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Sr.No	Name of Document	Brief Significance of the Documents
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES		
1.	Account Opening Form	<ul style="list-style-type: none"> • KYC Form - Document captures the basic information about the constituent and an instruction/ check list. • Document captures the additional information about the constituent relevant to Trading/ Demat account and an instruction/check list. • Declaration for FATCA/CRS
2.	Tariff Sheet	Document detailing the rate/amount of brokerage & other charges levied on the client for trading on stock exchange(s) & DP Service charges/ Fee Structure
3.	Rights and Obligations	Rights & Obligations for Trading on Exchanges.
4.	Risk Disclosure Document (RDD)	Know the risks of the Equity & Derivatives Market
5.	Guidance Note	Do's & Don'ts for Trading on the Exchanges
6.	Policies and Procedures	Policies and Procedures of Stockal Securities Private Limited for dealing with Clients (for Brokers)
7.	Rights & Obligations of Beneficial Owners & Depository Participants:	Document stating the Rights & Obligations of Beneficial Owners and Depository Participants.

Name of stock broker: **Stockal Securities Private Limited**
SEBI Registration No. and date: **INZ000301236 dated 18th August 2021**

Registered office (Correspondence) address: **401, Ranka Park Apartment, Richmond Circle, Lalbagh Road Bangalore Bangalore KA 560027** Ph: 02242792110 Website: **www.stockalsecurities.com**

Compliance officer name: **Mr. Chirag Meghani,**
phone no. 02242792110 email id- **compliance@stockalsecurities.com**

CEO name: **Sitashwa Srivastava**
phone no 02242792110 & email id: **legal@stockalsecurities.com**

For any grievance/dispute please contact **Stockal Securities Private Limited** at the above address or email id- **compliance@stockalsecurities.com** and Phone no. 02242792110.

In case not satisfied with the response, please contact the concerned exchange(s) at **is@bseindia.com** or contact at **022-22728097**

CHECK LIST FOR FILLING KYC FORM
(List of documents to be Submitted) - For Non-individual

Types of Entity	Documentary requirements	Please Tick
Corporate	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, Proof of Identification, Proof of Address, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.	
	Photograph, Proof of Identification, Proof of Address, PAN of beneficiary owner who owns / entitled to more than 25% of shares/capital/profits	
	Copies of the Memorandum and Articles of Association and certificate of incorporation.	
	Copy of the Board Resolution or Declaration (on the Letterhead) naming the persons authorised to deal in securities on behalf of company/firm/others and their specimen signatures for investment in securities market.	
	Authorised signatories list with specimen signatures alongwith photo.	
Partnership Firm	Copy of the balance sheets for the last 2 financial years (to be submitted every year)	
	Certificate of Registration (for registered partnership firms only).	
	Certified copy of partnership deed	
	Authorised signatories list with specimen signatures alongwith photo.	
	Photograph, Proof of Identification, Proof of Address, PAN of beneficiary owner who owns / entitled to more than 15% of capital/profits	
Trust	Copy of the balance sheets for the last 2 financial years (to be submitted every year).	
	Certificate of registration (for registered trust only).	
	Certified copy of Trust deed.	
	List of trustees certified by managing trustees/CA.	
	Photograph, Proof of Identification, Proof of Address, PAN of beneficiary owner who owns / entitled to more than 15% of property/capital/profits	
HUF	PAN of HUF.	
	Deed of declaration of HUF/ List of coparceners.	
	Bank pass-book/bank statement in the name of HUF.	
	Photograph, Proof of Identification, Proof of Address, PAN of Karta.	
Unincorporated association or a body of individuals	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 alongwith photo.	
Banks/Institutional	Photograph, Proof of Identification, Proof of Address, PAN of beneficiary owner who owns / entitled to more than 15% of property/capital/profits	
	Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.	

Investors	Authorized signatories list with specimen signatures alongwith photo.	
Foreign Institutional Investorts (FII)	Copy of SEBI registration certificate.	
	Authorized signatories list with specimen signatures alongwith photo.	
Army/Government Bodies	Self-certification on letterhead.	
	Authorized signatories list with specimen signatures alongwith photo.	
Registered Society	Copy of Registration Certificate under Societies Registration Act.	
	List of Managing Committee members.	
	Committee resolution for persons authorised to act as authorised signatories with specimen signatures.	
	True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.	
Photograph (Passport Size)	Promoters (more than 5% stake)/ Partners/ Whole time Directors/ Authorised Persons/ Trustees/Beneficiary owners	
PAN Card	Certified photo copy of PAN Card of the Non Individual Promoters (more than 5% stake)/ Partners/ Whole time directors/ Authorised Persons	

Types of Entity	Documentary requirements	Please Tick
Bank Proof (Any One)	Bank Statement (not more than 3 months old & seal and signature of the bank official in case no latest transaction)	
	Banker's Certificate on letter head of the bank certifying the account number and date from which the account is operational	
	Cancelled Personalized (in the name of the Non Individual Applicant) Cheque leaf	
Address Proof (Any One)	For the Non Individual Applicant	
	Bank Statement (not more than 3 months old & seal and signature of the bank official in case no latest transaction)	
	Ack. Copy of the IT Return	
	Leave & License Agreement/ Agreement for sale	
	Certified copy of Form No.18 filed with the Registrar of Companies along with filing fee receipt	
	For Promoters (>5 % stake)/ Partners/ Whole time directors/ Authorised Persons/ Trustees/ Beneficiary owners	
	Unique Identification Number (UID) (Aadhaar)	
	Valid Passport (Name, Address & photo page)	
	Voter ID (front and back)	
	Valid Driving License (Name, Address & photo page)	
	Bank Passbook/ Statement (not more than 3 months old seal and signature of the bank official in case no latest transaction)	
	Banker's Certificate on letter head of the bank	
	Electricity Bill (not more than 2 months old)	
	Resident Landline Tel. Bill (not more than 2 months old)	
Notarized Leave & License/ Rent Agreement/ Flat Sale Agreement		
Other* (Pls. Specify) _____		
Income Proof of the Corporate Client (Any One)	Copy of ITR Acknowledgement (for the last three years)	
	Copy of Annual Accounts (for the last three years)	
	Net worth certificate (for the last three years)	
	Bank account statement for last 6 months	
	Copy of demat account Holding statement	
Any other relevant documents substantiating ownership of assets		
Identity Proof of Promoters (more than 5% stake)/ Partners/Whole time Directors/ Authorised Persons /Trustees/ Beneficiary owners (Any One)	Valid Passport (Name, Address & photo page)	
	Voter ID (front and back)	
	Valid Driving License	
	PAN card	

*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/ Documents issued by any Govt. or Statutory Authority | Self declaration by High Court & Supreme Court Judges giving the address in respect of their own account | The proof of address in the name of the spouse may be accepted | Ration Card | Flat Maintenance Bill | Insurance Copy | Gas Bill | 1[Identity Card or Document with address, issued by Central or State Govt. & its dept., Statutory or Regulatory Authorities, Public sector undertaking, Schedule Commercial Bank, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWA, ICSI, Bar Council etc. to their members]

IMPORTANT INSTRUCTIONS
GENERAL:

- 1 Trading Account will be in the name of First/Sole holder of Demat and/or Bank A/c only
- 2 Thumb impression and signatures other than English, Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a special Executive Magistrate
- 3 Witness should be a person other than co-holder/ joint holder
- 4 The applicant should authenticate any corrections/ alteration in the account opening form
- 5 All the fields in the Form must be filled up by the applicant otherwise the Form may be rejected
- 6 In case of Non Individual Applicant, signature shall be alongwith the Applicant's seal. Signature should be preferably in black ink.
- 7 Incase of any correction/cancellation, please provide counter signature on the left side of the page.

BANK DETAILS:

- 1 Cheque/DD towards Registration fees & other charges should be drawn in favour of "Stockal Securities private Limited
- 2 It is mandatory to provide complete All Bank Accounts' details. In absence of complete details, form may be rejected.

INSTRUCTIONS/GUIDELINES FOR FILLING KYC APPLICATION FORM

General Instructions

1. Self-Certification of documents is mandatory.
2. KYC number of applicant is mandatory for update/change of KYC details.
3. For particular section update, please tick (☑) in the box available before the section number and strike off the sections not required to be updated.
4. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant 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 list mentioned under [I].
5. If any proof of identity or address is in a foreign language, then translation into English is required.
6. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
7. If correspondence & permanent addresses are different, then proofs for both have to be submitted.
8. Sole proprietor must make the application in his individual name & capacity.
9. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
10. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
11. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/ Passport of Minor/Birth Certificate must be provided.

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

1. Name: Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
2. Either father's name or spouse's name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

B. Clarification/Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

1. Tax identification Number (TIN): TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/ insurance number, citizen/personal identification/services code/number, and resident registration number)

C. Clarification / Guidelines on filling 'Proof of Identity [PoI]' section, if PAN Card copy is not enclosed/For PAN exempt Investors

1. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
2. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked.
3. Others – Identity card with applicant's photograph issued by any of the following: Central/ State Government 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.
4. Letter issued by a gazetted officer, with a duly attested photograph of the person.

D. Clarification / Guidelines on filling 'Proof of Address [PoA] section

1. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
3. Others includes – Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India; Identity card with applicant's photograph and address issued by any of the following: Central/ State Government 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.

E. Clarification / Guidelines on filling ‘Proof of Address [PoA] - Correspondence / Local Address details’ section

1. To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
2. In case of multiple correspondence / local addresses, Please fill ‘Annexure A1’
3. Others includes – Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India; Identity card with applicant’s photograph and address issued by any of the following: Central/ State Government 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.

F. 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.

G. Clarification / Guidelines on filling ‘Related Person details’ section

1. Provide KYC number of related person if available.

H. Clarification / Guidelines on filling ‘Related Person details – Proof of Identity [PoI] of Related Person’ section

1. Mention identification / reference number if ‘Z- Others (any document notified by the central government)’ is ticked.

I. List of people authorized to attest the documents after verification with the originals:

1. Authorised officials of Asset Management Companies (AMC).
2. Authorised officials of Registrar & Transfer Agent (R&T) acting on behalf of the AMC.
3. KYD compliant mutual fund distributors.
4. 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).
5. 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.
6. Government authorised officials who are empowered to issue Apostille Certificates.

J. List of people authorized to perform In Person Verification (IPV):

1. Authorised officials of Asset Management Companies (AMC).
2. Authorised officials of Registrar & Transfer Agent (R&T) acting on behalf of the AMC.
3. KYD compliant mutual fund distributors.
4. Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (for investors investing directly).
5. In case of NRI applicants, a person permitted to attest documents, may also conduct the In Person Verification and confirm this in the KYC Form.

K. PAN Exempt Investor Category

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.