



Kotak Securities Ltd. Kotak Infinity, 8th floor, Building No 21, Infinity Park, Off Western Express Highway, Gen A. K. Vaidya Marg, Malad (E), Mumbai - 400097.

Branch Inward Details

Recd. on
Emp. Name
Emp. ID
Emp. Sign
Branch Name

KRA KYC COMMON UPDATION FORM B - INDIVIDUAL

Note:- In case of multiple holders, please fill up separate forms for FATCA

☐ Trading code

☐ Demat Account No.

DP ID: IN300214

Date

Please fill this form in ENGLISH and in BLOCK LETTERS. Please tick ☒ the appropriate now where CHANGE/CORRECTION is required IDENTITY DETAILS MANDATORY

***FATCA Declaration:** I/we confirm that our Country of Birth/Nationality/ Citizenship/ Tax Residency/ Address/ Telephone No./ Address of POA or Mandate holder is of India ☐ Yes ☐ No (if answer to your question is 'No', then please provide complete FATCA Declaration available on page 5 & 6)

Name

Gender* ☐ M-Male ☐ F-Female ☐ T-Transgender Date of Birth*

1. REQUEST FOR BANK DETAILS UPDATION/RTGS FACILITY

Change

☐ Addition (Only for trading)

CRM Query ID 5

I want to avail RTGS/NEFT Facility: ☐ Yes ☐ No Default mapping ☐ Yes ☐ No

Bank Name

Branch Address

City

Pin Code

IFSC Code of beneficiary bank

MICR Code:

Bank A/c No.

Bank A/c Type: ☐ Saving ☐ Current

Full name of First Holder in the Bank

Full name of Second Holder in the Bank

Full name of Third Holder in the Bank

I am enclosing the following documents as proof that the aforesaid account belongs to me:

1. Cancelled personalized cheque leaf of the above mentioned Bank Account and 2. Bank statement/Bank Passbook copy of the same.

3. In case Bank Account in Joint Name NOC from Account holder is required.

A/c Type: ☐ Online ☐ Offline

Bank Name: ☐ KMBL ☐ Other Bank

In case Existing Bank a/c is being replaced with KMBL A/c then read the Point # "E" given in "Instruction / Check List for Filling KYC Form"

2. Mode of Receiving Statement of Account [Tick any one]

Please refer instruction D

CRM Query ID 6

☐ Physical Form ☐ Electronic Form (Read the point #D' and ensure that email id is provided in KYC application form)

3. Request Form for Accepting Contract Notes and other Communication through Electronic mode and on Mobile Phone: (Only for trading)

Email ID: Mobile -

CRM Query ID 7

I/We hereby agree to receive: (Please tick any one) ☐ Contract notes and other communication on Email and mobile

☐ Contract notes and other communication through physical mode*

Please send all communication at my/our email id and mobile number as mentioned in the client registration form. I/ We agree that all information sent to the abovementioned email id shall be binding upon me/us. Further, I /We understand that nonreceipt of bounced mail notification by Kotak Securities Limited (KSL) shall amount to delivery of the contact note or such other information at my /our email id. I/We agree that KSL shall not be responsible for the non-receipt of the contract note/confirmation note/other correspondence by me/us due to any change in the address/email id/mobile number if not intimated by me/us. I/We am/are aware that for any change in the address/email id/mobile number, I/we am/are required to update the same to KSL in writing through a physical letter. If I/we avail online trading services provided by KSL, the said updation can also be made through a secured access to the website.

*Nominal charges may be debited to my account as per the prevalent policy of the company towards the physical delivery of various communication

The mobile number mentioned here belongs to Name of relative

☐ Self ☐ Spouse ☐ Dependent parent ☐ Dependent children PAN of relative

The email ID mentioned here belongs to Name of relative

☐ Self ☐ Spouse ☐ Dependent parent ☐ Dependent children PAN of relative

Client Signature

DECLARATION

I/ We hereby declare that the details furnished above are true & correct to the best of my knowledge and undertake to inform you of any changes therein immediately, and I/we may be held liable for any information is found to be false/misreading /misrepresenting. I/We are aware that the information provided herewith shall be updated in accounts maintained at Kotak Securities under intimation to me.

1st Holder

Name

2nd Holder

Name

3rd Holder

Name

ACKNOWLEDGEMENT

Date

From

Bank Updation/RTGS Facility ☐ Yes ☐ No CRM Query ID 5

having Trading Code

Email Consent for Transaction Statement (Only for DP) ☐ Yes ☐ No CRM Query ID 6

Client Id

Contract Note/Communication Preference (Only for Trading) ☐ Yes ☐ No CRM Query ID 7

For Kotak Securities Ltd.
(Company Seal) Employee Signature

Name of the Employee

Employee Code

Your request will be processed within a tentative period of 7 days from the date of receipt of complete documents. In case of queries regarding the status of the request, We request you to call on Customer Service No. 1800 209 9191. Demat related complaints write at ks.demat@kotak.com for any other queries or complaints write at service.securities@kotak.com.

IMPORTANT POINTS :

1. Self attested copy of PAN card and all other documents are mandatory all clients and persons authorized to deal in securities on behalf of for company / firm / others.
2. Copies of all documents submitted by the client should be verified with original by Kotak Securities employee / Registered Authorised Person. 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. 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.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport / PIOCard / OCI Card and over seas address proof is mandatory.
8. In case you submit deemed Officially Valid Document (OVD) for proof of address as your Officially Valid Document (OVD) does not contain updated address then you are required to submit OVD or their equivalent E-document within a period of three months, failing which we may suspend your account.

General Instructions:

- A) Fields marked with '*' are mandatory fields.
- B) Tick '√' wherever applicable.
- C) Please fill the form in English and in BLOCK letters.
- D) Please fill the date in DD-MM.YYYY format.
- E) For particular section update tick (√) in the box section number and strike off the sections not required to be updated.
- F) Please read section wise detailed guidelines/ instruction at the end.
- G) KYC number of applicant is mandatory for update application.
- H) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode.

A. Clarification / Guidelines on filling 'Personal Details' section

1. Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
2. One the following is mandatory: Mother's name, Spouse's name, Father's name.

B. Clarification / Guidelines on filling 'Current Address details' section

1. In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
2. POA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
3. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
4. Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
5. "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
6. 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.

List of documents for 'Deemed Proof of Address':

Sr.No.	Description
•	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
•	Property or Municipal tax receipt.
•	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 from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.

7. Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
8. "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
9. 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.

C. Clarification / Guidelines on filling 'Contact details' section

1. Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
2. Do not add '0' in the beginning of Mobile number.

D. Mode of Receiving Statement of Account

Notes: For receiving Statement of Account in Electronic form:

- I. Client must ensure the confidentiality of the password of the email account.
- II. Client must promptly inform the Participant if the email address has changed.
- III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.

E. BANK DETAILS UPDATION/RTGS FACILITY

In case you wish to have direct Access Facility with the new Bank Account and Power Of attorney has not been registered against this Account, please submit a copy of the "Linking Letter" to your Bank for linking the same. Please note that in absence of the same, you will be unable to transfer funds to your Trading Account.