

Account Opening kit for Opening Trading account with Citigroup Global Markets India Private Limited



ACCOUNT OPENING KIT

INDEX OF DOCUMENTS

S. No.	Name of the Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1.	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list.	1
		B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	8
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	13
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	16
4.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	18
5.	Policies and Procedures	Document describing significant policies and procedures of the stock broker (to be added by the stock broker).	19
6.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) Business to Provide	20
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
7.	Additional Terms and Conditions	Non-mandatory / voluntary clauses	23

Name of stock broker/trading member/clearing member : CITIGROUP GLOBAL MARKETS INDIA PRIVATE LTD
SEBI Registration No : NSE, BSE - INZ000263033 | May 27, 2019

Registered office address : Citigroup Global Markets India Private Limited, 1202, 12th Floor, First International Financial Centre, G Block, Bandra Kurla Complex, Bandra East, Mumbai - 400051.

Corporate Identity Number (CIN) : U99999MH2000PTC126657

Phone : 91-22-6175 9999

Fax : 91-22-6175 9898

Website : NA

Correspondence office address : Citigroup Global Markets India Private Limited, 1202, 12th Floor, First International Financial Centre, G Block, Bandra Kurla Complex, Bandra East, Mumbai - 400051.

Phone : 91-22-6175 9999

Fax : 91-22-6175 9898

Website : NA

Compliance officer name : Mr. Vishal Bohra - Phone No. 91-22-6175 9999 - E-mail ID: cgmcompliance@citi.com

Head of Equities name : Sougata Basu - Phone No. 91-22-61759999-E-mail ID :eqapsain@citi.com

For any grievance/dispute please contact Citigroup Global Markets India Private Limited at the above address or email id-

investors.cgmeq@citi.com and Phone no. 91-6175 9999. In case not satisfied with the response, please contact the concerned exchange (s)

BSE at is@bseindia.com and Phone no. 91-22-22728097

NSE at ignse@nse.co.in and phone no. 1800220058

MCX-SX at investorcomplaints@mcx-sx.com and phone no. 91-22-67319000 Ext. 8883

Mandatory Documents

PART A - KNOW YOUR CLIENT (KYC) APPLICATION FORM - FOR NON - INDIVIDUAL

Entity Name : Citigroup Global Markets India Pvt. Ltd. (CGM)

SEBI Registration No. and date	Segment	SEBI Registration No.	Date
	NSE, BSE - Equity, Equity Derivative & Currency Derivatives	INZ000263033	May 27, 2019

Registered office address: 1202, 12th Floor, First International Financial Centre, G Block, Bandra Kurla Complex, Bandra East, Mumbai - 400051, Ph: 02261759999 | Fax: 02266319898 | Corporate Identity Number (CIN): U99999MH2000PTC126657

Please fill this form in ENGLISH and in BLOCK LETTERS with black ink.

A. IDENTITY DETAILS

1. Name of the Applicant :

2. Date of incorporation : Place of incorporation :

3. Date of commencement : Not Applicable.
of business

4. a) PAN :

b) Registration No. (e.g. CIN) :

5. Status (please tick any one):

☐ Private Limited Co.	☐ Bank	☐ Partnership
☐ Public Ltd. Co.	☐ Government Body	☐ FI
☐ Body Corporate	☐ Non Government Organization	☐ FII
☐ Trust	☐ Defense Establishment	☐ HUF
☐ Charities	☐ Society	☐ AOP
☐ NGO's	☐ LLP	☐ BOI
☐ Others (please specify)		

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

B. ADDRESS DETAILS

1. Correspondence Address :

City/Town/Village

Pin Code: State Country

2. Contact Details:

Tel.(Off.) Tel. (Res.)

Fax No. Mobile No.

Email ID

3. Specify the proof of address submitted for correspondence address:

4. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant):

City/Town/Village

Pin Code: State Country

5. Specify the proof of address submitted for Registered address:

C. OTHER DETAILS

1. Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors:

If space is insufficient, enclose these details separately [Format enclosed]

2. a) DIN of whole time directors:

b) Aadhaar number of Promoters/Partners/Karta:

If space is insufficient, enclose these details separately [Format enclosed]

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

FOR OFFICE USE ONLY

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

Signature of the Authorised Signatory

Seal/Stamp

Date:

Details of Promoters / Partners / Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Sr.No.	Name	Relationship with Applicant (i.e. promoters, whole time directors etc.)	PAN	Residential / Registered Address	Aadhaar/DIN/UID	Whether Politically Exposed	Photograph Please affix your recent passport size photograph and sign across
1.						☐ PEP ☐ RPEP ☐ NO	
2.						☐ PEP ☐ RPEP ☐ NO	
3						☐ PEP ☐ RPEP ☐ NO	
4						☐ PEP ☐ RPEP ☐ NO	
5						☐ PEP ☐ RPEP ☐ NO	

Name & Signature of the Authorised Signatory(ies)

Date :

D

D

M

M

Y

Y

Y

Y

In case of foreign director passport is mandatory

PEP : Politically Exposed Person
RPEP : Related to Politically Exposed Person

Details of Promoters / Partners / Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Sr.No.	Name	Relationship with Applicant (i.e. promoters, whole time directors etc.)	PAN	Residential / Registered Address	Aadhaar/DIN/UID	Whether Politically Exposed	Photograph Please affix your recent passport size photograph and sign across
6.						☐ PEP ☐ RPEP ☐ NO	
7.						☐ PEP ☐ RPEP ☐ NO	
8.						☐ PEP ☐ RPEP ☐ NO	
9.						☐ PEP ☐ RPEP ☐ NO	
10.						☐ PEP ☐ RPEP ☐ NO	

Name & Signature of the Authorised Signatory(ies)

Date :

D

D

M

M

Y

Y

Y

Y

In case of foreign director passport is mandatory

PEP : Politically Exposed Person
RPEP : Related to Politically Exposed Person

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. 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/others.
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.

B. 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.

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.
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.

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

Types of entity	Documentary requirements
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, POI, POA, PAN and DIN numbers of whole time directors/two 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. • Authorised signatories list with specimen signatures. • An officially valid document (such as passport, driving license, permanent account number card, voter's identity card) of each person holding a power of attorney to act on the Company's behalf in securities transactions in India.
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). • Copy of partnership deed. • Authorised signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners. • Resolution/Authorization document duly signed by all partners/managing partners, authorising officials/partner(s) to investment in securities market on its behalf. An officially valid document in respect of managers, officers or

	employees holding an attorney to transact on its behalf
Trust	• 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. • Resolution/Authorization document duly signed by all trustees/managing trustees, authorising officials/trustee(s) to investment in securities market on its behalf • An officially valid document in respect of managers, officers or employees holding an attorney to transact on its behalf • Photograph, POI, POA, PAN of Trustees.
HUF	• PAN of HUF. • Deed of declaration of HUF/ List 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	• 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. • An officially valid document in respect of the person holding an attorney to transact on its behalf
Banks/Institutional Investors	• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorized signatories list with specimen signatures. • Copy of the Board Resolution for investment in securities market. • An officially valid document (such as passport, driving license, permanent account number card, voter's identity card) of each person holding a power of attorney to act on the Company's behalf in securities transactions in India. • Copy of latest shareholding 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/Managing Director (to be submitted each year) • Photograph, Proof of Identity, Proof of address, PAN and DIN numbers of whole time Directors/two directors in charge of day to day operations. • Photograph, Proof of Identity, Proof of address, PAN of individual promoters holding control - either directly or indirectly.
Army/ Government Bodies	• Self-certification on letterhead. • Authorized signatories list with specimen signatures.
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 • An officially valid document in respect of the person holding an attorney to transact on its behalf