

CHECKLIST FOR INDIVIDUAL ACCOUNT

NOTE:

1. KYC & all provided documents should be self attested by an Individual
2. Affix IPV stamp on all the documents submitted
3. Bank account should be in the name Individual
4. In case of third party address as a correspondence address, same can be accepted along with third party person's NOC & his address & identity proof
5. If correspondence & permanent address are different, then provide proof for both address

Types of Document	Documents Requirement (Any One)	Need to be Checked before submitting documents to HO
IDENTITY PROOF	Pan Copy (Mandatory)	Pan card copy of Individual is mandatory
ADDRESS PROOF	Passport	Check validity (expiry date) & Provide front and back side of passport copy
	Voter ID	Provide front and back side of AADHAAR card
	Driving License	1. Check expiry date of driving license. 2. Provide front and back side copy.
	UID (Aadhar)	Provide front and back side copy along with complete client details
	Passport	Check validity + front and back side of passport required
	Voter ID	Provide front and back side copy
	UID (Aadhar)	Provide front and back side copy along with complete client details
	Ration Card	Provide front and back side copy
	Bank Account Statement / Passbook	1. Bank Statement /passbook should not be more than 3 months old. 2. Client should be first holder in the given bank account. 3. Original cancelled cheque leaf with name pre-printed on it. 4. Bank Name and Bank logo should be available on statement/passbook. If logo is missing OR passbook is hand written, then bank attestation is mandatory. (Clear and visible bank stamp duly signed by Authorised Signatory).
	Driving License	Check validity (expiry date) & Provide front and back side copy of Driving License
	Telephone Landline bills	Should not be more than 3 months old.
	Electricity Bills	Should not be more than 3 months old.
	Registered Lease or Sale Agreement	For correspondence address only. And should be valid for next 3 months from date of account opening
	Flat Maintenance Bill	Require Flat maintenance bill along with Agreement, should be latest and not more than one year old
	Insurance Copy	Policy letter with latest premium copy - Policy document with latest Premium receipt.
	Govt. Authorized Gas Connection Bill	Should not be more than 3 months old.
BANK PROOF	Bank Account Statement / Passbook	1. Bank Statement /passbook should not be more than 3 months old. 2. Client should be first holder in the given bank account. 3. Original cancelled cheque leaf with name pre-printed on it 4. Bank Name and Bank logo should be available on statement / passbook. If logo is missing OR passbook is hand written, then bank attestation is mandatory. (Clear and visible bank stamp duly signed by Authorised Signatory)
	Cheque Leaf	If only cheque leaf is given as a proof of bank, then the same should be personalized i.e. with Client name and bank account number, IFSC and MICR should be printed on it. MICR starting with 000 will not be accepted.
ANOTHER DP MAPPING (IF SUBMIT)	Client Master Report/List (CMR/ CML)	1. Client Master Report should be of current date 2. The demat account should be in the name of Individual 3. Status of account should be ACTIVE. 4. Client ID and DP ID along with Depository name and logo should be available in the CML copy and attested in Original by the DP.
	DP Holding Statement/DP Transaction Statement	1. Latest DP Holding Statement (should not be more than 6 months old). 2. The demat account should be in the name of Individual only 3. Client ID and DP ID along with Depository name and logo required and attested by the DP in original.
INCOME PROOF (Additional documents in case of trading in derivatives segments)	Copy of ITR Acknowledgement	Provide copy of ITR for latest financial year
	Copy of Form 16 in case of salary income	Bank Statement /passbook should not be more than 6 months old
	Bank account statement	Latest DP Holding Statement (should not be more than 3 months old)
	Copy of Demat account Holding statement	Provide latest for 3 months

CHECKLIST - MINOR DP ACCOUNT

NOTE:

1. Minor Account will be opened only for DP not for trading.
2. If open minor DP account then guardian details is mandatory
3. KYC & all provided documents should be sign & self attested by Guardian only
4. Affix IPV stamp on all the documents submitted.
5. In Minor account Nominee will not be applicable.
6. Provide only DP KYC to open minor DP account
7. Minor account cannot be open with Joint holder
8. Bank account should be in the name of Minor
9. Rs. 1000/- cheque is must with each application as advance Dp charges
10. The said demat account cannot to any of the trading account.
11. Guardian cannot be HUF or Non-Individual entity

Types of Document	Documents Requirement (Any One)	Need to be Checked before submitting documents to HO
IDENTITY PROOF	Pan Copy (Mandatory)	Pan card copy of Individual is mandatory
PROOF OF BIRTH	Birth Certificate Copy (Mandatory)	Birth certificate of Minor is mandatory
ADDRESS PROOF	Passport	Check validity (expiry date) & Provide front and back side of passport copy
	Voter ID	Provide front and back side of AADHAAR card
	Ration Card	Provide front and back side copy of Ration card where details of Family members are mentioned
	Bank Account Statement / Passbook	1. Bank Statement /passbook should not be more than 3 months old. 2. Client should be first holder in the given bank account. 3. Original cancelled cheque leaf with name pre-printed on it 4. Bank Name and Bank logo should be available on statement / passbook. If logo is missing OR passbook is hand written, then bank attestation is mandatory. (Clear and visible bank stamp duly signed by Authorised Signatory)
BANK PROOF	Bank Account Statement / Passbook	1. Bank Statement /passbook should not be more than 3 months old. 2. Client should be first holder in the given bank account. 3. Original cancelled cheque leaf with name pre-printed on it. 4. Bank Name and Bank logo should be available on statement/passbook. If logo is missing OR passbook is hand written, then bank attestation is mandatory. (Clear and visible bank stamp duly signed by Authorised Signatory).
	Cheque Leaf	If only cheque leaf is given as a proof of bank, then the same should be personalized i.e. with Client name and bank account number, IFSC and MICR should be printed on it. MICR starting with 000 will not be accepted.
	Special Note	MICR number starting with 000 will not be accepted. For e.g. 000SBI000 OR 000240000
DOCUMENT REQUIRE OF GUARDIAN		
PAN COPY OF KARTA	Pan Copy (Mandatory)	Pan card copy of Guardian is mandatory.
ADDRESS PROOF	Passport	Check validity (expiry date) & Provide front and back side of passport copy
	Voter ID	Provide front and back side copy of Voter ID
	UID (Aadhar)	Provide front and back side of AADHAAR card
	Ration Card	Provide front and back side copy of Ration card where details of Family members are mentioned
	Bank Account Statement	1. Bank Statement /passbook should not be more than 3 months old. 2. Client should be first holder in the given bank account. 3. Original cancelled cheque leaf with name pre-printed on it 4. Bank Name and Bank logo should be available on statement / passbook. If logo is missing OR passbook is hand written, then bank attestation is mandatory. (Clear and visible bank stamp duly signed by Authorised Signatory)
	Driving License	Check validity (expiry date) & Provide front and back side copy of Driving License
	Telephone Landline bills	Should not be more than 3 months old
	Electricity Bills	Should not be more than 3 months old
	Registered Lease or Sale Agreement	For correspondence address only. And should be valid for next 3 months from date of account opening
	Flat Maintenance Bill	Require Flat maintenance bill along with Agreement, should be latest and not more than one year old
	Insurance Copy	Policy letter with latest premium copy - Policy document with latest Premium receipt.
	Govt. Authorized Gas Connection Bill	Should be of latest 3 months

CHECKLIST FOR HUF ACCOUNT

NOTE

- Documents in the name of Individual Karta, should be attested by individual Karta without stamp only
- Documents in the name of HUF, should be attested by HUF with stamp
- Affix IPV stamp on all the documents submitted
- HUF Name should be same on PAN Card, Bank Account, HUF Stamp and KYC
- In case of third party address as a correspondence address, so same can be accepted along with third party person's NOC & his address & identity proof
- HUF cannot appoint any nominee
- HUF account cannot open with joint holders
- In account opening form, the karta shall sign under the HUF stamp
- Co-parcener's ID and Address proof is mandatory in case of commodity segment
- Only Son, Daughter & Wife relation will be consider in Co-parceners list where father is Karta of Family
- All co-parceners name and signature is mandatory on POA page, minor co-parcener's name need to be specify but signature is not require on POA

Types of Document	Documents Requirement (Any One)	Need to be Checked before submitting documents to HO
DOCUMENTS REQUIRED OF KARTA		
PAN COPY	Pan Copy (Mandatory)	Pan card copy in the name of HUF only.
ADDRESS PROOF	Bank Account Statement/ Passbook	<ol style="list-style-type: none"> Bank Statement /passbook should not be more than 3 months old Client should be first holder in the given bank account. Original cancelled cheque leaf with name pre-printed on it Bank Name and Bank logo should be available on statement / passbook. If logo is missing OR passbook is hand written, then bank attestation is mandatory. (Clear and visible bank stamp duly signed by Authorised Signatory)
BANK PROOF	Bank Account Statement/ Passbook	<ol style="list-style-type: none"> Bank Statement /passbook should not be more than 3 months old Client should be first holder in the given bank account Original cancelled cheque leaf with name pre-printed on it Bank Name and Bank logo should be available on statement / passbook. If logo is missing OR passbook is hand written, then bank attestation is mandatory. (Clear and visible bank stamp duly signed by Signatory)
	Cheque Leaf	If only cheque leaf is given as a proof of bank, then the same should be personalized i.e. with Client name and bank account number, IFSC and MICR should be printed on it. MICR starting with 000 will not be accepted.
ANOTHER DP MAPPING (IF SUBMIT)	Client Master Report/List (CMR/ CML)	<ol style="list-style-type: none"> Client Master Report should be of current date The demat account should be in the name of HUF only Status of account should be ACTIVE Client ID and DP ID along with Depository name and logo should be available in the CML copy and attested in original by the DP
	DP Holding Statement/ DP Transaction Statement	<ol style="list-style-type: none"> Latest DP Holding Statement (should not be more than 6 months old). The demat account should be in the name of HUF only Client ID and DP ID along with Depository name and logo required and attested by the DP in original
INCOME PROOF (Additional documents in case of trading in Derivatives, Currency & Commodity segments) Any one	Copy of ITR Acknowledgment	Provide copy of ITR for latest financial year
	Bank account statement	Bank Statement /passbook should not be more than 6 months old
	Copy of Demat account Holding statement	Latest DP Holding Statement (should not be more than 3 months old)
DOCUMENTS REQUIRED OF HUF		
PAN COPY OF KARTA	Pan Copy (Mandatory)	card copy in the name of HUF only
ADDRESS PROOF	Passport	Check validity (expiry date) & Provide front and back side of passport copy
	Voter ID	Provide front and back side copy of Voter ID
	UID (Aadhar)	Provide front and back side of AADHAAR card
	Ration Card	Provide front and back side copy of Ration card where details of Family members are mentioned
	Bank Account Statement	<ol style="list-style-type: none"> Bank Statement /passbook should not be more than 3 months old. Client should be first holder in the given bank account. Original cancelled cheque leaf with name pre-printed on it Bank Name and Bank logo should be available on statement / passbook. If logo is missing OR passbook is hand written, then bank attestation is mandatory. (Clear and visible bank stamp duly signed by Authorised Signatory)
	Driving License	Check validity (expiry date) & Provide front and back side copy of Driving License
	Telephone Landline bills	Should not be more than 3 months old
	Electricity Bills	Should not be more than 3 months old
	Registered Lease or Sale Agreement	For correspondence address only. And should be valid for next 3 months from date of account opening
	Flat Maintenance Bill	For correspondence address only. And should be valid for next 3 months from date of account opening
	Insurance Copy	Policy letter with latest premium copy - Policy document with latest Premium receipt.
	Govt. Authorized Gas Connection Bill	Should be of latest 3 months

CHECKLIST FOR PARTNERSHIP ACCOUNT

Note:

- Documents in the name of partners, should be attested by individual partner without Partnership Firm's stamp
- Provided documents in the name of firm, should be attested by authorised partners with stamp as Resolution passed
- Affix IPV stamp on all the documents submitted
- Bank Account should be in the name of the Partnership firm
- Address proof should be in the name of partnership firm
- Trading account will be open in the name of Partnership firm as per PAN
- DP account will be opened in the name of authorized partners and same cannot be open in the name of Firm
- DP account can have maximum three partners
- The DP account will be open as per the status of 1st holder:
- If one of the Partners is Corporate/ Trust / LLP and is one of the authorised partner then provide all the documents as per the requirement mentioned in respective sheet. For e.g. if one of the Partners is registered Trust then all the documents mentioned in "Registered Trust Account" should be considered"
- In partnership account, do not affix firm stamp on DP pages no, 06 (Clause of Declaration by Partnership Firm), 08 (Clause of Declaration), 20 (DP Tariff Sheet) 26 (POA) & Last page of declaration (Demant Account)
- Partnership account cannot be opened where HUF is a partner
- Require investment clause in partnership deed to open the account
- Require partner's profit sharing ratio in partnership deed
- If account is for commodity segment and in Share holding Pattern any individual person is holding more than 25% of shares then provide ID and Address proof
- Require KRA for authorised partners

1st Holder	2nd Holder	Type of Demat account
Individual	Individual	Individual
Individual	Corporate	Individual
Corporate	Individual	Corporate
Trust	Individual	Trust
Individual	Trust	Individual
LLP	Individual	Corporate (sub-status - LLP)
Individual	HUF	Not Allowed

Types of Document	Documents Requirement (Any One)	Need to be Checked before submitting documents to HO
DOCUMENT REQUIRE OF PARTNERSHIP FIRM		
PAN COPY	Pan Copy (Mandatory)	Pan card copy in the name of partnership firm
ADDRESS PROOF	Bank Account Statement	1. Bank Statement /passbook should not be more than 3 months old. 2. Client should be first holder in the given bank account. 3. Original cancelled cheque leaf with name pre-printed on it 4. Bank Name and Bank logo should be available on statement / passbook. If logo is missing OR passbook is hand written, then bank attestation is mandatory. (Clear and visible bank stamp duly signed by Authorised Signatory)
	Telephone Landline bills	Should not be more than 3 months old
	Electricity Bills	Should not be more than 3 months old
BANK PROOF	Bank Account Statement/ Passbook	1. Bank Statement /passbook should not be more than 3 months old. 2. Client should be first holder in the given bank account. 3. Original cancelled cheque leaf with name pre-printed on it 4. Bank Name and Bank logo should be available on statement / passbook. If logo is missing OR passbook is hand written, then bank attestation is mandatory. (Clear and visible bank stamp duly signed by Authorised Signatory)
	Cheque Leaf	If only cheque leaf is given as a proof of bank, then the same should be personalized i.e. with Client name and bank account number, IFSC and MICR should be printed on it. MICR starting with 000 will not be accepted.
PARTNERSHIP DEED		Should be attested by the authorised persons
REGISTRATION COPY	Partnership Registration Certificate	Pan card name & Registration certificate name should be same
LIST OF PARTNERS	As per KYC Format	Should be attested by authorised Partners
LIST OF AUTHORISED SIGNATORY	As per KYC Format	Should be attested by all Partners
BALANCE SHEET (Latest for two years balance sheet with audited balance sheet)	Profit & Loss, Balance Sheet copies	Provide Net worth certificate, in case where balance sheet is not available. (For newly formed Firm within 1 years view on today's date)
ANOTHER DP MAPPING (IF SUBMIT)	Client Master Report/List (CMR/ CML)	1. Client Master Report should be of current date 2. The demat account should be in the name of Partnership Firm 3. Status of account should be ACTIVE. 4. Client ID and DP ID along with Depository name and logo should be available in the CML copy and attested in original by the DP
	DP Holding Statement/ DP Transaction Statement	1. Latest DP Holding Statement (should not be more than 6 months old). 2. The demat account should be in the name of Partnership Firm 3. Client ID and DP ID along with Depository name and logo required and attested by the DP in original
INCOME PROOF (Additional documents in case of trading in Derivatives, Currency & Commodity segments) Any one	Copy of ITR Acknowledgement	Provide copy of ITR for latest financial year
	Bank account statement	Bank Statement /passbook should not be more than 6 months old.
	Copy of Demat account Holding statement	Latest DP Holding Statement (should not be more than 3 months old)
	Net worth certificate	Provide latest financial year
DOCUMENT REQUIRE OF INDIVIDUAL PARTNERS		
PAN COPY	Pan Copy (Mandatory)	Require Individual Partners PAN copy
ADDRESS PROOF	Passport	Check validity (expiry date) & Provide front and back side of passport copy
	Voter ID	Provide front and back side copy of Voter ID
	UID (Aadhar)	Provide front and back side of AADHAAR card
	Ration Card	Provide front and back side copy of Ration card where details of Family members are mentioned
	Bank Account Statement / Passbook	1. Bank Statement /passbook should not be more than 3 months old. 2. Client should be first holder in the given bank account. 3. Original cancelled cheque leaf with name pre-printed on it 4. Bank Name and Bank logo should be available on statement / passbook. If logo is missing OR passbook is hand written, then bank attestation is mandatory. (Clear and visible bank stamp duly signed by Authorised Signatory)
	Driving License	Check validity (expiry date) & Provide front and back side copy of Driving License
	Telephone Landline bills	Should not be more than 3 months old
	Electricity Bills	Should not be more than 3 months old
	Registered Lease or Sale Agreement	For correspondence address only. And should be valid for next 3 months from date of account opening
	Flat Maintenance Bill	Require Flat maintenance bill along with Agreement, should be latest and not more than one year old
	Insurance Copy	Policy letter with latest premium copy - Policy document with latest Premium receipt
	Govt. Authorized Gas Connection Bill	Should be of latest 3 months

CHECKLIST - UNREGISTERED TRUST ACCOUNT

Note:

- Documents in the name of trustee, should be attested by individual trustee without Trust stamp.
- Provided documents in the name of Trust should be attested by authorised Trustees with stamp as Resolution passed.
- Affix IPV stamp on all the documents submitted.
- Bank Account should be in the name of Trust.
- Address proof should be in the name of Trust.
- Trading account will be open in the name of Trust as per PAN.
- DP account will be opened in the name of authorized Trustees and same cannot be open in the name of Trust.
- DP account can have maximum three Trustees.
- If one of the Trustee is Corporate/ Trust / LLP and is one of the authorised Trustee then provide all the documents as per the requirement mentioned in respective sheet. For e.g. if one of the Trustee is registered Trust then all the documents mentioned in "Registered Trust Account" should be considered
- If any Company is holding shares more than 25% then require Beneficial Owner Certification with Individual Name attested by C.A - Format available in KYC page no 12.
- In unregistered Trust account, do not affix firm stamp on DP pages no, 06 (Clause of Declaration by Partnership Firm), 08 (Clause of Declaration), 20 (DP Tariff Sheet) 26 (POA) & Last page of declaration (Demant Account).
- Trust account cannot be opened where HUF is a Trustee.
- Require investment clause in Trust deed to open the account.
- Require Trustee's profit sharing ratio in Trust deed.
- If account is for commodity segment and in Share holding patten any individual person is holding more than 25% of shares then provide ID and Address proof
- Require KRA for authorised Trustees
- The DP account will be open as per the status of 1st holder

1st Holder	2nd Holder	Type of Demat account
Individual	Individual	Individual
Individual	Corporate	Individual
Corporate	Individual	Corporate
Trust	Individual	Trust
Individual	Trust	Individual
LLP	Individual	Corporate (sub-status - LLP)
Individual	HUF	Not Allowed

Types of Document	Documents Requirement (Any One)	Need to be Checked before submitting documents to HO
DOCUMENT REQUIRE OF TRUST		
PAN COPY	Pan Copy (Mandatory)	Pan card copy in the name of Trust.
ADDRESS PROOF	Bank Statement / Passbook	1. Bank Statement /passbook should not be more than 3 months old. 2. Client should be first holder in the given bank account. 3. Original cancelled cheque leaf with name pre-printed on it 4. Bank Name and Bank logo should be available on statement / passbook. If logo is missing OR passbook is hand written, then bank attestation is mandatory. (Clear and visible bank stamp duly signed by Authorised Signatory)
	Telephone Landline bills	Should not be more than 3 months old
	Electricity Bills	Should not be more than 3 months old
BANK PROOF	Bank Account Statement/ Passbook	1. Bank Statement /passbook should not be more than 3 months old. 2. Client should be first holder in the given bank account. 3. Original cancelled cheque leaf with name pre-printed on it 4. Bank Name and Bank logo should be available on statement / passbook. If logo is missing OR passbook is hand written, then bank attestation is mandatory. (Clear and visible bank stamp duly signed by Authorised Signatory)
	Cheque Leaf	If only cheque leaf is given as a proof of bank, then the same should be personalized i.e. with Client name and bank account number, IFSC and MICR should be printed on it
TRUST DEED		Should be 'Certified true copy' duly attested by the authorised person/s
LIST OF TRUSTEE	As per KYC Format	Should be attested by authorised person/s
LIST OF AUTHORISED SIGNATURE	As per KYC Format	Should be attested by all Trustee
BALANCE SHEET (Latest for two years balance sheet with audited balance sheet)	Profit & Loss, Balance Sheet copies	Provide Net worth certificate, in case where balance sheet is not available. (For newly formed Firm within 1 years view on today's date)
ANOTHER DP MAPPING (IF SUBMIT)	Client Master Report/List (CMR/ CML)	1. Client Master Report should be of current date 2. The demat account should be in the name of Partnership Firm 3. Status of account should be ACTIVE. 4. Client ID and DP ID along with Depository name and logo should be available in the CML copy and attested in original by the DP
	DP Holding Statement/ DP Transaction Statement	1. Latest DP Holding Statement (should not be more than 6 months old). 2. The demat account should be in the name of Partnership Firm 3. Client ID and DP ID along with Depository name and logo required and attested by the DP in original
INCOME PROOF (Additional documents in case of trading in Derivatives, Currency & Commodity segments) Any one	Copy of ITR Acknowledgement	Provide copy of ITR for latest financial year
	Bank account statement	Bank Statement /passbook should not be more than 6 months old.
	Copy of Demat account Holding statement	Latest DP Holding Statement (should not be more than 3 months old)
	Net worth certificate	Provide latest financial year
DOCUMENT REQUIRE OF INDIVIDUAL TRUSTEE		
PAN COPY	Pan Copy (Mandatory)	Require Individual Partners PAN copy
ADDRESS PROOF	Passport	Check validity (expiry date) & Provide front and back side of passport copy
	Voter ID	Provide front and back side copy of Voter ID
	UID (Aadhar)	Provide front and back side of AADHAAR card
	Ration Card	Provide front and back side copy of Ration card where details of Family members are mentioned
	Bank Account Statement / Passbook	1. Bank Statement /passbook should not be more than 3 months old. 2. Client should be first holder in the given bank account. 3. Original cancelled cheque leaf with name pre-printed on it 4. Bank Name and Bank logo should be available on statement / passbook. If logo is missing OR passbook is hand written, then bank attestation is mandatory. (Clear and visible bank stamp duly signed by Authorised Signatory)
	Driving License	Check validity (expiry date) & Provide front and back side copy of Driving License
	Telephone Landline bills	Should not be more than 3 months old
	Electricity Bills	Should not be more than 3 months old
	Registered Lease or Sale Agreement	For correspondence address only. And should be valid for next 3 months from date of account opening
	Flat Maintenance Bill	Require Flat maintenance bill along with Agreement, should be latest and not more than one year old
	Insurance Copy	Policy letter with latest premium copy - Policy document with latest Premium receipt
	Govt. Authorized Gas Connection Bill	Should be of latest 3 months

CHECKLIST - REGISTERED TRUST ACCOUNT

Note:

- Documents in the name of trustee, should be attested by individual trustee without Trust stamp.
- Provided documents in the name of Trust should be attested by authorised Trustees with stamp as Resolution passed.
- Affix IPV stamp on all the documents submitted.
- Bank Account should be in the name of Trust.
- Address proof should be in the name of Trust.
- Trading account will be open in the name of Trust as per PAN.
- DP account will be opened in the name of Trust
- If one of the Trustee is Corporate/ Trust / LLP and is one of the authorised Trustee then provide all the documents as per the requirement mentioned in respective sheet. For e.g. if one of the Trustee is registered Trust then all the documents mentioned in "Registered Trust Account" should be considered
- If any Company is holding shares more than 25% then require Beneficial Owner Certification with Individual Name attested by C.A - Format available in KYC page no 12.
- Trust account cannot be opened where HUF is a Trustee.
- Require investment clause in Trust deed to open the account.
- Require Trustee's profit sharing ratio in Trust deed.
- If account is for commodity segment and in share holding pattern any individual person is holding more than 25% of shares then provide ID and Address proof
- The DP account will be open as per the status of 1st holder:

1st Holder	2nd Holder	Type of Demat account
Individual	Individual	Individual
Individual	Corporate	Individual
Corporate	Individual	Corporate
Trust	Individual	Trust
Individual	Trust	Individual
LLP	Individual	Corporate (sub-status - LLP)
Individual	HUF	Not Allowed

Types of Document	Documents Requirement (Any One)	Need to be Checked before submitting documents to HO
DOCUMENT REQUIRE OF TRUST		
PAN COPY	Pan Copy (Mandatory)	Pan card copy in the name of Trust.
ADDRESS PROOF	Bank Statement / Passbook	1. Bank Statement /passbook should not be more than 3 months old. 2. Client should be first holder in the given bank account. 3. Original cancelled cheque leaf with name pre-printed on it 4. Bank Name and Bank logo should be available on statement / passbook. If logo is missing OR passbook is hand written, then bank attestation is mandatory. (Clear and visible bank stamp duly signed by Authorised Signatory)
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	Electricity Bills	Should not be more than 3 months old
BANK PROOF	Bank Account Statement/ Passbook	1. Bank Statement /passbook should not be more than 3 months old. 2. Client should be first holder in the given bank account. 3. Original cancelled cheque leaf with name pre-printed on it 4. Bank Name and Bank logo should be available on statement / passbook. If logo is missing OR passbook is hand written, then bank attestation is mandatory. (Clear and visible bank stamp duly signed by Authorised Signatory)
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TRUST DEED		Should be 'Certified true copy' duly attested by the authorised person/s
LIST OF TRUSTEE	As per KYC Format	Should be attested by authorised person/s
LIST OF AUTHORISED SIGNATURE	As per KYC Format	Should be attested by all Trustee
BALANCE SHEET (Latest for two years balance sheet with audited balance sheet)	Profit & Loss, Balance Sheet copies	Provide Net worth certificate, in case where balance sheet is not available. (For newly formed Firm within 1 years view on today's date)
ANOTHER DP MAPPING (IF SUBMIT)	Client Master Report/List (CMR/ CML)	1. Client Master Report should be of current date 2. The demat account should be in the name of Partnership Firm 3. Status of account should be ACTIVE. 4. Client ID and DP ID along with Depository name and logo should be available in the CML copy and attested in original by the DP
	DP Holding Statement/ DP Transaction Statement	1. Latest DP Holding Statement (should not be more than 6 months old). 2. The demat account should be in the name of Partnership Firm 3. Client ID and DP ID along with Depository name and logo required and attested by the DP in original
INCOME PROOF (Additional documents in case of trading in Derivatives, Currency & Commodity segments) Any one	Copy of ITR Acknowledgement	Provide copy of ITR for latest financial year
	Bank account statement	Bank Statement /passbook should not be more than 6 months old.
	Copy of Demat account Holding statement	Latest DP Holding Statement should not be more than 3 months old
	Net worth certificate	Provide latest financial year
DOCUMENT REQUIRE OF INDIVIDUAL TRUSTEE		
PAN COPY	Pan Copy (Mandatory)	Require Individual Partners PAN copy
ADDRESS PROOF	Passport	Check validity (expiry date) & Provide front and back side of passport copy
	Voter ID	Provide front and back side copy of Voter ID
	UID (Aadhar)	Provide front and back side of AADHAAR card
	Ration Card	Provide front and back side copy of Ration card where details of Family members are mentioned
	Bank Account Statement / Passbook	1. Bank Statement/passbook should not be more than 3 months old. 2. Client should be first holder in the given bank account. 3. Original cancelled cheque leaf with name pre-printed on it 4. Bank Name and Bank logo should be available on statement / passbook. If logo is missing OR passbook is hand written, then bank attestation is mandatory. (Clear and visible bank stamp duly signed by Authorised Signatory)
	Driving License	Check validity (expiry date) & Provide front and back side copy of Driving License
	Telephone Landline bills	Should not be more than 3 months old
	Electricity Bills	Should not be more than 3 months old
	Registered Lease or Sale Agreement	For correspondence address only. And should be valid for next 3 months from date of account opening
	Flat Maintenance Bill	Require Flat maintenance bill along with Agreement, should be latest and not more than one year old
	Insurance Copy	Policy letter with latest premium copy - Policy document with latest Premium receipt
	Govt. Authorized Gas Connection Bill	Should be of latest 3 months

CHECKLIST FOR CORPORATE ACCOUNT

Note:

- Documents in the name of Individual Director, should be attested by individual Director without stamp
- Provided documents in the name of Company, should be attested by Authorised signatory with stamp
- Affix IPV stamp on all the documents submitted.
- Bank Account should be in the name of Company.
- Address proof should be in the name of Company.
- Trading account will be open in the name of Company as per PAN.
- DP account will be opened in the name of Company as per PAN.
- Form 32 required, in case if authorized signatories name is not mentioned in MOA/AOA or provide copy of MCA site.
- Form no.18 require, if Company address has changed and it is not as per the MOA/AOA, Also provide proof of new registered address.
- Name change certificate in case of change in name of the Company along with renewed registration and incorporation certificate of the Company (If applicable)
- Require investment clause in MOA for opening trading account.
- Board resolution should be on the Company letter head, also should be attested by any two Directors or CMD or Company Secretary, other than authorised person. On Board Resolution Date and place of passing the resolution is must.

Types of Document	Documents Requirement (Any One)	Need to be Checked before submitting documents to HO
DOCUMENT REQUIRE OF PARTNERSHIP FIRM		
PAN COPY	Pan Copy (Mandatory)	Pan card copy in the name of Company.
ADDRESS PROOF	Bank Account Statement/ Passbook	1. Bank Statement /passbook should not be more than 3 months old. 2. Client should be first holder in the given bank account. 3. Original cancelled cheque leaf with name pre-printed on it 4. Bank Name and Bank logo should be available on statement / passbook. If logo is missing OR passbook is hand written, then bank attestation is mandatory. (Clear and visible bank stamp duly signed by Authorised Signatory)
	Telephone Landline bills	Should not be more than 3 months old
	Electricity Bills	Should not be more than 3 months old
BANK PROOF	Bank Account Statement/ Passbook	1. Bank Statement /passbook should not be more than 3 months old. 2. Client should be first holder in the given bank account. 3. Original cancelled cheque leaf with name pre-printed on it 4. Bank Name and Bank logo should be available on statement / passbook. If logo is missing OR passbook is hand written, then bank attestation is mandatory. (Clear and visible bank stamp duly signed by Authorised Signatory)
	Cheque Leaf	If only cheque leaf is given as a proof of bank, then the same should be personalized i.e. with Client name and bank account number, IFSC and MICR should be printed on it. MICR starting with 000 will not be accepted.
BOARD RESOLUTION	As per KYC Format	Certified true copy of Board Resolution of Company having date and place of passing on Board Resolution for opening of Trading and Demat / Trading / Demat account and specifying the name of persons authorized by the board to operate the said trading and demat account. The board resolution should be on the Company letter head and should signed by minimum two Director OR Managing Director OR Company Secretary.
MOA and AOA	As per Company Format	Certified true copy of MOA and AOA required with Company Stamp and authorized person's signature on first and last 3 pages of the MOA and AOA
SHARE HOLDING PATTERN	As per KYC Format	Latest Share Holding pattern duly certified by Managing Director/ Company Secretary / Directors OR by Authorised signatory. In case of any of the share holder is a corporate and holding more than 25% of shares then share holding pattern of the said Company also has to be provided and same will continue till the share holder comes to individual. Share holding pattern must be certified by the CA.
LIST OF Director	As per KYC Format	Should be attested by all authorised Directors
BALANCE SHEET (Latest for two years balance sheet with audited balance sheet)	Profit & Loss, Balance Sheet copies	Provide Net worth certificate wherever balance sheet is not available. (For newly formed Firm before 1 year from today's date)
ANOTHER DP MAPPING (IF SUBMIT)	Client Master Report/List - (CMR/ CML)	1. Client Master Report should be of current date 2. The demat account should be in the name of Company. 3. Status of account should be ACTIVE. 4. Client ID and DP ID along with Depository name and logo should be available in the CML copy and attested in original by the DP.
	DP Holding Statement / DP Transaction Statement	1. Latest DP Holding Statement (should not be more than 6 months old). 2. The demat account should be in the name of Company. 3. Client ID and DP ID along with Depository name and logo required and attested by the DP in original
INCOME PROOF (Additional documents in case of trading in Derivatives, Currency & Commodity segments)	Copy of ITR Acknowledgement	Provide copy of ITR for latest financial year
	Bank account statement	Bank Statement /passbook should not be more than 6 months old.
	Copy of Demat account Holding statement	Latest DP Holding Statement (should not be more than 3 months old)
	Net worth certificate	Provide latest financial year
DOCUMENT REQUIRE OF ALL Directors		
PAN COPY	Pan Copy (Mandatory)	Self certified copy of Pan card of all the Directors.
ADDRESS PROOF	Passport	Check validity (expiry date) & Provide front and back side copy
	Voter ID	Provide front and back side copy
	UID (Aadhar)	Provide front and back side copy along with complete client details
	Ration Card	Provide front and back side copy
	Bank Account Statement / Passbook	1. Bank Statement /passbook should not be more than 3 months old. 2. Client should be first holder in the given bank account. 3. Original cancelled cheque leaf with name pre-printed on it 4. Bank Name and Bank logo should be available on statement / passbook. If logo is missing OR passbook is hand written, then bank attestation is mandatory. (Clear and visible bank stamp duly signed by Authorised Signatory)
	Driving License	Check validity (expiry date) & Provide front and back side copy
	Telephone Landline bills	Should be of latest 3 months
	Electricity Bills	Should be of latest 3 months
	Registered Lease or Sale Agreement	For correspondence address only. And should not be expired within the 3 months from date of account opening).
	Flat Maintenance Bill	Require Flat maintenance bill along with Agreement, should be latest and not more than one year old
	Insurance Copy	Policy letter with latest premium copy - Policy document with latest Premium receipt.
	Govt. Authorized Gas Connection Bill	Should be of latest 3 months

CHECKLIST - LIMITED LIABILITY PARTNERSHIP (LLP)

Note:

- Documents in the name of partners, should be attested by individual partner without stamp.
- Documents in the name of LLP, should be attested by all authorised partners with stamp.
- Affix IPV stamp on all the documents submitted.
- Bank Account should be in the name of the LLP.
- Address proof in the name of LLP.
- Trading account will be open in the name of firm as per PAN.
- DP account will be opened in the name of LLP (Dp account will be open in the name and style as " FIRM NAME - LLP")
- If any Company is holding shares more than 25% then require Beneficial Owner Certification with Individual Name attested by C.A - Format available in KYC page no 12.
- Require investment clause in deed for open the account.
- Require LLP profit sharing ratio in Partnership deed.
- Declaration, on the letterhead of the LLP signed by all the designated partner/s clearly stating that, the within named persons, who are designated partners of the LLP, have been nominated as authorized signatories to open and operate the said demat account on behalf of the LLP.
- The declaration shall specify the manner in which the account will be operated, that is jointly or severally and shall give details of the names, addresses and DPIN [Designated Partner Identification Number allotted by the Registrar for each designated partner] / DIN (Directors Identification Number along with their signatures and photographs.
- Partnership deed along with registration certificate.

Types of Document	Documents Requirement (Any One)	Need to be Checked before submitting documents to HO
DOCUMENT REQUIRE OF LIMITED LIABILITY PARTNERSHIP FIRM (LLP)		
PAN COPY	Pan Copy (Mandatory)	Pan card copy in the name of partnership firm
ADDRESS PROOF	Bank Account Statement	1. Bank Name and Bank logo should be available on statement. 2. If logo is missing, then bank stamp is mandatory. 3. Bank statement should not be more than 3 months old.
	Telephone Landline bills	Should not be more than 3 months old
	Electricity Bills	Should not be more than 3 months old
BANK PROOF	Bank Account Statement/ Passbook	1. Bank Statement /passbook should not be more than 3 months old. 2. Client should be first holder in the given bank account. 3. Original cancelled cheque leaf with name pre-printed on it 4. Bank Name and Bank logo should be available on statement / passbook. If logo is missing OR passbook is hand written, then bank attestation is mandatory. (Clear and visible bank stamp duly signed by Authorised Signatory)
	Cheque Leaf	If only cheque leaf is given as a proof of bank, then the same should be personalized i.e. with Client name and bank account number, IFSC and MICR should be printed on it. MICR starting with 000 will not be accepted.
PARTNERSHIP DEED		Should be attested by the authorised persons
REGISTRATION COPY	Partnership Registration Certificate	Pan card name & Registration certificate name should be same
LIST OF PARTNERS	As per KYC Format	Should be attested by authorised Partners
LIST OF AUTHORISED SIGNATORY	As per KYC Format	Should be attested by all Partners
BALANCE SHEET (Latest for two years balance sheet with audited balance sheet)	Profit & Loss, Balance Sheet copies	Provide Net worth certificate, in case where balance sheet is not available. (For newly formed Firm within 1 years view on today's date)
ANOTHER DP MAPPING (IF SUBMIT) (The document must be attested by the DP under its seal)	Client Master Report/List (CMR/ CML)	1. Client Master Report should be of current date 2. The demat account should be in the name of Partnership Firm 3. Status of account should be ACTIVE. 4. Client ID and DP ID along with Depository name and logo should be available in the CML copy and attested in original by the DP
	DP Holding Statement/ DP Transaction Statement	1. Latest DP Holding Statement (should not be more than 6 months old). 2. The demat account should be in the name of Partnership Firm 3. Client ID and DP ID along with Depository name and logo required and attested by the DP in original
INCOME PROOF (Additional documents in case of trading in Derivatives, Currency & Commodity segments) Any one	Copy of ITR Acknowledgement	Provide copy of ITR for latest financial year
	Bank account statement	Bank Statement /passbook should not be more than 6 months old.
	Copy of Demat account Holding statement	Latest DP Holding Statement (should not be more than 3 months old)
	Net worth certificate	Provide latest financial year
DOCUMENT REQUIRE OF INDIVIDUAL PARTNERS		
PAN COPY	Pan Copy (Mandatory)	Require Individual Partners PAN copy
ADDRESS PROOF	Passport	Check validity (expiry date) & Provide front and back side of passport copy
	Voter ID	Provide front and back side copy of Voter ID
	UID (Aadhar)	Provide front and back side of AADHAAR card
	Ration Card	Provide front and back side copy of Ration card where details of Family members are mentioned
	Bank Account Statement / Passbook	1. Bank Statement /passbook should not be more than 3 months old. 2. Client should be first holder in the given bank account. 3. Original cancelled cheque leaf with name pre-printed on it 4. Bank Name and Bank logo should be available on statement / passbook. If logo is missing OR passbook is hand written, then bank attestation is mandatory. (Clear and visible bank stamp duly signed by Authorised Signatory)
	Driving License	Check validity (expiry date) & Provide front and back side copy of Driving License
	Telephone Landline bills	Should not be more than 3 months old
	Electricity Bills	Should not be more than 3 months old
	Registered Lease or Sale Agreement	For correspondence address only. And should be valid for next 3 months from date of account opening
	Flat Maintenance Bill	Require Flat maintenance bill along with Agreement, should be latest and not more than one year old
	Insurance Copy	Policy letter with latest premium copy - Policy document with latest Premium receipt
	Govt. Authorized Gas Connection Bill	Should be of latest 3 months

ACCETABALE LIST OF KYC DOCUMENTS for NON -RESIDENT INDIANS

Mandatory document	
Copy of Permanent Account Number (PAN) / Form 60 (in absence of PAN)	
Proof of Identity (A)	<p><u>Indian Passport Holder</u></p> <ul style="list-style-type: none"> Photocopy of Valid Indian Passport <p><u>Foreign passport Holder</u></p> <ul style="list-style-type: none"> Photocopy of Valid Foreign Passport <p><u>Latest Passport size photograph</u></p>
Proof of NRI/PIO Status (B)	<p><u>Indian Passport holder</u></p> <ul style="list-style-type: none"> Photocopy of valid Employment / Residence / Student / Dependent visa copy or work / Residence Permit copy <p><u>Foreign Password holder</u></p> <ul style="list-style-type: none"> Photocopy of OCI (Overseas Citizen if India) card / PIO (Person of Indian Origin) card PIO Declaration wherever Applicable
Proof of Address (C)	<p><u>Overseas Address</u> (one of the following)</p> <ul style="list-style-type: none"> Valid Passport Overseas Driving License Any other document as notified by the Central Government in consultation with the regulator Utility bill (Electricity / Telephone / Post-Paid Mobile Phone / Piped Gas / Water Bill) - (not more than 2 months old) Property or Municipal Tax Receipt Bank Account / Credit Card or Post Office Savings Bank Account statement (not more than 3 months old) 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 / Leave and License agreements allotting official accommodation from employer issued by State or Central Govt. departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Document issued by Government Department of Foreign Jurisdiction (Work/Resident Permit, Social Security Card, Green Card etc.) Letter issued by Foreign Embassy or Mission in India
Additional Document (D)	<p><u>Indian Address</u> (one of the following)</p> <ul style="list-style-type: none"> Valid Passport Driving License Voter's ID Card issued by the Election Commission of India Job Card issued by NREGA duly signed by an officer of the State Government Letter issued by the Unique Identification Authority of India (UIDAI) containing details of name, photograph, address & Aadhar Number (can only be accepted if customer is met face to face by the branch official) / Aadhar Card A Cheque drawn on a bank account abroad including IP Cheque (having address) A cancelled paid Cheque in original drawn on a bank abroad showing the signature, bank name, account number, address etc. Original Letter issued by the company - Authorized signatory, specifying the purpose of letter issuance as Account Opening on Company's Letterhead alongwith Date of Issuance [Not older than 3 months prior to the date of account opening] Photocopy of Appointment Letter issued by the overseas employer for the employment overseas Letter from University abroad or Photocopy of Student ID card (in case of NRI Students) Photocopy of Rent Agreement alongwith Utility Bill in the name of Landlord Photocopy of PAN Card Any of the documents having address (out of the section A / B / C above) <p>Note: Any document that has been submitted as ID/Address proof, the additional document has to be different.</p>

PMS NRI CHECKLIST

Types of Account

NRE: Non Resident (external)

NRE Accounts: Funds held in a bank account with NRE Status can be repatriated fully without any restrictions. NRE accounts can be opened for foreign exchange earned outside India and transferred to India.

This account can be held jointly with other non-resident Indian(s).

NRO: Non Resident Ordinary

NRO Accounts can be opened for the money you earn or acquire in India before and after becoming an NRI. Local funds, which do not qualify for remittance outside India are required to be credited to NRO accounts.

This account can be held jointly with resident or non - resident Indian (s).

Proofs Required For Trading DP & HDFC Bank Account

NRE / NRO Checklist

1. Pan Card
2. VISA copy (work permit if client has Indian Passport)
3. PIO or OCI Card or Resident Permit Card (If client has foreign passport)
3. Passport Copy
4. 2 Overseas Address Proof (Valid Bank Statement / Driving License / Utility Bill)
5. Indian Address (Aadhar Card / Driving License / Latest Bank Statement with transaction pg)
6. Immigration page
7. 15000 Funding Cheque for HDFC Bank favour "Client Name - HDFC Bank Ltd"
8. Franked ILFS POA should be notarize (Available in PMS Form)
9. Covering letter of ILFS (Available in HDFC KIT)

Additional documents required for Mariner Client

1. Mariner CDC Booklet
2. Fresh Contract Copy
3. Appointment Letter for overseas address proof
4. Mariner Declaration available on HDFC Site

FATF Country List - Only for HDFC Bank Account

The FATF currently comprises 33 member jurisdictions and 2 regional organizations, representing most major financial centers in all parts of the globe.

List of FATF countries			
Argentina	France	Luxembourg	Spain
Australia	Germany	Mexico	Sweden
Austria	Greece	New Zealand	Switzerland
Belgium	Hong Kong, China	Norway	Turkey
Brazil	Iceland	Portugal	United Kingdom
Canada	Ireland	Republic of Korea	United States
China	Italy	Russian Federation	India
Denmark	Japan	Singapore	
European Commission	Finland	Kingdom of the Netherlands*	South Africa
Gulf Co-operation Council (UAE, Kuwait, Bahrain, Qatar, Oman, Saudi Arabia)			

Note: Client belonging to NON FATF country all documents should be notarize by Indian Embassy or notary public overseas if client is not India. If client is in India please get the IPV done from HDFC Bank on all documents. Checklist of FATF list is available in HDFC Bank.

PMS NRI CHECKLIST

Documents Required in Existing Cases

1. Client having existing Please Account with HDFC Bank

- PIS Extension required
- Saving form
- PIS Kit
- ILFS POA and Covering Letter
- Nomination page
- AMB declaration
- Funding Cheque

2. Client having existing resident a/c with HDFC Bank

- Closure of Resident Account or Conversion of Resident to NRO

Important Points:-

- If client has existing resident a/c with HDFC Bank it has to be closed first and after closure form should be send to HO for processing.
- If client has existing pis a/c with HDFC Bank extension is required
- If client has existing pis a/c with HDFC Bank and providing new address for opening his bank a/c, change of address form is required
- If client has existing bank with HDFC and signed form with new signature, HDFC will require existing client signature declaration
- HDFC Bank form should be always filled as per passport copy
- Visa or OCI should consist the same passport no which is given to HO for processing
- If second holder is not having overseas address proof close relative declaration should be taken from client and given address proof should attested by both holder along with their passport copy.
- Client has not travel India so please get all KYC document attested by Indian Embassy and Notary public overseas
- Funding chq is important on each case even if client is existing a/c holder as we need to open fresh Saving and PIS a/c in Mumbai
- Any client belonging to NON FATF country and available in India for signing the documents, please get IPV done from any nearest HDFC Bank on his Saving form and KYC documents. (this will help us to avoid Notary attestation)

Issue By: PMS Account Opening Team