

FATCA & CRS Declaration - Individual

PAN Trading DP Code

Name

Place of Birth Country of Birth

Nationality

Annual Income ☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac ☐ Rs. 5 Lac to 10 Lac
☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ > 1 Crore

Net Worth Amount Rs. Net Worth as on
(Net worth should not be older than 1 year)

Occupational Detail ☐ Business ☐ Private Sector ☐ Professional ☐ Government Service ☐ Public Sector
☐ Agriculturist ☐ Housewife ☐ Student ☐ Retired ☐ Forex Dealer ☐ Others Pl. Specify

Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) ☐

Are you a tax resident of any country other than India ☐ Yes ☐ No

If yes please indicates the all countries in which you are resident for tax purpose and the associated Tax ID number below.

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other, please specify)
1.			
2.			
3.			

DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Vishwas Fincap Services Pvt. Ltd for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Sign here : (I)

Date :

Place :

For Investor convenience, Vishwas Fincap Services Pvt. Ltd (VFSPL) collecting this mandatory information for updating across all Group Companies of VFSPL whether you are already an investor or would become an investor in future.

Please submit the form fully filled, signed, for all the holder, separately, and submit at your nearest VFSPL branch or you can dispatch the hard copy to-

Vishwas Fincap Services Pvt Ltd
WZ-310 Nangal Raya, Delhi Cantt
New Delhi-110046

• For Detail Terms & Conditions please visit www.vishwasfincap.com

Vishwas Fincap Services Pvt. Ltd

Depository Participant with CDSL DP-ID 12074200 * SEBI Regn. No. IN-DP-CDSL-655-2012
WZ-310, Nangal Raya, Jail Road, Delhi Cantt, New Delhi-110046
Phone: 011-47115501 to 5530 Fax: 91-11-28112661 Email: dp@vishwasfincap.com
Website: www.vishwasfincap.com

SCHEDULE OF SERVICES CHARGES FOR DP SERVICES

SCHEME	SCHEME - A (Rs. 500/- payable upfront)	SCHEME - B Rs. 795/- (Non refundable) for Nil Life Time AMC
1. Account Opening Charges	Nil	Nil
2. Account Maintenance Charges	Rs. 250/- per annum	Nil
3. Document Charges	Rs. 125/-	Nil
4. Dematerialisation Charges	Rs. 50/- per DRF plus Rs. 5/- per certificate	Rs. 50/- per DRF plus Rs. 5/- per certificate
5. Rematerialisation Charges	Rs. 25/- per every 100 securities or part thereof; oraflat fee of Rs. 20/- per certificate whichever is higher will be payable & plus Rs.30/- courier charges.	Rs. 25/- per every 100 securities or part thereof; oraflat fee of Rs. 20/- per certificate whichever is higher will be payable & plus Rs.30/- courier charges.
6. Custody	Nil	Nil
7. Transaction Charges (per transaction) (a) Receipt/Purchase (b) Delivery/Sale	Nil 0.01% (Minimum Rs. 15/-)	Nil 0.01% (Minimum Rs. 15/-)
8. Pledge Charges (per transaction Creation, Invocation/Closure	Rs. 50/-	Rs. 50/-
9. Easiest subscribers (password user)	Rs. 100/- p.a.	Rs. 100/- p.a.
10. In truction Booklet	Rs. 30/- plus courier charges	First Book Free another booklet charges Rs. 30/- plus courier charges.

In addition to the above, the following out pocket expenses shall also be charged.

- Failed instruction intimation : Rs. 20/- per intimation per instruction
- Additional Statement of Holding/Transaction : Rs. 5/- per page+ Postage as per actual.
- In case of demat rejection, postage charges shall be charged @ Rs. 35/- of dispatch of share certificates to the client.
- Any modification in client master will be charged @ Rs. 50/- per modification.
- Any other services not specified above shall be charged extra.
- Taxes and other government fee/charges shall be levied extra, as applicable from the time.
- Charges for DP services in respect of client having trading account/s with VISHWAS FINCAP SERVICES PVT. LTD. or VISHWAS COMMODITIES PVT. LTD. will be debited to their trading accounts.
- Late payment charges @ 2.0% per month.
- VISHWAS FINCAP SERVICES PVT. LTD. may suspend/freeze the depository services of the account holder in case of non-payment of outstanding bill till the time of actual clearance of debt balance.
- Above charges are subject to revision at Depository Participant's sole discretion, for which Depository Participant shall give 30 days prior notice.
- Lifetime AMC valid only for twelve year.

☐ Schemed Opted ☐ Scheme - A ☐ Scheme - B

Signatures

The First Holder/Signatory's Signature	Second Holder/Signatory's Signature	Third Holder/Signatory's Signature

POWER OF ATTORNEY

(For Securities Pay-in/Margin Obligations only)

To all to whom these presents shall come I/we (name of the beneficial owner/s), residing at/ having my/our residence/ office at send greetings.

Whereas I/we hold beneficial owner account number 12074200-000 with Central Depository Services (India) Limited (CDSL), through Vishwas Fincap Services Private Limited, registered with Securities and Exchange Board of India (SEBI).

And Whereas I/we am/are desirous to buy and sell securities through **M/s. Vishwas Fincap Services Private Limited** as my/our constituted attorney to operate my/our beneficial owner account on my/our behalf for a limited purpose in the manner hereinafter appearing and subject to conditions as provided herein.

And Whereas I/we am/are desirous of appointing **M/s. Vishwas Fincap Services Private Limited** as my/our constituted attorney to operate my/our beneficial owner account on my/our behalf for a limited purpose in the manner hereinafter appearing and subject to conditions as provided herein.

Now know you all and these presents witness that I/we do hereby nominate, constitute and appoint **M/s. Vishwas Fincap Services Private Limited** (hereinafter referred to as "the stock broker") as my true and lawful attorney and authorize it to perform the following functions on my behalf:

- i to transfer securities held in my/our aforementioned beneficial owner account(s) or any other account informed by me in writing to the stock broker from time to time to the demat account nos. 1207420000000800, 1207420000001118, 1207420000000021 and/or any other demat account that may be opened or maintained by the stock broker, for the limited purpose of meeting my/our securities pay-in and/or margin obligations (or by way of pledge or repledge to clearing member and clearing corporation) arising out of trades executed by me/us on any recognized stock exchange through the stock broker.
- i to return to me/us, the securities that may have been received by the stock broker erroneously or those securities that the stock broker was not entitled to receive from me/us; and
- i to send consolidated summary of my/our scrip-wise buy and sell positions taken with average rates to me/us by way of SMS/email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.

I/we ratify the instructions given by the aforesaid stock broker to the depository participant named hereinabove in the manner specified herein.

I/we further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked (without notice) in writing by me/us and that the said revocation shall be effective from the date on which the revocation notice is received by the stock broker in his office at WZ-310, Nangal Raya, New Delhi-110046

Dated this day of,

SIGNED AND DELIVERED

(By the within named Beneficial Owner)

 (Signature of BO)

IN THE PRESENCE OF

Name.....

 (Signature of Witness)

Address.....

.....

I Accept (on behalf of Vishwas Fincap Services Private Limited)

Name.....

 (Signature of POA Holder)

Address.....

.....

Know Your Client (KYC) Application Form (For Individuals Only)

Application No.:

Please fill in ENGLISH and in BLOCK LETTERS with black ink

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (As appearing in supporting identification document).

Name

Father's/Spouse Name

2. Gender ☐ Male ☐ Female B. Marital status ☐ Single ☐ Married C. Date of Birth

3. Nationality ☐ Indian ☐ Other (Please specify)

4. Status Please tick () ☐ Resident Individual ☐ Non Resident ☐ Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN Please enclose a duly attested copy of your PAN Card

Unique Identification Number (UID)/Aadhaar, if any:

6. Proof of Identity submitted for PAN exempt cases Please Tick ()

☐ UID (Aadhaar) ☐ Passport ☐ Voter ID ☐ Driving Licence ☐ Others (Please see guideline 'D' overleaf)

PHOTOGRAPH

Please affix
the recent passport
size photograph and
sign across it

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City/Town/ Village

State

Country

Pin Code

2. Contact Details

Tel. (Off.) (ISD) (STD)

Mobile (ISD) (STD)

E-Mail id.

Tel. (Res.) (ISD) (STD)

Fax (ISD) (STD)

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick () against the document attached.

☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook

☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others (Please specify)

☐ *Not more than 3 Months old. Validity/Expiry date of proof of address submitted

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City/Town/ Village

State

Country

Pin Code

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick () against the document attached.

☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook

☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others (Please specify)

☐ *Not more than 3 Months old. Validity/Expiry date of proof of address submitted

C. Other Details (please see guidelines overleaf)

1. Gross Annual Income Details (Please tick ()): Below 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ > 25 Lacs ☐

Net-worth in ₹ (*Net worth should not be older than 1 year) as on (date)

2. Occupation (Please tick ()) any one and give brief details:

☐ Private Sector Service ☒ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired

☐ Housewife ☐ Student ☐ Forex Dealer ☐ Others (Please specify)

3. Please tick, if applicable: ☐ Politically Exposed Person ☐ Related to a Politically Exposed Person

For definition of PEP, please refer guideline overleaf

4. Any other information:

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my/our 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/we are aware that I/we may be held liable for it.

Place:

Date:

FOR OFFICE USE ONLY

IPV Done on

AMC/Intermediary name OR code

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

(Original Verified) Self-Certified Documents copies received

☐ (Attested) True copies of documents received

☐ Main Intermediary

"Please note that the KYC Application Form and overleaf instructions should be printed on the same page (back to back). If printed separately then both the pages should be attached and signed by the applicant."

INSTRUCTIONS/ CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. 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.
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/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. 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.
11. 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.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. 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.
6. Identity card/document with address, 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 and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account Power of Attorney given by FII/sub account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. 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).
2. 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.

B. Proof of Identity (POI) : - List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D)
2. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
3. 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.)

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.

Please Submit the KYC Documents on A4 Size Paper Only.

Nomination Form

Nomination Registration No.		Date							
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I/We the sole holder / Joint holders / Guardian (in case of minor) hereby declare that:

✓ I/We do not wish to nominate any one for this demat account.
 [Strike out what is not applicable.] [Signatures of all account holders should be obtained on this form].

✓ I/We **nominate** the following person/s who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of the death of the Sole holder or the death of all the Joint Holders.

BO Account Details												
DP ID										Client ID		
Name of the Sole / First Holder												
Name of Second Holder												
Name of Third Holder												
Nomination Details	Nominee 1			Nominee 2			Nominee 3					
Nominee Name :												
*First Name:					
Middle Name:					
*Last Name					
*Address:												
*City:												
*State:												
*Pin:												
*Country:												
Telephone No:												
Fax No:												
PAN No:												
UID :												
Email ID:												
*Relationship with the BO:												
Date of birth (mandatory if Nominee is a minor):												
Name of the Guardian of Nominee (if the nominee is minor):												
*First Name:												
Middle Name:												
*Last Name												
*Address of the Guardian of nominee:												
*City:												
*State:												
*Country:												
*Pin:												

Age			
Telephone:			
Fax No:			
Email ID:			
*Relationship of the Guardian with the Nominee:			
*Percentage of allocation of securities:			
*Residual Securities [please tick any one nominee. If tick not marked default will be first nominee]:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Note : Residual securities: incase of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any

*** Marked is Mandatory field**

This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.

Place: _____ Date: _____

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

Note: One witness shall attest signature(s) / Thumb impression(s).

	Details of the Witness
Names of Witness	
Address of Witness	
Signature of Witness	

PRO-ACCOUNT DISCLOSURE INFORMATION

To, _____

Dear Sir, _____

Subject : Pro-Account Disclosure Information

This is to inform you that we are doing trade in NSE, MCX and BSE in our own account no. _____

This information is given to you as per SEBI guidelines and Stock Exchange Norms.

Client- Name and Signature

Client Name

Signature

Signed and Delivered by
Vishwas Fincap Services Pvt. Ltd.

Authorised Signatory

तमो सगरी: प्रयोदश
VISHWAS
Member of ISE, ESE, ACE, ISEI & CSEI www.vishwasgroup.com
आपके सवत विप्रवाम का आधार

Tel.: 011-47115501 to 5530. Fax: 91-11-28112661 E-mail: dp@vishwasfincap.com. Website: www.vishwasfincap.com

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DP-ID

CLIENT ID

INTERNAL REF.

FORM DATE.....

BRANCH NAME.....

CLIENT NAME.....

IN-PERSON VERIFICATION

Vishwas Fincap Services Pvt. Ltd.

DP ID : 12074200 (CDSL)

Name of the DP Staff Signature

Date Place :

Signature of Applicant
Designation

(1) 
1st Holder


2nd Holder


3rd Holder

VISHWAS FINCAP SERVICES PVT. LTD.

WZ 310, Nangal Raya

New Delhi - 110 046

SUBJECT : Depository Charges (Client ID.....)

I/we have a trading account No..... with Vishwas Fincap Services Pvt. Ltd. and Depository Account with Vishwas Fincap Services Pvt. Ltd. Please debit the charge relevant depository service in my/our trading account on regular basis. I/we also agree to maintain the adequate balance in my/our trading account for the said reason.

SIGNATURE

Sole/First Holder/Signatory's Signature	Second Holder/Signatory's Signature	Third Holder/Signatory's Signature

Acknowledgment Receipt

Application No.

I/we hereby acknowledge the receipt of the account opening application form:

Signature of Sole / First Holder	
Signature of Second Holder	
Signature of Third Holder	

Date.....

To,
The Director,
VISHWAS FINCAP SERVICES PVT. LTD.
New Delhi

Sub.: Declaration for Common Mobile No. and E-mail ID

Dear Sir,

This is to inform your that I..... having mny Demat/Trading A/c with you with the Client ID.....
I wish to state that my WIFE/FATHER/MOTHER/SON/DAUGHTER MR./MS.....also having
Demat/Trading A/c No with you. For this purpose wewish to have common Mobile No. and E-mail ID (for operational
convenience) which is already lodged with you in my Demat A/c Noso that all the future
messages/confirmations from you as well as exchanges may be communicated to us at the same Mobile No. & E-mail ID.

Please accord your favorable consent for the same.

Thanking You,

Client's Signature.....

Applicant's Signature.....

Mobile No.:.....

E-mail ID:.....

ACKNOWLEDGMENT FROM CLIENT



Vishwas Fincap Services Pvt. Ltd.

SEBI Reg No. NSE/BSE INZ000189835
SEBI Reg No. MCX INZ000019530

Head Office: Wz-310, Nangal Raya, Jail Road, Delhi Cantt, New Delhi -110046
Phone : 011-47115555-75, 32008702, Fax : 011-28112661
Mobile : 09212187004 / 05 / 06, E-mail : info@vishwasfincap.com
Clearing Member: Globe Capital Market Ltd.
609, 6th Floor, Ansal Bhawan, 16, K.G. Marg, New Delhi - 110001
SEBI Reg. No.: NSE-INF230663732, BSE-INF010663731

I/we hereby acknowledge the receipt of account opening form duly executed copy of KYC, RDD and all other documents as executed by me/us. Further I/we confirmed that the documents for KYC submitted by me/us are true and correct. I/we acknowledge that the other details related to my/our account are as under:

Trading Code..... UCC.....

My E-mail ID.....

Signature of Client