

**(Formerly known as Shriram Transport Finance Company Limited)**  
**Regd. Office:** Sri Towers, Plot No. 14A, South Phase, Industrial Estate, Gundy,  
 Chennai - 600 032. Ph: 044 485 24 666 [www.shriramfinance.in](http://www.shriramfinance.in)  
**Admin Office:** 6th Floor (level 2), Building No.Q2, Aurum Q Parc, Gen 4/1, TTC,  
 Thane Belapur Road, Ghansoli, Navi Mumbai 400710. Ph: +91-22-40957575.

Branch :

TR number	Cert number	Cert date	Checked By	Authenticated by	Authentication date



## Know Your Customer (KYC) Application Form (Resident Individuals / NRI)

Please fill the information in CAPITAL Letters and ☒ in appropriate places

The information is sought under Prevention of Money Laundering Act, 2002, the rules notified thereunder and RBI guidelines on Know Your Customer  
**For existing Depositor, the information furnished herein will supersede the information available in the records of SFL**

### Customer's Details (as per KYC documents)

Customer ID: \_\_\_\_\_ \*PAN (\*Form 60) \_\_\_\_\_  
(If existing Investors)

CKYC No \_\_\_\_\_ (if any) \*Gender : M ☐ F ☐ Others ☐

\*Date of Birth

\*Name \_\_\_\_\_

\*Father Name \_\_\_\_\_

\*Mother Name \_\_\_\_\_

Spouse Name (If Married) \_\_\_\_\_

\*Communication Address: \_\_\_\_\_

Paste latest passport size photograph with signature  
(DO NOT STAPLE)

IGNORE if already submitted earlier

City \_\_\_\_\_ State \_\_\_\_\_ \*Pin \_\_\_\_\_

Country \_\_\_\_\_ Birth Place \_\_\_\_\_

\*Nationality \_\_\_\_\_ \*Citizenship \_\_\_\_\_

\*Permanent Address: \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ \*Pin \_\_\_\_\_

Country \_\_\_\_\_

\* Marital Status:

☐ Married ☐ Unmarried  
☐ Others

\*Mobile No \_\_\_\_\_ \*Email ID \_\_\_\_\_

\* Fields are Mandatory

# Mandatory for E-Receipt

^If investment amount <= Rs.50,000/- & Pan not available

\*Occupation Type: ☐ Salaried ☐ Professional ☐ Self Employed  
☐ Student ☐ Housewife ☐ Retired ☐ Other (Please specify \_\_\_\_\_)

\*If Self Employed: ☐ Manufacturing ☐ Professionals ☐ Service Provider ☐ Agriculture ☐ Trader

Nature of Business: ☐ Jewellers/Bullion ☐ Real Estate ☐ Stock Broker ☐ Other (Please specify \_\_\_\_\_)

\*Please tick (✓) If the following is applicable to you ☐ Politically Exposed Person (PEP) ☐ Relative of PEP ☐ Not Applicable

### \*Annual Income:

☐ Upto Rs. 3 Lakhs ☐ Above Rs. 3 Lakhs - 6 Lakhs ☐ Above Rs. 6 Lakhs - 15 Lakhs ☐ Above Rs. 15 Lakhs - 30 Lakhs ☐ Above Rs. 30 Lakhs

### Source of Fund:

☐ Salaried ☐ Business Income ☐ Agriculture ☐ Investment Income ☐ Sale of Asset ☐ Other (Please Specify) \_\_\_\_\_

### \*Proof of Identity (Self Attested)

☐ Aadhaar issued by UIDAI ☐ Expiry Date \_\_\_\_\_  
☐ Passport \_\_\_\_\_  
☐ Driving Licence \_\_\_\_\_  
☐ Voter ID Card \_\_\_\_\_  
☐ Others : \_\_\_\_\_

### \*Proof of Address (Self Attested)

☐ Aadhaar issued by UIDAI ☐ Expiry Date \_\_\_\_\_  
☐ Passport \_\_\_\_\_  
☐ Driving Licence \_\_\_\_\_  
☐ Voter ID Card \_\_\_\_\_  
☐ Others : \_\_\_\_\_

### Additional Documents Required for NRI'S

- \* Address proof both Indian and overseas - Self Attested
- \* PIO card (if it is a foreign passport)
- \* Tax Resident Certificate (TRC) for IT Department of the country of which the investor is resident to avail DTAA benefit
- \* Overseas Employment letter (optional for confirmation of residential status and overseas address)
- \* Passport with valid visa page self attested
- \* DTAA Declaration
- \* NRI Undertaking cum FATCA / CRS declaration Form

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

\*Date : \_\_\_\_/\_\_\_\_/\_\_\_\_

\*Signature : \_\_\_\_\_

### For Office Use Only

Documents Received ☐ Certified Copies

Checked by \_\_\_\_\_

### KYC VERIFICATION CARRIED OUT BY

Emp. Name : \_\_\_\_\_  
Emp. Code : \_\_\_\_\_  
Designation : \_\_\_\_\_  
Date : \_\_\_\_\_

Employee signature

### INSTITUTION DETAILS

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

**DECLARATION BY KARTA & CO PARCENERS OF HUF**

To

Shriram Finance Limited

Dear Sir,

1. (Name of Karta) hereby declare that I'm the karta of the. (Name of HUF) and following persons are Co-Parceners of this HUF.
2. We all the below mentioned coparceners declare that we are the only members of Joint Hindu Undivided Family named.....
3. We further state that \_\_\_\_\_ is the Karta of the HUF and is authorized to invest in the name of HUF and to sign all forms and documents for and on behalf of HUF.
4. We undertake to inform you any change in the constitution of HUF by any reason including due to any addition of members or on account death of any members of HUF.

Details of our HUF and all its Co parceners are stated as under

Yours faithfully

(Karta of the HUF)

HUF Stamp to be affixed

**List of Co- Parceners**

Name	DOB	Relationship with karta	Signature

To be signed by all members including female members

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**Annexure II****Trust Declaration**

To,

Date \_\_ / \_\_ / \_\_ \_\_ \_\_

Shriram Finance Ltd.

(Formerly known as Shriram Transport Finance Co. Ltd)

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**We hereby declare / certify that:**

1. We do not have valid registration / tax exemption under Section 12A of Income Tax Act, 1961 or/and do not offer special exemption under Section 80G of the Income Tax Act, 1961
2. We have Valid Tax Exemption Certificate towards Investments in your Company for the Financial Year..... We are attaching (if opted, Tax Exemption Certificate submission is mandatory) the same for your perusal and reference. We request you to deduct tax as per rate stipulated by Income Tax authorities (Lower or Higher TDS than the current normal TDS rate.)
3. Any investment made by us in the Deposits of Shriram Finance Limited (SFL) is not an eligible investment under Section 11 (5) and 13 (1) (d) of the Income Tax Act in the case of a trust for charitable or religious purposes.
4. In case of Pre-closure of the FD in future, the interest shall be paid as per the terms and conditions of the FD Application form.
5. Form 15G provided by us will not entitle the trust to the benefit of sub – section (1A) of Section 197A if sub section (1B) of Section 197A is applicable.

**Authorized Signatory / ies with Trust Seal:**

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**Sample Board Resolution**

Certified copy of an extract from the Minutes of meeting of Governing Body/Managing Committee/Board Management/ Board of Trustees of \_\_\_\_\_ duly convened and at which a proper quoram was present, held at \_\_\_\_\_ (place) on \_\_\_\_\_ (date).

**RESOLVED**

- a) That a Fixed deposit account/ \_\_\_\_\_ (mention scheme) be opened in the name of \_\_\_\_\_ with Shriram Finance Limited Branch \_\_\_\_\_ (City) by depositing an amount of Rs. \_\_\_\_\_ (Rupees only) for a period of \_\_\_\_\_ months/years and/or by depositing such other amounts as may be available for such period (s) as may be required from time to time and that all/any \_\_\_\_\_ of the following office bearers be authorized to receive the amount of the said Fixed deposit Account(s).
1. \_\_\_\_\_ (Mention name and designation of office bearers)
  2. \_\_\_\_\_ (Mention name and designation of office bearers)
  3. \_\_\_\_\_ (Mention name and designation of office bearers)
  4. \_\_\_\_\_ (Mention name and designation of office bearers)
- b) RESOLVED FURTHER THAT, the Resolution be communicated to Shriram Finance Limited and shall remain remain inform until notice in writing of their withdrawal or cancellation is given to Shriram Finance Limited by the Company under the signatures of any two of the existing Directors/ officers/ Members/Trustees and accepted by Shriram Finance Limited.

Certified True Copy

For \_\_\_\_\_

\_\_\_\_\_  
Signatures

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

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

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**DECLARATION OF BENEFICIAL OWNERSHIP**

(Applicable to Company (Other than the company listed on a stock exchange or in case of a subsidiary of such a company), partnership firm, unincorporated association or body of individuals and trusts)

Name of the Legal Entity: \_\_\_\_\_

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

Type of Entity / Legal Constitution (Please tick the correct box)

- |  |  |
|--|--|
| <input type="checkbox"/> Company                                     | <input type="checkbox"/> Partnership Firm          |
| <input type="checkbox"/> Association of Persons (AOP)                | <input type="checkbox"/> Body of Individuals (BOI) |
| <input type="checkbox"/> Trust                                       | <input type="checkbox"/> Society                   |
| <input type="checkbox"/> Others (Club, University, Institution etc.) |  |

The Legal Entity as stated above hereby confirms and declares that on the below date that following natural person(s) are the Beneficial Owners.

Please fill details of Beneficial Owner holding more than 10% controlling interest (in case of company), 10% or more in case of trust or more than 15% controlling interest (in case of other entities), if Beneficial Owner is not identifiable or there are no natural person(s), who are Beneficial Owners, please fill details of Senior Managing Official.

(Please attach self-attested proof of KYC documents of Beneficial Owner/s or Senior Managing Official)

1	Full Name of Beneficial owner / Senior Managing Official:	
	Controlling ownership Interest (%):	
	Gender:	<input type="checkbox"/> Male <input type="checkbox"/> Female
	Date of Birth:	
	Address:	
	PIN Code:	
	PAN:	
	Aadhaar Number.:	
	KYC Documents:	
	-Identity Proof:	<input type="checkbox"/> Voter ID; <input type="checkbox"/> Passport; <input type="checkbox"/> Driving License; <input type="checkbox"/> Aadhaar; <input type="checkbox"/> NPR Letter
	-Address Proof:	<input type="checkbox"/> Voter ID; <input type="checkbox"/> Passport; <input type="checkbox"/> Driving License; <input type="checkbox"/> Aadhaar; <input type="checkbox"/> NPR Letter
	Director Identification Number (if applicable):	
	Mobile Number(s):	
	Residential status:	<input type="checkbox"/> Resident Indian Individual; <input type="checkbox"/> Foreign/Non-Resident Indian Individual
	Relationship:	<input type="checkbox"/> Shareholder; <input type="checkbox"/> Partner; <input type="checkbox"/> Trustee; <input type="checkbox"/> Promoter Director; <input type="checkbox"/> Nominee Director; <input type="checkbox"/> Independent Director; <input type="checkbox"/> Other Director; <input type="checkbox"/> Chairman/ Member (Society); <input type="checkbox"/> Member (AoP); <input type="checkbox"/> Others

2	Full Name of Beneficial owner / Senior Managing Official:	
	Controlling ownership Interest (%):	
	Gender:	<input type="checkbox"/> Male <input type="checkbox"/> Female
	Date of Birth:	
	Address:	
	PIN Code:	
	PAN:	
	Aadhaar No.:	
	KYC Documents:	
	-Identity Proof:	<input type="checkbox"/> Voter ID; <input type="checkbox"/> Passport; <input type="checkbox"/> Driving License; <input type="checkbox"/> Aadhaar; <input type="checkbox"/> NPR Letter
	-Address Proof:	<input type="checkbox"/> Voter ID; <input type="checkbox"/> Passport; <input type="checkbox"/> Driving License; <input type="checkbox"/> Aadhaar; <input type="checkbox"/> NPR Letter
	Director Identification Number (if applicable):	
	Mobile Number(s):	
	Residential status:	<input type="checkbox"/> Resident Indian Individual; <input type="checkbox"/> Foreign/Non-Resident Indian Individual
	Relationship:	<input type="checkbox"/> Shareholder; <input type="checkbox"/> Partner; <input type="checkbox"/> Trustee; <input type="checkbox"/> Promoter Director; <input type="checkbox"/> Nominee Director; <input type="checkbox"/> Independent Director; <input type="checkbox"/> Other Director; <input type="checkbox"/> Chairman/ Member (Society); <input type="checkbox"/> Member (AoP); <input type="checkbox"/> Others

In case of more than two beneficial owners, please provide their details as per for the above format

We certify that the facts stated above are true and correct. We undertake and agree that we will notify “**Shriram Finance Limited**” of any changes in the controlling persons, person exercising control or having controlling ownership interest in the Company, partnership firm, unincorporated association or body of individuals and trusts, as declared in the table above, without any delay.

For and on behalf of ----- [name of Company, partnership firm, unincorporated association or body of individuals and trusts]:

Signature of the Authorized Official\*:

Full Name of the Authorized official:

Designation / Position:

Date:

Place:

(\*The declaration should be signed by Authorized Signatories in case of Company, an active/designated partner in case of Partnership Firm/LLP, a trustee in case of Trust, a senior member in case of AOP, Society, Club and member of the Managing Committee in case of University and Institution)

For Branch use only

We certify that the beneficial owner(s) of the said Legal Entity has/have been determined on the basis of declaration made and documents submitted by the abovementioned Company/Partnership firm/Unincorporated association/Body of individuals/Trusts and the details furnished above have been verified from documents which are submitted or information wherever available, in public domain.

Signature of the Employee:

Employee Name:

Employee Code:

Date:

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As per RBI KYC Master Direction, Beneficial Owner (BO) is defined as:

a. Where the customer is a **Company**, the beneficial owner is the natural person(s), who, whether acting alone or together, or through one or more juridical persons, has/have a controlling ownership interest or who exercise control through other means.

Explanation- For the purpose of this sub-clause-

“Controlling ownership interest” means ownership of/entitlement to more than 10 per cent of the shares or capital or profits of the company.

“Control” shall include the right to appoint majority of the directors or to control the management or policy decisions including by virtue of their shareholding or management rights or shareholder’s agreements or voting agreements.

b. Where the customer is a **Partnership firm**, the beneficial owner is the natural person(s), who, whether acting alone or together, or through one or more juridical person, has/have ownership of/entitlement to more than 15 per cent of capital or profits of the partnership.

c. Where the customer is an **Unincorporated association or Body of individuals**, the beneficial owner is the natural person(s), who, whether acting alone or together, or through one or more juridical person, has/have ownership of/entitlement to more than 15 per cent of the property or capital or profits of the unincorporated association or body of individuals.

Explanation: Term ‘body of individuals’ includes societies.

Where no natural person is identified under (a), (b) or (c) above, the beneficial owner is the relevant natural person who holds the position of senior managing official.

d. Where the customer is a **Trust**, the identification of beneficial owner(s) shall include identification of the author of the trust, the trustee, the beneficiaries with 10% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

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