**Checklist for Individuals**

**Portfolio Management Service – Account Opening Forms & Declarations**

|  |  |  |
| --- | --- | --- |
| **Mandatory - Forms / Annexure / Declaration** | **Remark** | **Checking** |
| CVL KRA Form with Photograph | To be filled & signed for all applicants separately |  |
| PMS Account Opening Form | To be signed by all applicants |  |
| Franked Portfolio Management Services Agreement | To be signed by all applicants |  |
| Franked Power of Attorney in Favour of Invesco | To be signed by all applicants |  |
| FATCA & CRS Annexure | To be filled & signed for all applicants separately |  |
| Portfolio Fee Schedule | To be signed by all applicants |  |
| Intimation of Interests in Body Corporate  *(Refer to Annexure 4 in PMS Form)* | To be signed by all applicants |  |
|  |  |  |
| **Optional - PMS Declaration** | **Remark** | **Checking** |
| Portfolio Construction Declaration  *(Refer to Annexure 3 in PMS Application Form)* | Required, if client does not want the portfolio manager to invest in specific companies |  |
| List of Securities Declaration  *(Refer to Annexure 2 in PMS Applicant Form)* | Required, if client is transferring personal stock to portfolio manager as corpus |  |

**Custody / Demat – Account Opening Forms & Declarations**

|  |  |  |
| --- | --- | --- |
| **Mandatory - Forms / Annexure / Declaration** | **Remark** | **Checking** |
| Franked Custody Power of Attorney in Favor of ISSL | To be signed by all Applicants |  |
| Individual Demat Account Opening Form of ISSL | To be signed by all Applicants  (Do not mention any Correspondence address, since it will be of ISSL) |  |
| KRA Set Up Form with Photograph | To be Filled & Signed for all Applicants Separately |  |
| FATCA Form | To be Filled & Signed for all Applicants Separately |  |
| CERSAI Form with Photograph | To be Filled & Signed for all Applicants Separately |  |
| Mapping of Custodian Bank Account in Demat Account | To be signed by all Applicants |  |
| Demat Mobile & Email ID Declaration *(Annexure Attached)* | To be Filled & Signed for all Applicants Separately |  |

**Combined Know Your Customer Document Requirements**

|  |  |  |  |
| --- | --- | --- | --- |
| **Mandatory Documents / Proof Required** | **PMS** | **Demat** | **Checking** |
| **Identity / Address Proof** |  |  |  |
| Self-Certified Copy of PAN Card of each applicant.  *Provide Signature Verification Letter, if signature of the applicant/s mismatches with that on the PAN card & application form.*  *Signature Verification Letter Format – (Annexure Attached)* | 1 | 2 |  |
| Self-Certified Copy of Address Proof of each applicant.  *Provide Signature Verification Letter, if signature of the applicant/s mismatches with address proof & application form.*  *Signature Verification Letter Format – (Annexure Attached)* | 1 | 2 |  |
| **Bank Account Proof**  *(Cancelled Cheque Copy / Self certified Bank Passbook / Bank Statement which is not more than 3 months old, with Bank Stamp, Signature of Branch Manager* |  |  |  |
| * Bank proof of first applicant / joint applicants bank account for purpose of registration   *(Note: First holder of the bank account should match with the First applicant of PMS)* | 1 | 0 |  |
| * Bank proof of first applicant / joint applicants bank account from which funds are being invested, if it is different than one provided for registration *(Note: First holder of the bank account should match with the First applicant of PMS)* | 1 | 0 |  |
| * If first applicant is a Housewife / Retired / Student, any 1 of the following document will be have to provided:  1. Last six months’ original bank statement or banker certified bank statement of first applicant 2. Declaration by First Applicant if Housewife / Retired / Student *(Annexure Attached)* | 1 | 0 |  |
| * Self-attested copy of the Aadhar card for each applicant. | 1 | 2 |  |
| * Self – Certified copy of Nominee | 1 | 0 |

|  |  |  |  |
| --- | --- | --- | --- |
| **Optional Documents / Proof Required** | **PMS** | **Demat** | **Checking** |
| **Client Demat Account -** *(required, only if client is transferring personal stock to portfolio manager as corpus)* |  |  |  |
| Proof of client’s demat account, from where stocks are being transferred to PMS | 1 | 0 |  |

**Notes:**

* Please put initials against the blank spaces / corrections (please do not use white ink) made in the agreements, power of attorney, fax indemnity etc. Please put Full Signatures at the bottom of each page. No corrections are allowed in Power of Attorney
* As per the regulatory requirement, photographs need to be signed across (i.e. signature should appear partly on the photo and partly on the form)
* It is mandatory to provide witness details for the client (name, address, signatures etc.)
* If the client is already KRA compliant the proof of address & KRA form is not required however incase if the client is KRA compliant and the address mentioned on the new account set up is not matching with the one updated on KRA we shall require the KRA Modification Form duly signed by the client, an IPV would also be required to be conducted for such cases.
* The Client is required to state in his own hand writing in the Fee Schedule that **“I/We have understood the fees and charge structure of the Portfolio.”**

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

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
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.

**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. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
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. The proof of address in the name of the spouse may be accepted.

If correspondence & permanent addresses are different, then proofs for both have to be submitted.

**Demat Mobile & Email ID Declaration for ISSL**

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

To,

The Manager

IL&FS Securities Services Ltd.

IL&FS House,

Raheja Vihar, Chandivali,

Andheri (E),

Mumbai – 400 072.

|  |  |
| --- | --- |
| **Declaration** | **Please strike off whichever is not applicable** |
| I hereby declare that the mobile no./email id mentioned in the Account opening form/ request for change in mobile no./email id is my own. | Yes/No |

|  |
| --- |
|  |
| Signature of the Holder |

[In case the option ‘No’ has been selected above, the request letter appended below is required to be submitted]

**REQUEST LETTER FOR REGISTRATION OF MOBILE NO./EMAIL ID OF PERSON BELONGING TO THE CLIENT’S FAMILY**

Please note that the mobile no./email id /both \_\_\_\_\_\_\_\_\_\_\_\_\_\_ mentioned in the Account opening form/ request for change in mobile no./email id belongs to Mr/Mrs./Ms. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ who is my \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

[\*Refer to the instructions mentioned below - relationship with the client]

|  |
| --- |
|  |
| Signature of the Holder |

[Only the mobile no./email id of your spouse, dependent children and dependent parents can be registered in your demat account]

**Signature Verification Letter for ISSL**

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

To,

The Manager

IL&FS Securities Services Ltd.

IL&FS House,

Raheja Vihar, Chandivali,

Andheri (E),

Mumbai – 400 072.

Dear Sir

Sub: - Difference in signatures

This is with reference to my application for opening a demat account with IL&FS Securities Services Ltd, I wish to inform you that there is a signature mismatch in the proof of id (copy of PAN Card / Passport) and the signature that appears on Demat Account Opening Form No\_\_\_\_\_\_\_\_\_\_\_

I, hereby, certify that the signature on PAN Card and Demat Account Opening Form are mine.

Yours truly,

Signature.

**Mapping of Custodian Bank Account in Demat Account of ISSL**

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

To,

The Manager

IL&FS Securities Services Ltd.

IL&FS House,

Raheja Vihar, Chandivali,

Andheri (E),

Mumbai – 400 072.

Dear Sir / Madam,

Re: Application No.

Sub: Opening of demat account with IL&FS Securities Services Ltd (ISSL)

This has reference to my / our application for opening of demat account with ISSL under the PMS arrangement.

In this connection, I/we have no objection in updating the following Bank Account details of the Custodian (Custodian to Portfolio Management Services) in the said demat account for availing better services and timely receipt of dividends under the Portfolio to the Custodian.

|  |  |
| --- | --- |
| Bank Name | HDFC Bank Ltd |
| Bank Address | Manekji Wadia Building, Ground Floor, Nanik Motwani Marg, Fort, Mumbai 400001 |
| Type of Account | Current |
| Bank Account No. | 00600340082872 |
| MICR | 400240015 |
| IFSC | HDFC0000060 |

Sincerely,

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  |  |  |  |
| Sole / First Holder  Authorised Signatory |  | Second Holder  Authorised Signatory |  | Third Holder  Authorised Signatory |

**Declaration by First Applicant if Housewife / Retired / Student for PMS**

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

To,

Invesco Asset Management (India) Pvt. Ltd (IAMI),

2101-A, A Wing, 21st Floor, Marathon Futurex,

N. M. Joshi Marg, Lower Parel,

Mumbai – 400 013

TO WHOMSOEVER IT MAY CONCERN

I, \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, am a Housewife / Retired and wish to appoint Invesco Asset Management (India) Pvt. Ltd. as my Portfolio Manager and thereby wish to opt for \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (Portfolio name).

I confirm that the corpus which shall be invested in my portfolio of Rs. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (Amount in Figures) have been provided from my own savings account.

I also hereby declare that the amount given by me to IAMI, Portfolio Manager for investing on my behalf is through legitimate sources only and does not involve or is not designed for the purpose of contravention or evasion of any Act, Rules, Regulations, Statute, Legislation Notifications or Directions including Provisions of Income Tax Act, 1961, Prevention of Money Laundering Act, 2002, or any other applicable laws enacted by the Government of India, SEBI or any other statutory authority from time to time.

|  |
| --- |
|  |
| Sole / First Holder |