

Annexure -1

KNOW YOUR CLIENT (KYC) APPLICATION FORM

**A. IDENTITY DETAILS**

1. Name of the Applicant: \_\_\_\_\_
2. Father's/ Spouse Name: \_\_\_\_\_
3. a. Gender: Male/Female b. Marital status: Single/Married c. Date of birth: \_\_\_\_\_ (dd/mm/yyyy)
4. a. Nationality: \_\_\_\_\_ b. Status: Resident Individual / Non Resident / Foreign National
5. a. PAN: \_\_\_\_\_ b. Aadhaar: \_\_\_\_\_ c. if any: \_\_\_\_\_
6. Specify the proof of Identity submitted: \_\_\_\_\_

**B. ADDRESS DETAILS**

1. Address for Correspondence: \_\_\_\_\_  
City / town / village: \_\_\_\_\_ Pin Code: \_\_\_\_\_ State: \_\_\_\_\_ Country: \_\_\_\_\_
2. Contact Details: Tel. (Res.) \_\_\_\_\_ Mobile No.: \_\_\_\_\_ Email id: \_\_\_\_\_
3. Address proof submitted for correspondence: \_\_\_\_\_
4. Permanent Address (if different from above): \_\_\_\_\_  
City/town/village: \_\_\_\_\_ PinCode: \_\_\_\_\_ State: \_\_\_\_\_ Country: \_\_\_\_\_
5. Proof of address submitted for permanent address: \_\_\_\_\_

**C. OTHER DETAILS**

1. Gross Annual Income Details (please specify): Income Range per annum:  
Below Rs 1 Lac / 1-5 Lac / 5-10 Lac / 10-25 Lac / >25Lacs Or  
Net-worth as on (date)..... (-----) (Net worth should not be older than 1year)
2. Occupation: Private Sector/ Public Sector/ Government /Service / Business / Professional / Agriculturist / Retired / Housewife / Student / Others \_\_\_\_\_
3. Please tick, if applicable: Politically Exposed Person (PEP) /Related to Politically Exposed Person (PEP)

**DECLARATION**

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

Date: \_\_\_\_\_ (dd/mm/yyyy)

\_\_\_\_\_

Signature of the Applicant

## Risk Profile

(1) Would you invest where a small return is earned associated with small risk instead of a high return associated with high risk?

Strongly prefer [0]

Prefer [5]

Indifferent [15]

Indifferent [10]

Strongly do not prefer [20]

(3) High risk is associated with high return, Medium risk is associated with medium returns and low risk is associated with low returns? What risks can you bear (not prefer)?

High [20]

Medium [10]

Low [0]

(5) In which of the following market segments have you traded previously?

Equity

Derivatives

Commodity

Forex

All of the above

(7) What is your Age Group?

Under 35 [20]

30-45 [15]

46-55 [10]

55-60 [5]

60+ [0]

(9) Proposed Investment Amount

<1 lacs [0]

1-2 lacs [5]

2-5 lacs [15]

>5 lacs [20]

(2) When market is not performing well would you like to invest in more risky investment instead of less risky investment to earn high return?

Strongly prefer [20]

Prefer [15]

Indifferent [10]

Do not prefer [5]

Strongly do not prefer [0]

(4) What is the duration of investment you are looking forward to keep invested?

Short term 1 to 6 months [5]

Long term more than 1 year [0]

Intraday [10]

(6) What is your experience with equity investments?

Extensive experience

Moderate experience

Very less experience

No experience

(8) Investment Goal?

Capital appreciation [0]

Regular Income [20]

Capital appreciation and regular income [10]

(10) Gross Annual Income details.

Below 1 lac [0]

1-5 lacs [5]

5-10 lacs [10]

10-25 lacs [15]

More than 25 lacs [20]

(11) Investment Experience

< 3 years [0]

3-5 years [5]

>5 years [10]

(12) Market Value of portfolio held

<1 lacs [5]

1-2 lacs [10]

2-5 lacs [15]

>5 lacs [20]

(13) How many dependents do you financially support?

None [10]

Between 1-3 [5]

4+ [0]

(16) Occupation (please select the appropriate).

Private sector

Public sector

Government sector

Business

Professional

Agriculturist

House wife

Student

Self employed

(14)What is the size of your emergency fund?

do not have [0]

<1 month income [0]

1-3 months income [5]

3-6 months income [10]

>6 months income [15]

(15)What is your experience with investments in past?

Very Good [20]

Good [10]

Moderate [15]

Bad [5]

Very Bad [0]

(17)Are you any of the following, or are directly or indirectly related to any of the following?

Civil Servant

Politician

Current or former head of State

Bureaucrat (Tax authorities, Foreign Services, IAS etc)

Current or former MP/MLA/MLC

Connected to Media

Connected to any company/ promoter group/ group of companies listed in stock exchange

None

**Instructions for Completion of Risk Profiling Form:**

1) All details of Risk Profiling form should be completely filled by client. Tick the relevant box above.

2) Clients have to compulsorily answer all the questions. In case of any doubt, you can coordinate with your executive

3) Clients have to update total scores (based on all questions) along with the product taken (Service Name) at the last page (Duly signed by client).

All the questions which are related to risk profiling have been assigned weight and based on the total score of a client product/service is recommended; however special focus is made on any special requirements discussed with the client.

Date: \_\_\_\_\_ (dd/mm/yyyy)

Signature of the applicant