

Information Required to Complete the Online LC Application Form

INITIATORS INFORMATION

1. Name of the Initiator
2. Designation of the Initiator
3. NIC/Passport Number

INFORMATION OF THE INSTITUTION

1. Preferred stockbroker
2. Existing CDS account number (if any)
3. Name of the Company
4. Registered Address
5. Correspondence Address
6. Nature of entity (select from given options on the form)
7. Name, Designation, NIC/Passport info & contact details of the persons authorized to give instructions to the CDS (One or two persons)
8. NIC copies of the person(s) authorized to give instructions to CDS
9. Email to receive estaments
10. Date of incorporation
11. Place of incorporation
12. Company registration number
13. Bank details to receive dividend/coupon payments
14. Documentary proof to verify the Name, Bank, Branch & the Bank account number.

KYC PROFILE

1. Nature of the business – explanation of the product/service provided
2. Expected value of investment per annum
3. Source of funds (to be selected from Business Ownership/ Business Turnover/Investments/ Contract Proceeds/ Investment Proceeds/ Savings/ Sale of Property/ Assets/ Gifts/ Donations/ Charities/ Commission Income/ Export Proceeds/ Profits/ Other)
4. US Tax Identification Number in compliance with Foreign Account Tax Compliance Act (FATCA) of US if a US entity
5. Information on Politically Exposed Persons (PEPs)
6. Any other Connected Business/Professional Activities
7. Name, Designation, NIC/Passport info & contact details of the Person(s) authorized to give instructions to the Participant (One or two persons)

OTHER SUPPORTING DOCUMENTS TO BE UPLOADED (in addition to documents mentioned under the above & below sections)

1. Certificate of Incorporation
2. If the company has done a name change Certificate of Name Change(s)
3. Board Resolution

If the company is not listed in the CSE following are also required;

4. Top 10 shareholders list (with Names & Addresses)
5. Directors list (with Names, Addresses, NIC/Passport number/s & occupation)

APPROVER DETAILS (authorized persons signing the physical application form)

Note: There could be a single approver or two approvers as per the articles of the company

1. Name
2. Designation
3. Mobile number
4. Email address
5. NIC/Passport Number
6. Expiry date (If passport)
7. Board resolution to indicate the relevant section of the articles of association authorizing the approver.

If only a single approver;

8. Documentary evidence to confirm that only one approver is sufficient.