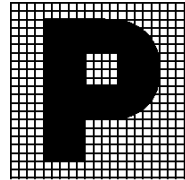


Name of Applicant \_\_\_\_\_ Code \_\_\_\_\_

Introducer \_\_\_\_\_ Code \_\_\_\_\_



**PhillipCapital**

**PHILLIPCAPITAL (INDIA) PVT. LTD.**

**CLIENT REGISTRATION FORM**

**(FOR INDIVIDUALS)**

**Registered Office / Head Office :**

No.1 18th Floor, Urmi Estate, 95, Ganpatrao Kadam Marg, Lower Parel West, Mumbai -  
400 013 Tel. 91 -22- 2483 1919 Fax: 91-22- 2494 2056 Toll Free No: 1800 221  
331 Website: [www.phillipcapital.in](http://www.phillipcapital.in) / Email: [customeraffairs@phillipcapital.in](mailto:customeraffairs@phillipcapital.in)

**Know Your Client (KYC)  
Application Form (For Individuals Only)**



Place for  
Intermediary Logo

Application No. :

Please fill in ENGLISH and in BLOCK LETTERS

**A. Identity Details (please see guidelines overleaf)**

1. Name of Applicant (As appearing in supporting identification document).

Name

Father's/Spouse Name

2. Gender  Male  Female    B. Marital status  Single  Married    C. Date of Birth

3. Nationality  Indian  Other (Please specify) \_\_\_\_\_

4. Status Please tick (✓)  Resident Individual  Non Resident  Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN 



 Please enclose a duly attested copy of your PAN Card

Aadhaar Number, if any: \_\_\_\_\_

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓)

UID (Aadhaar)  Passport  Voter ID  Driving Licence  Others \_\_\_\_\_ (Please see guideline 'D' overleaf)

**PHOTOGRAPH**

Please affix  
the recent passport  
size photograph and  
sign across it

**B. Address Details (please see guidelines overleaf)**

1. Address for Residence/Correspondence

City / Town / Village		Country	Pin Code
State			

2. Contact Details

Tel. (Off.)	(ISD)	(STD)	Tel. (Res.)	(ISD)	(STD)
Mobile	(ISD)	(STD)	Fax	(ISD)	(STD)
E-Mail Id.					

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport  Ration Card  Registered Lease/Sale Agreement of Residence  Driving License  Voter Identity Card  \*Latest Bank A/c Statement/Passbook  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill  Others (Please specify) \_\_\_\_\_

\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City / Town / Village		Country	Pin Code
State			

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport  Ration Card  Registered Lease/Sale Agreement of Residence  Driving License  Voter Identity Card  \*Latest Bank A/c Statement/Passbook  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill  Others (Please specify) \_\_\_\_\_

\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

6. Any other information: \_\_\_\_\_

**DECLARATION**

**SIGNATURE OF APPLICANT**

I hereby declare that the details furnished above are true and correct to the best of my/our 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/we are aware that I/we may be held liable for it.

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

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

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**FOR OFFICE USE ONLY**

IPV Done  on

AMC/Intermediary name OR code \_\_\_\_\_

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary should contain Staff Name Designation Name of the Organization Signature Date
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Seal/Stamp of the intermediary should contain Staff Name Designation Name of the Organization Signature Date
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## ADDITIONAL KYC DETAILS

### A. BANK ACCOUNT(S) DETAILS

Bank Name	Branch address	Bank account no.	Account Type: Saving/Current/ Others-In case of NRI/NRE/NRO	MICR Number	IFSC code

Mode of Operation of Bank account :       Single       Either or Survivor

### B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary name	DP ID	Beneficiary ID (BO ID)

### C. PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities/corporate bond market during the last 3 years	
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### D. OTHER DETAILS:

Employers/Establishment Name \_\_\_\_\_

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

Number of years of Investment / Trading Experience \_\_\_\_\_(Years in stocks) \_\_\_\_\_(Years in Derivatives)      In Corporate Bonds \_\_\_\_\_      No prior experience \_\_\_\_\_

Educational Qualification :  Under Graduate     Post Graduate       Graduate       Professional  
 Others (Specify)\_\_\_\_\_

Spouse's Name: \_\_\_\_\_ Date of Birth: \_\_\_\_\_

### DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I / We hereby confirm that I / We have never been debarred from dealing in capital/bond market and also never been suspended, expelled, defaulted at any stock exchange. I/We are not the member / Sub-broker at any exchange.

Place \_\_\_\_\_

Date \_\_\_\_\_

(-----)

Signature of Client/ (all) Authorized Signatory (ies)

**Terms and Conditions for dealing in Corporate Bonds and other products i.e. Market Linked Debentures, Structured Products etc. between Counterparty and PhillipCapital (India) Pvt Ltd (hereinafter referred to as "PCIPL")**

1. The instructions with regard to the transactions may be given through registered email ID or telephone or any other mode as permitted by PCIPL.
2. The counterparty has agreed to deal / trade in corporate bonds and other products i.e. Market linked Debentures, Structured Products etc at counterparty's own free will and consent and PCIPL and / or its employees have not induced the counterparty to deal/trade in corporate bonds and other products in any manner whatsoever.
3. The instructions with regard to the transactions issued by an authorised representative / agent, if any, of the counterparty shall be binding upon the counterparty. The counterparty will be principally liable for the actions of the authorised representative / agent. Details of such authorised representative / agent are given as under:  
Name : \_\_\_\_\_ PAN \_\_\_\_\_
4. The counterparty shall not hold PCIPL liable on account of PCIPL acting in good faith on instructions given by the counterparty or its authorized representative.
5. The counterparty agrees that orders, instructions and other communications given or made over the telephone may be routed through PCIPL's interactive Voice Response Channel or other telephone System and may be recorded by PCIPL. The Counterparty also agrees that such recording and PCIPL records of any orders, instructions and communications given or made by the Counterparty or PCIPL by electronic mail, fax or other electronic means shall be admissible as evidence and shall be final and binding upon the Counterparty as evidence of the same.
6. PCIPL shall endeavor to execute the orders of the counterparty on a best effort basis in terms of price and time and shall not be and cannot be held liable in this regard in whatsoever manner. Trading / Investment decision is the sole responsibility of the counterparty. The counterparty understands and agrees that past performance is not necessarily a guide to future performance.
7. PCIPL may at its discretion not carry out the counterparty's instruction where PCIPL has reasons to believe (which discretion of PCIPL the counterparty shall not question or dispute) that the instructions are not genuine or are otherwise improper / unclear / raise a doubt. PCIPL shall not be liable if any instructions are not carried / partly carried out for any reason, whatsoever.
8. The counterparty understands and agrees to the various risks including but not limited to market risk, default risk, counterparty risk, credit risk, interest rate risks, reinvestment risk etc. associated with trading in corporate bonds, market linked debentures, perpetual bonds and other products. The counterparty should carefully consider whether trading / investment is appropriate for the counterparty in light of counterparty's experience, objectives, financial resources and other relevant circumstances and after reading and understanding the Offer Document/RHP/Term Sheet etc. PCIPL and any of its employees, directors, associates and/or employees, directors, associates of PhillipCapital's group entities or affiliates shall not be liable for losses, if any, incurred by the counterparty.
9. The counterparty is advised to seek independent third party advice outside PhillipCapital group / associates / affiliates / directors / employees before and during counterparty's trading / investment.
10. The counterparty further understands that there is no guarantee/assurance as to returns or profits or capital protection or appreciation. Risk of loss in trading / investment can be substantial including loss of principal.
11. The counterparty shall indemnify PCIPL and keep PCIPL indemnified and save harmless, at all times from and against any and all claims, losses, damages, costs, liabilities and expenses incurred, suffered or paid by PCIPL or required to be incurred, suffered or paid by PCIPL and also against all demands, actions, suits, proceedings made, filed instituted against PCIPL, in connection with or PCIPL acting pursuant to, in accordance with or relying upon, any fax submission and/or email instructions or any unauthorised or fraudulent or partial Fax Submission and/or email instructions to PCIPL or non receipt of fax and/or email instructions.
12. The counterparty confirms that the title of the securities/debentures/bonds is clear and free from any encumbrance(s).
13. The counterparty agrees to abide by the circulars issued by the Exchanges / SEBI from time to time.
14. The counterparty and PCIPL agree that they shall keep the information received during the course of the trading confidential. However, information may be disclosed in case it is required by law or by any regulatory / statutory authority.
15. The deal confirmation and its contents once sent through fax, email or physical mode etc. by PCIPL will be final and binding upon the counterparty.
16. These terms and conditions are subject to the Rules, Bye-laws and Regulations of the Exchanges/SEBI that may be in force from time to time. These terms and conditions are subject to the jurisdiction of Courts in Mumbai.
17. The relationship between the counterparty and PCIPL is one of principal to principal basis and does not create and shall not be deemed to create any relationship of principal and agent or, master and servant or, employer and employee etc.

**For PhillipCapital (India) Pvt Ltd.**

**Authorised Signatory**

**Signature of Counterparty**

## FATCA / CRS DECLARATION FOR INDIVIDUAL ACCOUNTS

(Mandatory for each Account Holder)

Note – If you have any questions about your tax residency, please consult your professional tax advisor.

<b>Name of Account Holder :</b>	
<b>Country of Birth</b>	
<b>Country / ies of Citizenship</b>	

Are you a tax resident of any country other than India

Yes

No

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Number below.

<b>Name of Country</b>	<b>Tax Identification Number / Other Equivalent Number</b>	<b>Identification Type</b>

### Declaration:

1. I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief correct and complete. In case of any change in the above given status on a future date, I undertake to inform PhillipCapital India Pvt Ltd. (PCIPL) the same within 30 days.
2. I agree that if I am a U.S. Person or tax resident of a reportable foreign jurisdiction (other than U.S.) requiring reporting under FATCA/CRS or any other laws, my account details, as required under Inter Governmental Agreement (IGA)/ Multilateral Competent Authority Agreement (MCAA) signed by Indian Government, would be reported by PCIPL to the relevant tax authority.
3. If my Country of Birth is US, I am providing a certificate of relinquishment of citizenship (loss of nationality) OR a self certification for stating reasons for not having such a certificate despite relinquishing US citizenship OR not obtaining US citizenship at birth.
4. I hereby confirm that details as provided by me above can be shared by PCIPL with the concerned entities/authorities to whom FATCA/CRS norms are applicable.
5. I also understand that as may be required by domestic or overseas regulators/tax authorities, PCIPL may also be constrained to withhold payouts of any sum from my account or close or suspend my account (s).

<b>Client's Signature</b>	(S)
<b>Date</b>	