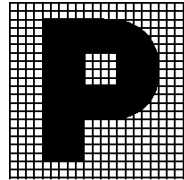


Name of Applicant _____ Code _____

Introducer _____ Code _____



PhillipCapital

PHILLIPCAPITAL (INDIA) PVT. LTD.

CLIENT REGISTRATION FORM

(FOR NON INDIVIDUAL)

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 / Email: customeraffairs@phillipcapital.in

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients.
- Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents as per the below mentioned list.
- If any proof of identity or address is in a foreign language then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals (allowed to trade subject to RBI and FEMA guidelines), copy of passport/POC/OC Card and overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no for the directors, their passport copy should be given.
- In case of Merchant Navy NRIs, Marine's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository participant or Mutual Fund for a minor or photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials etc.

B. Proof of Identity (POI): List of documents admissible as Proof of Identity:

- PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
- Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Diving license.
- Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

- Passport/Voter's Identity Card/Ration Card/Registered Lease or Sale Agreement of

Residence/Diving License/Flat Maintenance bill/Insurance Copy.

- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges giving the new address in respect of their own accounts.
- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Document issued by any Govt. or Statutory Authority.
- Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions/Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- For Fill/sub account, Power of Attorney given by Fill/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse may be accepted.

D. Exemptions/darifications to PAN

(*Sufficient documentary evidence in support of such claim to be collected)

- In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Court/seg. Official liquidator, Court receiver etc.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds up to Rs 50,000/- pa.
- In case of institutional clients, namely, FIIs, MFs, VCFs, FVCI, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

- 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).
- In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year) Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year) Photograph POI POA PAN and DIN number of whole time directors/two directors in charge of day to day operations Photograph POI POA PAN of individual promoters holding control – either directly or indirectly Copies of the Memorandum and Articles of Association and certificate of incorporation Copy of the Board Resolution for investment in securities market Authorized signatories list with specimen signatures
Partnership firm	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year) Certificate of registration (for registered partnership firms only) Copy of partnership deed Authorized signatories list with specimen signatures Photograph POI POA PAN of Partners
Trust	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year) Certificate of registration (for registered trust only)/Copy of Trust deed List of trustees certified by managing trustees/CA Photograph POI POA PAN of Trustees
HUF	<ul style="list-style-type: none"> PAN of HUF Deed of declaration of HUF/List of coparceners Bank pass-book/bank statement in the name of HUF Photograph POI POA PAN of Karta
Unincorporated Association or a body of individuals	<ul style="list-style-type: none"> Proof of Existence/Constitution document Resolution of the managing body & Power of Attorney granted to transact business on its behalf Authorized signatories list with specimen signatures
Banks/Institutional Investors	<ul style="list-style-type: none"> Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years Authorized signatories list with specimen signatures
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> Copy of SEBI registration certificate Authorized signatories list with specimen signatures
Army/Government Bodies	<ul style="list-style-type: none"> Self-certification on letterhead Authorized signatories list with specimen signatures
Registered Society	<ul style="list-style-type: none"> Copy of Registration Certificate under Societies Registration Act List of Managing Committee members Committee resolution for persons authorized to act as authorized signatories with specimen signatures True copy of Society Rules and Bye Laws certified by the Chairman/Secretary

Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant _____ PAN of the Applicant _____

Sr. No.	PAN	Name	DIN (For Directors) / UID (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	Photograph
						<div><input type="checkbox"/> PEP</div> <div><input type="checkbox"/> RPEP</div> <div><input type="checkbox"/> NO</div>	
						<div><input type="checkbox"/> PEP</div> <div><input type="checkbox"/> RPEP</div> <div><input type="checkbox"/> NO</div>	
						<div><input type="checkbox"/> PEP</div> <div><input type="checkbox"/> RPEP</div> <div><input type="checkbox"/> NO</div>	
						<div><input type="checkbox"/> PEP</div> <div><input type="checkbox"/> RPEP</div> <div><input type="checkbox"/> NO</div>	
						<div><input type="checkbox"/> PEP</div> <div><input type="checkbox"/> RPEP</div> <div><input type="checkbox"/> NO</div>	

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

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

ANNEXURE NO.2

(Please add additional sheet, if required)

The following persons are authorised to trade for and on behalf of _____

Name _____	Signature (S)		Please sign across the Photograph (S)
Designation _____			
PAN _____			
Residential Address _____ _____ _____	Initial (I)		

Name _____	Signature (S)		Please sign across the Photograph (S)
Designation _____			
PAN _____			
Residential Address _____ _____ _____	Initial (I)		

Name _____	Signature (S)		Please sign across the Photograph (S)
Designation _____			
PAN _____			
Residential Address _____ _____ _____	Initial (I)		

Name _____	Signature (S)		Please sign across the Photograph (S)
Designation _____			
PAN _____			
Residential Address _____ _____ _____	Initial (I)		

Name _____	Signature (S)		Please sign across the Photograph (S)
Designation _____			
PAN _____			
Residential Address _____ _____ _____	Initial (I)		

SELF-CERTIFICATION FOR ENTITIES FOR FATCA / CRS

Part I

A. Is the account holder a Government body/International Organization/listed company on recognized stock exchange? If “No”, then proceed to point B. If “yes” please specify name of stock exchange, if you are listed company and proceed to sign the declaration.	<input type="checkbox"/> Yes <input type="checkbox"/> No
B. Is the account holder a (Entity/Financial Institution) tax resident of any country other than India? If “yes”, then please fill of FATCA/ CRS Self certification Form as per PART II. If “No”, proceed to point C	<input type="checkbox"/> Yes <input type="checkbox"/> No
C. Is the account holder an Indian Financial Institution? If “yes”, please provide your GIIN, if any. If “No”, proceed to point D	<input type="checkbox"/> Yes <input type="checkbox"/> No
D. Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen? If “yes”, (then please fill FATCA/ CRS self-certification form as per PART II) If “No”, proceed to sign the declaration	<input type="checkbox"/> Yes <input type="checkbox"/> No

Customer Declaration:

() Under penalty of perjury, I/we certify that:

1. The applicant is:

(i) An applicant taxable as a US person under the laws of the United States of America (“U.S.”) or any state or political subdivision thereof or therein, including the District to Columbia or any other states of the U.S.,

(ii) An estate the income of which is subject to U.S. federal income tax regardless of the source thereof. (This clause is applicable only if the account holder is identified as a US person)

2. The applicant is an applicant taxable as a tax resident under the laws of country outside India.

(ii) I/We understand that PCIPL is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. PCIPL is not able to offer any tax advice on FATCA/CRS or its impact on me/us. I/we shall seek advice from professional tax advisor for any tax questions.

(iii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.

(iv) I/We agree that as may be required by domestic regulators/tax authorities PCIPL may also be required to report, reportable details to CBDT or close or suspend my account.

(v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Signature (as per MOP)	
Name of Account Holder	
Date	

Part II

Self-Certification Form (Entity) for Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standards (CRS)

Section 1: Entity information

Name of Entity	
Client Code /Client ID	
Address	
Entity Constitution Type (Refer Appendix 2)	
Entity Identification type (Refer Appendix 2)	<input type="checkbox"/> T <input type="checkbox"/> G <input type="checkbox"/> C <input type="checkbox"/> E <input type="checkbox"/> O
Entity Identification No (based on entity identification type)	
Entity Identification issuing country	
Country of Residence for tax purpose	

Section 2: Classification of Non-Financial entities

I/We (on behalf of the entity) certify that the entity is:

a) An entity incorporated and taxable in US (Specified US person)	<input type="checkbox"/> Yes <input type="checkbox"/> No
If "Yes", please provide your U.S. Taxpayer Identification Number (TIN)	
b) An entity incorporated and taxable outside of India (other than US)	<input type="checkbox"/> Yes <input type="checkbox"/> No
If "Yes", please provide your TIN or its functional equivalent	
Provide your TIN issuing country	
c) Please provide the following additional details if you are not a Specified US Person	
FATCA / CRS classification for Non-financial entities (NFFE)	
Active NFFE	<input type="checkbox"/>
Passive NFFE without any controlling Person	<input type="checkbox"/>
Passive NFFE with Controlling Person(s)	<input type="checkbox"/>
Direct Reporting NFFE (Choose this if any entity has registered itself for direct reporting for FATCA and thus PCIPL is not required to do the reporting). Please provide GIIN number	<input type="checkbox"/>

Section 3: Classification of financial institutions (including Banks)

I/We (on behalf of the entity) certify that the entity is

a. An entity is a U.S. financial institution	<input type="checkbox"/> Yes <input type="checkbox"/> No
If "Yes", (i) Please provide your Taxpayer Identification Number (TIN)	

Please provide GIIN, if any	
If “No”, please tick one of the following boxes below:	
FATCA classification	Please provide the Global Intermediary Identification number (GIIN) or other information where
Reporting Foreign Financial Institution in a Model 1 applicable Inter-Governmental Agreement (“IGA”) Jurisdiction	<input type="checkbox"/>
Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction	<input type="checkbox"/>
Participating FFI in a Non-IGA Jurisdiction	<input type="checkbox"/>
Non-reporting FI	<input type="checkbox"/>
Non-Participating FI	<input type="checkbox"/>
Owner-Documented FI with specified US owners	<input type="checkbox"/>

Section 4: Controlling person declaration

If you are classified as “**Passive NFFE with Controlling Person(s)**” or “**Owner documented FFI**” or “**Specified US person**”, please provide the following details:

Name of controlling person	Correspondence Address	Country of residence for tax purpose	TIN	TIN issuing Country	Controlling person type

Details	Controlling person 1	Controlling person 2	Controlling person 3	Controlling person 4	Controlling person 5
Identification Type (Refer Appendix 2)					
Identification Number					
Occupation Type (Refer Appendix 2)					
Occupation					
Birth Date					
Nationality					
Country of Birth					

Section 5: Declaration

(i) Under penalty of perjury, I/we certify that:

1. The number shown on this form is the correct taxpayer identification number of the applicant, and

2. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof, or

3. The applicant is an applicant taxable as a tax resident under the laws of country outside India.

(ii) I/We understand that PCIPL is relying on this information for the purpose of determining the status of the applicant named above in compliance with CRS/FATCA. PCIPL is not able to offer any tax advice on CRS or FATCA or its impact on me/us. I/we shall seek advice from professional tax advisor for any tax questions.

(iii) I/We agree to submit a new form within 30 days if any information or certification on this form gets changed.

(iv) I/ We agree as may be required by /Regulatory authorities, PCIPL shall be required to comply to report, reportable details to CBDT or close or suspend my account.

(v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct and complete including the tax payer identification number of the applicant.

I/We hereby confirm that details provided are accurate, correct and complete:

Signature (as per MOP)	
Names and designation of Signatories	
Name of Account Holder	
Date	
PAN Number of Account Holder	

(Company Seal, if applicable, to be affixed)