

SELF DECLARATION FOR FINANCIAL DETAILS (For Individuals)

To,

Date:

Kotak Securities Limited

I/We _____ (Name of the client) having trading code _____ hereby provide following information.

1. Occupation _____ Nature of business: _____
2. Company Name _____ Designation _____
3. Specify your income range for the year ended with date (DD/MMM/YYYY) by ticking against the relevant slab:
☐ Below Rs. 1 lac ☐ Rs1-5 lacs ☐ 5-10 lacs ☐ 10-25 lacs ☐ more than 25 lacs
4. Gender : ☐ M / ☐ F Marital Status :- ☐ Married / ☐ Unmarried
5. Date of birth: (DD/MMM/YYYY)
6. Father's/Husband's/Guardian's Name: _____
7. Exact Income Rs. _____ as on _____ (date/year)
8. Net worth: Rs. _____ as on _____ (date/year)
9. Highest Balance in Bank Statement : Rs. _____ as on _____ (date/year)
10. Whether borrowed fund used for trading in securities market: Yes/No
11. Risk appetite : High/Medium/Low
12. Are you politically exposed person**: Yes/no
13. Is your family member or close relative a politically exposed person**: Yes/no

I hereby confirm that above declaration is correct and am also attaching one of the following documentary proofs in support thereof:

- i. Copy of latest ITR Acknowledgement
- ii. Copy of latest Annual Accounts
- iii. Net worth certificate by a CA/CS/ICWA*
- iv. Copy of Form 16 in case of salary income or Salary Slip
- v. Any other relevant documents substantiating ownership of assets.

*** Net worth means Assets (including immovable properties) - Liabilities**

Bank, Address, Email, Contact & PAN details are mandatory to be updated before activation of F&O

Name of the client - _____

Signature: _____

Note: Trading in F&O involves certain element of financial risk and therefore as per SEBI regulations, it is important that person has liquid net worth (i.e. excluding immovable property). Further, as per Prevention of Money Laundering Act (PMLA), trading of the client has to be in sync with his net worth/income. Accordingly minimum net worth required for trading in F&O is Rs. 50000. Any document which evidences income/net worth like form 16, ITR Acknowledgement, salary slip, net worth certificate is an acceptable proof. We strongly recommend that you provide any one of those documents to us to support your claim of income/net worth as ticked in KYC. In its absence, you may provide either the bank statement, DP or mutual fund statement with valuation which gives details of your assets with declaration that these assets represent your net worth. In case there are any borrowings against the said assets, same need to be reduced while giving self-declaration of net worth.

**Politically Exposed Person : Senior figure who is or has been entrusted with prominent public functions e.g., Head of State or of Government, senior politician, senior government / judicial / military officer, senior executive of state-owned corporation, important political party official, etc.

SELF DECLARATION FOR FINANCIAL DETAILS (for Non individuals)

I/we, _____ (Name of the client) having office at _____
_____ (address) and having trading code _____ hereby provide following information.

1. Occupation _____ Nature of business: _____
2. Name of the entity _____
3. Specify your income range for the year ended _____ (specify financial year) by ticking against the relevant slab:
☐ Below Rs. 1 lac ☐ Rs1-5 lacs ☐ 5-10 lacs ☐ 10-25 lacs ☐ 25 lacs-1crore ☐ more than Rs 1 crore
4. Exact Income: Rs. _____ as on _____ (date/year)
5. *Net worth: Rs. _____ as on _____ (date/year)
6. Highest Balance in Bank Statement : Rs. _____ as on _____ (date/year)
7. Whether borrowed fund used for trading in securities market: Yes/No
8. Risk appetite : High/Medium/Low
9. Are your promoter/Directors/Trustees/Co parceners etc. is politically exposed person**: Yes/no
10. Are your promoter/Directors/Trustees/Co parceners etc. related to any politically exposed person* : Yes/No

I/We hereby confirm that above declaration is correct and are attaching **one** of the following documentary proofs in support thereof:

- i. Copy of latest ITR Acknowledgment
- ii. Copy of latest Annual Accounts
- iii. Net worth certificate by a CA/CS/ICWA*

Further, as per SEBI requirement we are submitting updated list of directors/trustees/partners (as applicable).

☐ We undertake that we will submit a certified copy of Annual Balance sheet every year before 31st October.

* Net worth means liquid net worth i.e. Assets (excluding immovable properties) - Liabilities

**Politically Exposed Person : Senior figure who is or has been entrusted with prominent public functions e.g., Head of State or of Government, senior politician, senior government / judicial / military officer, senior executive of state-owned corporation, important political party official, etc.

Name of the authorized signatory of the client

Signature: -----

Note: Trading in F&O involves certain element of financial risk and therefore as per SEBI regulations, it is important that person has liquid net worth (i.e. excluding immovable property). Further, as per Prevention of Money Laundering Act (PMLA), trading of the client has to be in sync with his net worth/income. Accordingly minimum net worth required for trading in F&O is Rs. 50000/-