

The Saraswat Co-operative Bank Ltd.

(A Scheduled Bank)



Saraswat Bank

Madhushree, Plot No. 85, District Business Centre, Sector 17, Vashi, Navi Mumbai - 400 703.
Tel. : +91 22 2788 4161-64 ☐ F : +91 22 2788 4153 E-mail : user_demut@saraswatbank.com

PART I KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Non-Individuals) Annexure K

Please fill this form in ENGLISH and in BLOCK LETTERS

A. IDENTITY DETAILS

1	Name of the Applicant																																				
2	Date of incorporation											Place of incorporation																									
3	Date of commencement of business																																				
4	a) PAN																		b) Registration No. (e.g. CIN)																		
5	Status (please tick any one):																																				
	<input type="checkbox"/> Private Limited Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Trust <input type="checkbox"/> Charities <input type="checkbox"/> NGO's <input type="checkbox"/> Bank <input type="checkbox"/> Government Body <input type="checkbox"/> Non Government Organization <input type="checkbox"/> Defense Establishment <input type="checkbox"/> Society <input type="checkbox"/> LLP <input type="checkbox"/> Partnership <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> HUF <input type="checkbox"/> AOP <input type="checkbox"/> BOI <input type="checkbox"/> Others (please specify)																																				

Photograph:
Please affix your recent passport size photograph

Attach recent photograph

B. ADDRESS DETAILS

1	Correspondence Address																		
		City/town/village						PIN Code											
		State						Country											
2	Specify the proof of address submitted for correspondence address																		
3	Contact Details	Tel. (Off.)						Tel. (Res.)											
		Fax No.						Mobile No.											
		Email ID																	
4	Registered Address (if different from above.)																		
		City/town/village						PIN Code											
		State						Country											
5	Specify the proof of address submitted for registered address																		

C. OTHER DETAILS

1	Gross Annual Income Details (please specify):	2	Networth										
	Income Range per annum		Amount (₹)										
	<input type="checkbox"/> Below ₹ 1 lac <input type="checkbox"/> ₹ 10- 25 lac <input type="checkbox"/> ₹ 1- 5 lac <input type="checkbox"/> ₹ 25 lac - 1 crore <input type="checkbox"/> ₹ 5- 10 lac <input type="checkbox"/> More than ₹ 1 crore		As on (date) <table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>										
			(Networth should not be older than 1 year)										
3	Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors:												
4	DIN/UID of Promoters/Partners/Karta and whole time directors:												
5	Please tick, if applicable, for any of your authorized signatories / Promoters / Partners / Karta / Trustees / whole time directors:												
	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)												
6	Any other information												

If space is insufficient, enclose these details separately (Illustrative format enclosed)

D. DECLARATION

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.

Name & Signature of the Authorised Signatory(ies)

Date

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FOR OFFICE USE ONLY

- (Originals verified) True copies of documents received
- (Self-Attested) Self Certified Document copies received

Signature of the Authorised Signatory

Date

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Seal/Stamp of The Saraswat Co-Operative Bank Ltd.

Details of Promoters / Partners / Karta / Trustees and whole time directors forming a part of Know Your Client (KYC)

Application Form for Non-Individuals

Sl. No.	1	2	3	4	5
Name					
Relationship with Applicant (i.e. promoters/whole time directors etc.)					
PAN					
Residential/Registered Address					
DIN/UID					
Photograph					
Signature of the Authorised Signatory(ies)					

Date

D	D	M	M	Y	Y
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Annexure JB

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/other.
- 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 / PIO Card / OCI 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 (NRI's), Mariner'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, 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:

- Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving license.
- PAN card with photograph.
- 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/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance Bill/Insurance Copy.

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

Type of entity	Documentary requirements	Type 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/whole 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 	HUF	<ul style="list-style-type: none"> PAN of HUF Deed of declaration of HUF/Deed 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/regulation or annual report/balance sheet for the last 2 financial years 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 	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
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 	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

Note: The following terms: • OCI - Overseas Citizenship of India • PIO - Person of Indian Origin • CIN - Company Identification Number • DIN - Director Identification Number