage for Cash Delivery: \_\_\_\_\_ (per share) or Minimum brokerage of Rs.21 per executed order will be charged subject to ceiling of 2.5% of contract value.
- For Customized Brokerage:** Minimum brokerage for Cash Delivery: \_\_\_\_\_ (per share) or Minimum brokerage of Rs. \_\_\_\_\_ per executed order will be charged subject to ceiling of 2.5% of contract value.

#### Common Terms & Condition for above Plan:

- Other Charges will be applicable on transaction value in the following segment ie Cash: 0.02% or as updated on website from time to time, Please refer website for updated other charges details.
- STT, GST and all other applicable statutory taxes will be charged as per current applicable rate.
- Other charges represents a consolidated charge towards providing various value-added services such as Trade Confirmation SMS, electronic account access, portfolio tracker, access to research reports and market news SMS. Any increase in the other charges will be done with advance notice of 15 days to the client.
- Charges for other services will be applicable as given in the account opening form or as updated on website from time to time.

**Note:** Above are standard rates applicable. Kotak Securities Limited reserves right to modify charges at any time. Further, some products have different charge structure.

Please go to respective product link for charges applicable for the same.

**Client Signature (1st Holder)**

**Signature Required**

202320

**SCHEDULE OF CHARGES** - w.e.f. 1st April 2019 Schedule A (DP rate code RN)**VOLUNTARY**

Sr. No.	Account Head	Rate	Minimum Payable
1.	Dematerialisation	₹ 50/- per request and ₹ 3/- per Certificate	-
2.	Rematerialisation	₹ 10/- for 100 securities (shares, bonds, mutual fund units etc).	₹ 15/-
3.	Regular (Non- BSDA Account) Market / Off-Market Transactions (Sell)	0.04% of the value of securities (Plus NSDL Charges)	₹ 27/- (Plus NSDL charges as applicable)
	BSDA Account (For Individual Accounts only) Market / Off-Market Transactions (Sell)	0.06% of the value of securities (Plus NSDL Charges)	₹ 44.50/- (Plus NSDL Charges)
4.	Regular Account Maintenance Charges	Resident ₹ 65 p.m. for upto 10 debit transactions ₹ 50 p.m. for 11 to 30 debit transactions ₹ 35 p.m. for more than 30 debit transactions NRI - ₹ 75 p.m.	-
5.	Pledge Charges	0.05% of the value of securities	₹ 30/-
6.	Invocations of Pledge	0.04% of the value of securities	₹ 30/-
7.	Pledge Charges (For margin purpose) a. Request b. Invocation c. Release (Un-pledge) d. Re-Pledge	₹ 30 per ISIN ₹ 30 per ISIN ₹ 10 per ISIN FREE	- - - -
8.	Charges for client master change (Applicable for Address, Email, Mobile and Bank Updation)	₹ 49/- per modification request	-
9.	DIS Re - Issuance	₹ 99/- per DIS Booklet	-
10.	Charges for CAS	₹ 3/- per month	-

**Notes:** • There are no charges payable at the time of opening the account. All other charges will be billed on a monthly basis.

- In case of delays in the payment of charges, the demat account can be frozen for all operations till such time all dues are cleared.
- All market instructions for transfer must be received latest by 4.00 p.m. on the previous working day prior to the pay in day as per SEBI Guidelines. All off market instructions for transfer must be received at least 24 hours before the execution date. Late instructions would be accepted at the account holder's sole risk and responsibility.
- Charges are subject to revision at the company's sole discretion subject to prior intimation to the clients or on revision in Depository charges.
- Any service not quoted above will be charged separately.
- Value of transaction will be in accordance with rates provided by the Depository or actual transaction value, whichever is higher.
- STT, GST and all other applicable statutory taxes will be charged as per current applicable rate.
- Quarterly statements of transaction may not be sent to the clients, if there is no transactions and no securities balance in the account. Account Maintenance Charges will not be levied in such cases.
- In accordance with the SEBI circulars (Ref # SEBI Circular No. CIR/MRD/DP/22/2012 dated August 27, 2012 and SEBI Circular No. CIR/MRD/DP/20/2015 dated December 11, 2015), DP's were advised to convert all such eligible demat accounts into BSDA unless such Beneficial Owners (BOs) specifically opt to continue to avail the facility of a regular demat account. For availing BSDA facility, the individual shall have only one BSDA in his/her name across all depositories. In case the BSDA account holder converts such account into Non-BSDA (regular account) account or the account holder ceases to meet the eligibility criteria for BSDA account, the charges applicable to Non-BSDA (regular account) shall be levied.
- For BSDA account holder, (for other than Debt securities) the Account Maintenance Charges (AMC) structure shall be on a slab basis; if the value of holdings  
(a) Upto ₹ 50,000 there will be NIL AMC and (b) For Value of holding from Rs. 50,001 to Rs. 2,00,000 AMC will be upto Rs.100 per annum.
- For BSDA account holder (for Debt securities), the Account Maintenance Charges (AMC) structure shall be on a slab basis; if the value of holdings  
(a) Upto Rs. 1,00,000 there will be NIL AMC and (b) For Value of holding from Rs. 1,00,001 to Rs. 2,00,000 AMC will be upto Rs.100 per annum.
- For demat accounts having NIL transactions during the year, statement of holding will be sent only once in a year w.e.f.1st October 2012
- As per NSDL's circular dated August 30, 2013, NSDL will levy ₹ 500/- as Annual Maintenance Charges for Corporate Accounts, effective 1st October, 2013.

NSDL Charges would be levied to the respective account as regulatory charge and will be in addition to the DP charges levied by Kotak Securities Limited as per the schedule of charges.

**Name & Sign of 1st Holder**

I/We have read and understood the "Schedule of Charges"

prescribed above and agree to abide by the same.



**Mode of Receiving Statement of Account [Tick any one]**  Physical Form  Electronic Form (Read note below and ensure that email id is provided in KYC application form)

**NOTES:**

1. For receiving Statement of Account in electronic form:
  - I. Client must ensure the confidentiality of the password of the email account. II. Client must promptly inform the Participant if the email address has changed. III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.



Signature



Initials



Note



Tick



Capital Letters

**FATCA / CRS Declaration for Individual Accounts**

The information in this section is being collected because of enhancements to Co's new account on-boarding procedures in order to fully comply with Foreign Account Tax Compliance Act (FATCA) requirements and the Common Reporting Standards (CRS) requirements pursuant to amendments made to Income-tax Act,1961 read with Income-tax Rules, 1962. For more information refer: <http://bit.ly/29F0475> & <http://bit.ly/1pXp8Bg> (We are unable to provide advice about your tax residency. If you have any questions about your tax residency, please contact your tax advisor)

**1st Holder - Section I**

(All fields are mandatory) (Please fill in BLOCK LETTERS)

1	Trading code: Client ID (To be provided only if demat account is with KSL)			
2	Name of Account Holder			
3	a. Address for Tax Residence _____ City _____ State _____ Country _____ Pin Code _____ (Please use this space in case you are Tax Resident of more than one country)			
b. Address for Tax Residence _____ City _____ State _____ Country _____ Pin Code _____				
4	Address Type (Tick whichever applicable)	<input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Residential/ Business		
5	Do you satisfy any of the criteria mentioned below?	Yes	No	
a.	Citizen of any country other than India (dual/multiple) [including Green card]	<input type="checkbox"/>	<input type="checkbox"/>	
b.	Country of birth is any country other than India	<input type="checkbox"/>	<input type="checkbox"/>	
c.	Tax resident of ANY country / ies other than India	<input type="checkbox"/>	<input type="checkbox"/>	
d.	POA or a mandate holder who has an address outside India	<input type="checkbox"/>	<input type="checkbox"/>	
e.	Address or telephone number outside India	<input type="checkbox"/>	<input type="checkbox"/>	

If your answer to any of the above questions is a 'YES', please fill Section II of the form, else go to declaration & acknowledgment

**1st Holder - Section II**

(All fields are mandatory)

Father's name \_\_\_\_\_ (If PAN not available, then mandatory)

Country of Birth \_\_\_\_\_ Place within the country of birth \_\_\_\_\_

(If USA, however nationality and/or country of tax residency is not USA, Please provide documentary evidence as mentioned in instruction 1)

Source of Wealth \_\_\_\_\_ Nationality \_\_\_\_\_

Please list below the details, confirming ALL countries of tax residency/ permanent residency/ citizenship and ALL Tax Identification Numbers

Country of Tax residency	Tax identification no <sup>s</sup>	Tax identification document (TIN or functional equivalent)

It is mandatory to supply a TIN or functional equivalent (in case TIN not available) if the country in which you are tax resident issues such identifiers. If no TIN /functional equivalent is yet available or has not yet been issued, please provide an explanation \_\_\_\_\_

**Declaration & Acknowledgment**

I/We being the beneficial owner of the account opened / to be opened with Kotak Securities Limited(KSL) and the income credited therein, declare that the above information and information in the submitted documents to be true, correct and updated, and the submitted documents are genuine and duly executed. I/We acknowledge that towards compliance with tax information sharing laws, such as FATCA/CRS, the KSL may be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from the account holder. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances (including if the KSL does not receive a valid selfcertification from me) KSL may be obliged to share information on my account with relevant tax authorities. Should there be any change in any information provided by me I/We ensure that I/We will advise KSL promptly, i.e., within 30 days. Towards compliance with such laws, the KSL may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/ tax authorities, the KSL may also be constrained to withhold and pay out any sums from my account or close or suspend my account(s). I/We further agree that the information provided above will be updated in all my trading/demat accounts, if any at PAN level. I/We also understand that the account will be reported if any one of the aforesaid FATCA / CRS criteria for any of the account holders i.e. primary or joint (in case of demat account) are met.

**Client Signature (1st Holder)**

10  
12



### Instructions to the Form

In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

FATCA/ CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
U.S. place of birth	<p>Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes;</p> <p>Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below); AND</p> <p>Any one of the following documents:</p> <p>Certified Copy of Certificate of Loss of Nationality or</p> <p>Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or</p> <p>Reason the customer did not obtain U.S. citizenship at birth</p>
Residence/mailing address in a country other than India or Telephone number in a country other than India	<p>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and</p> <p>2. Documentary evidence (refer list below)</p>
Standing instructions to transfer funds to an account maintained in a country other than India (other than depository accounts)	<p>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and</p> <p>2. Documentary evidence (refer list below)</p>
POA granted to a person with an address in a country outside India	<p>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; OR</p> <p>2. Documentary evidence (refer list below)</p>

A. List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:

1. Certificate of residence issued by an authorized government body\*
2. Valid identification issued by an authorized government body\* (e.g. Passport, National Identity card, etc.)

\* Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.

B. Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

1. Tax identification Number (TIN): TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

### Office Use Section:

	<b>Signature Verified</b>
Name of the Employee	
Employee Code	
Designation of Employee	
Place	
Date	



This Power of Attorney is made at \_\_\_\_\_ at this the \_\_\_\_\_ day of \_\_\_\_\_ by \_\_\_\_\_

TO ALL TO WHOM THESE PRESENT SHALL COME, I/we (hereinafter referred to as "the Client" which expression shall, unless it be repugnant to meaning or context thereof, be deemed to mean and include, where the Client is an individual or a proprietorship firm, his/her heirs, executors and administrators, where the Client is a partnership firm, the partners or partner for the time being of the said firm, the survivors or survivor of them and the heirs, executors and administrators of the last surviving partner, their or his assigns, where the Client is the Karta of a Hindu Undivided Family, the member or members for the time being of the said Hindu Undivided Family, and their respective heirs, executors, administrators and assigns, where the Client is a company, its successors in title and permitted assigns, where the Client is the Board of Trustees of a Trust, its successors and where the Client is the Governing Body of a Society, the respective successors of the members of the Governing Body and any new members elected, appointed or co-opted), DO SEND GREETINGS: (please give residence address for individuals, office address for proprietorship and partnership and HUF and registered office for companies, trusts and societies).

WHEREAS.

- A. KOTAK SECURITIES LIMITED, (hereinafter referred to as "KS"), a company incorporated under the Companies Act, 1956 and having its registered office at 27 BKC, C27, G Block, Bandra Kurla Complex, bandra (E) Mumbai 400051. is inter alia registered as a trading and clearing member with Bombay Stock Exchange Limited, Metropolitan Stock Exchange and National Stock Exchange of India Limited (hereinafter referred to as the Exchanges), is registered with Association of Mutual Funds of India as a Distributor for distributing the schemes of various mutual funds.
- B. The Client is desirous of investing in securities ( as defined under Securities Contracts (Regulations) Act, 1956) and other financial product and has entered/is in the process of entering into a arrangement with KS for purpose of participating in the brokerage facilities and/or other services including but not limited to trading through phone broking services, being offered by KS, through its website [www.kotaksecurities.com](http://www.kotaksecurities.com) (or through any other website as launched by KS for offering the said services).
- C. The Client is also desirous of using his/its bank account and/or Demat account with respect to the purposes stated hereinabove.
- D. For the purpose of availing the above mentioned service, the Client is desirous of appointing KS through their directors and/or their duly authorized officers as its constituted attorney(s), for carrying out acts, matters and thing as required for the purpose of meeting the settlement obligations and margin requirements of the Client in connection with the trades executed by Client on the Stock Exchanges through KS.

NOW KNOW YE ALL MEN AND THESE PRESENTS WITNESSETH that I/we the Client do hereby nominate, constitute and appoint KS, as my/our Attorney, (hereinafter referred to as "the Attorney") acting through any of its directors and/or its duly authorised officers to be my/our true and lawful Attorney for and on behalf of, to do all or any of the acts, matters and things and to exercise all or any of the powers and authorities hereby specifically conferred upon KS Under these Presents KS is empowered to do as under:

1. To transfer the securities held in the beneficial owner account of the Client as specified in the Schedule I to this POA, towards Exchange related settlement /delivery obligations arising out of trade executed in the Client's account on the Exchange through KS.
2. To initiate pledge in favour of KS for the limited purpose of meeting the margin obligations / settlement / delivery obligations of the Client in connection with the trades executed by the Client on the Exchanges through KS and to further re-pledge the securities in favour of Clearing Members (CM) and / or Clearing Corporations (CC) for the limited purpose of meeting the margin obligations.
3. To invest and or subscribe in various products like Mutual Fund, Public Issued (shares as well as debentures) rights, offer of shares, tendering shares in open offers etc. and to redeem the same pursuant to the Instructions of the Client.
4. To transfer funds from the bank account of the Client as specified in the Schedule II to this POA,
  - a. For meeting the settlement obligations of the Client and or margin requirements of the Client in connection with the trades executed by the Client on the Exchange through KS.
  - b. For recovering any outstanding amount due from the trading activities of the Client through KS on the Stock Exchanges.
  - c. For meeting obligations arising out of the Client subscribing to such other products/ facilities/services through KS like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares.
  - d. Towards monies/ fees/ charges due from the Client to KS (in its capacity as a stock broker and/or depository participant) arising out of the services availed by the Client relating to stock broking and depository services.
5. To transfer securities and/or funds to the Demat account and Bank account as specified in Schedule III and IV to this POA.
6. To return to the Client the Securities and/or funds that may have been received erroneously.
7. To send to the Client consolidated summary of Client's scrip wise buy and sell positions taken with average rates by way of SMS/e-mail on a daily basis.
8. To do all such acts and things as KS may in its discretion considers necessary or desirable in order to exercise its powers hereunder or to comply with any laws, orders, rules, regulations or directions of any government or regulatory or other authorities.

AND I/WE DO HEREBY CONFIRM AND DECLARE THAT this Power of Attorney shall be valid, effective and operative till the termination of the Arrangement or any arrangement(s) that I/we have entered into with KS and satisfaction in full of all the obligations under the same. The powers and authorities vested in Attorney by this Power of Attorney can be revoked at any time, even prior to the termination of arrangement, by written revocation request/ instruction to the Attorney subject to the fulfillment of all my/our obligations arising under the arrangement. The cessation of this authority shall not affect or impair any act done in exercise of these presents. AND The Client and the Attorney can amend Schedule I and II of these.



presently mutual consent in writing. The Client can amend Schedule III by prior written intimation to the Attorney or amending the same on the website of the Attorney [www.kotaksecurities.com](http://www.kotaksecurities.com) through his/her/it secured login. Similarly the Attorney can amend Schedule IV by prior written intimation to the Client or amending the same on its website [www.kotaksecurities.com](http://www.kotaksecurities.com) available to the client through his/her/it secured login.

### SCHEDULE I

Detail of demat account of the client which the Attorney can operate.

Demat A/c DP ID	
Demat account to be opened through Application/Form No:	202320
Client ID	
with DP ID	IN 300214

### SCHEDULE II

Bank Account of the Client which the attorney can operate.

Saving Bank A/C:		With	
Saving account to be opened through Application No:	202320	With	

### SCHEDULE III

Bank and Demat account where funds and securities can be moved.

Saving Bank A/C:		Client ID	
Demat A/c DP ID:		With	

### SCHEDULE IV

Bank and Demat account of the Attorney where funds and securities can be moved.

**Note :** KSL-Kotak Securities Ltd.

ICCL-Indian Clearing Corporation Ltd.  
NCL-NSE Clearing Ltd.

Details of Demat Accounts		
CM BP ID/DP ID	DP Name	Description
IN550379	KSL	NSE-CM-Pool A/c
IN606738	KSL	BSE-CM-Pool A/c
IN473531	KSL	MSE-CM-Pool A/c
14804236/IN300214	KSL	Client Margin A/c
IN620031	ICCL	BSE-Star MF CLG Pool
IN565576	NCL	NSE MFSS CLG Pool
120251000000041	KSL	NSE-CDSL-CM-Pool A/c
120251000000016	KSL	BSE-CDSL-CM-Pool A/c
IN530824/26089554/	KSL	NSE-NSDL-CUSA A/c
IN610833/26093149/	KSL	BSE-NSDL-CUSA A/c
1202510000009549	KSL	KSL-CDSL-CUSA A/c

AND it is hereby clarified and declared that the Attorney being a body corporate the powers hereinbefore granted, may be exercised by any of its employee/authorized representative to whom the Attorney may delegate any of the powers aforesaid and accordingly the Attorney may appoint and remove any sub-agent or attorney from time to time as it may consider.

26098407/IN300214	KSL	NSE-NSDL-Client Collateral A/c
1202510000009568	KSL	NSE-CDSL-Client Collateral A/c
26098835/IN300214	KSL	NSE-NSDL-Stock Broker Collateral A/c
1202510000009553	KSL	NSE-CDSL-Stock Broker Collateral A/c
26114025/IN300214	KSL	BSE-NSDL-Client Collateral A/c
1202510000009608	KSL	BSE-CDSL-Client Collateral A/c
26113645/IN300214	KSL	BSE-NSDL-Stock Broker Collateral A/c
1202510000009591	KSL	BSE-CDSL-Stock Broker Collateral A/c
26098520/IN300214	KSL	NSDL-Client Margin Trading Securities A/c
1202510000009572	KSL	CDSL-Client Margin Trading Securities A/c
25898262/IN300214	KSL	KSL NSDL A/c - Pledging of Client Securities
1202510000009587	KSL	KSL CDSL A/c - Pledging of Client Securities
26528649/ IN300214	KSL	TM/CM-Client Securities Margin Pledge Account
26528657/IN300214	KSL	TM- Client Securities under Margin Funding Account
1202510000009781	KSL	Corporate TM/CM CMPA
1202510000009777	KSL	Client Securities Margin Funding Account
Kotak Mahindra Bank Limited - Bank A/c No.		
09582540000851		2211382395
09582000000777		2211382388
09582650000173		9411370887
09582650000160		09582650006423
09582650000295		09582650006524
5313986959		

Client Signature (1st Holder)

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12

We accept Kotak Securities Limited (The Attorney)

1

(To be submitted by Non-Resident customers at the time of Account opening)

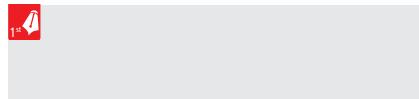
**Declaration for Non-solicitation of account information**

I/We hereby solemnly affirm and declare that:

1. I/We have voluntarily decided to avail products/services offered by Kotak Securities Limited for purchase of shares/debentures on the recognised Stock Exchanges in India on which Kotak Securities Limited is a Member, subscription of shares through Initial Public Offerings and investment in Mutual Funds registered in India. 2. I/We declare that Kotak Securities Limited has neither solicited nor offered me/us its services as mentioned above directly or indirectly with respect to opening of Trading Account and / or Demat Account. 3. I/We am/are aware that the services of Kotak Securities Limited are only available to such persons who are residing in countries where investment in and trading of Indian securities on Indian stock exchanges is permitted. 4. I/We further, unconditionally state and declare that I/we shall comply with all applicable Acts, Rules, Regulations etc. in the country/state/area where I/we am/are currently residing as well as all statutory and regulatory provisions enforced in India including but not limited to Foreign Exchange Management Act, 2000, Reserve Bank of India Act, 1934 and Securities and Exchange Board of India Act, 1992 for trading on Exchanges, subscription of shares through Initial Public Offerings and investment in Mutual Funds registered in India. 5. I/We further undertake to not hold Kotak Securities Limited, its officials, its successors and assigns and the directors and officers thereof and their respective heirs, executors and administrators and each of their estates and effects, liable against any claim, demand, suit, losses, damages, expenses and all sums of money that may be incurred, paid, suffered by me/us of whatsoever nature and all actions and proceedings that may be filed, taken or instituted against me/us by reason of my/our opening and operating the said trading account held with Kotak Securities Limited or for my/our transaction on exchanges through Kotak Securities Limited or availing Kotak Securities Limited's Financial Products and services. 6. I have personally visited India and approached Kotak Securities Ltd. for the purpose of opening Trading and Demat accounts. (Strike off if not applicable). I also hereby authorize Mr. \_\_\_\_\_ residing at \_\_\_\_\_

relation \_\_\_\_\_ to act on my behalf for the purpose of account opening.

I/We solemnly declare that the aforesaid statement are true and correct to the best of my/our knowledge and belief



Thanking You,

**Name:****Date & Place:****Self Declaration****VOLUNTARY**

I hereby confirm that my account will be opened as per name appearing on Income Tax website.

**Authorization**Do you wish to authorize a representative to handle the account' with  Yes  No option.**Voluntary T&C**

I confirm having received/ read/ been explained and understood the contents of the Voluntary Terms and Conditions.

Please refer : <https://www.kotaksecurities.com/ksweb/Important-Policies>**Client Signature**