

## KYC Form (Individuals)

SIDBI, \_\_\_\_\_ (Name of Branch)

**Know Your Customer (KYC) – APPLICATION FORM (for INDIVIDUALS only) - Initial KYC Compliance / Change / Updation****(A) Identity Details**

1. Customer ID : \_\_\_\_\_

2. Name of the Person : \_\_\_\_\_  
(as written in the ID proof)3. Gender : ☐ Male ☐ Female 4. Date of Birth \_\_\_\_\_

5. PAN Number : \_\_\_\_\_

6. Unique ID No. (UID)/Aadhaar, etc. (pl. specify), if any \_\_\_\_\_

7. Father's/Spouse's Name : \_\_\_\_\_

Please affix your most recent passport size photograph with signature across it.

8	Status of the person [pl. tick in the appropriate box; and write NA, if any column is not applicable in this form; and use extra sheets for providing more / additional information]	:	<input type="radio"/> Proprietor <input type="radio"/> Partner <input type="radio"/> Director <input type="radio"/> Third Party Guarantor / mortgagor etc. <input type="radio"/> Trustee <input type="radio"/> Authorized signatory <input type="radio"/> Independent individual customer <input type="radio"/> Power of Attorney <input type="radio"/> Others (pl. specify) ____
9	Proprietor/Director etc. of (Name of the CUSTOMER)	:	
10	If Director, Status	:	<input type="radio"/> Non-Executive Director <input type="radio"/> Executive Director <input type="radio"/> Independent Director <input type="radio"/> Managing Director <input type="radio"/> Others (Pl. specify) ____ (11) DIN No. ____
12	If Partner, Status	:	<input type="radio"/> Active Partner <input type="radio"/> Sleeping Partner <input type="radio"/> Partner in profits <input type="radio"/> Partner by holding out <input type="radio"/> Minor Partner <input type="radio"/> Others (pl. specify) ____
13	Nationality	:	<input type="radio"/> Indian <input type="radio"/> Others (pl. specify) ____
14	Residential status	:	<input type="radio"/> Resident Individual <input type="radio"/> Non-Resident <input type="radio"/> Foreign National (pl. specify) ____
15	Contact Details (with STD code)	:	Tel. No(s). ____ Mob. No(s). ____ E-mail address(s) ____
16	Proof of ID submitted for PAN exempt cases	:	
17	<b>(B) Address Details</b> Address for correspondence	:	
18	Permanent/Overseas address (mandatory for non-residents)	:	
19	Proof of address submitted	:	
20	<b>(C) Other Details</b> Occupation / Sources of income [pl. indicate - name of organization (if in service), name of profession, kind of business etc. accordingly.	:	<input type="radio"/> Private Sector service <input type="radio"/> Public sector/Govt. service <input type="radio"/> Retired <input type="radio"/> Professional <input type="radio"/> Agriculturist <input type="radio"/> Housewife <input type="radio"/> Students <input type="radio"/> Business/entrepreneur (pl. specify) ____ Since ____ <input type="radio"/> Others(pl. specify) ____

21	Gross Annual Income / Networth	:	Upto <input type="radio"/> 5 lakh <input type="radio"/> 5 lakh to 25 lakh <input type="radio"/> 25 lakh to 1 cr. <input type="radio"/> 1 crore to 5 cr. <input type="radio"/> above 5 cr. <b>OR</b> Networth <input type="text"/> Lakh    as on date <input type="text"/>
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**DECLARATION****SIGNATURE OF THE APPLICANT**

I hereby declare that the particulars given herein are true, correct and complete to the best of my knowledge and belief. The documents submitted along with the application are genuine and I am not making this application for the purpose of contravention of any Act, Rules, Regulations or any Statute or Legislation or any Notifications/ Directions issued by any governmental or statutory authority from time to time. I hereby undertake to promptly inform any changes to the information provided herein above. I hereby authorise SIDBI, its authorised agents and representatives to disclose, share, remit in any form, mode or manner all /any of the information provided by me. I hereby agree to provide any additional information/documents that may be required in connection with this application.	
	Date :
	Place :

**FOR OFFICE USE**

<b>KYC Risk Catg. of Customer:</b> <input type="checkbox"/> HIGH <input type="checkbox"/> MEDIUM <input type="checkbox"/> LOW	<b>Maker</b>	<b>Checker</b>
<ul style="list-style-type: none"> <li>Whether all information has been filled up by the applicant</li> <li>Verified with originals and self certified copies of all required KYC Documents received.</li> <li>The name(s) of the applicant have been checked in the latest updated prescribed list(s) of terrorist individual / organizations and no matches found.</li> <li>PAN verification has been done, wherever copy of PAN card obtained.</li> </ul>	YES / NO YES / NO YES / NO	YES / NO YES / NO YES / NO
<b>[COPIES OF DOCUMENTS OBTAINED TO BE PLACED/STAPLED/TIED WITH THIS KYC APPLICATION]</b>	(Signature)	(Signature)

**GUIDELINES FOR CUSTOMERS****IMPORTANT NOTES – PLEASE READ BEFORE FILLING UP THE FORM**

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| <ol style="list-style-type: none"> <li>This Application Form is meant to enable a person to comply with the Customer Identification Programme laid down under the Prevention of Money Laundering Act, 2002 (PMLA) hereinafter referred to as Know Your Customer (KYC) requirements. It is for use by <b>INDIVIDUALS</b> only. A separate form is provided for non-individual entities such as Hindu Undivided Family (HUF), Corporates, Trusts, Societies, etc.</li> <li>This form is not an Application for any facility (Loan/Deposit etc.), and is only meant for providing information and documents required for KYC compliance. KYC compliance is a must for availing any facility.</li> <li>The KYC process requires customers to provide identity and address information supported by documentary evidence to comply with the KYC requirements, apart from other information and copies of relevant documents as per the prescribed guidelines. SIDBI reserves the right to seek any additional information/ documentation in terms of the PMLA / RBI guidelines at any point of time.</li> <li>SIDBI will not be liable for any errors or omissions on the part of the applicant in the KYC Application Form.</li> <li>SIDBI and its Directors, employees and agents shall not be liable in any manner for any claims arising whatsoever on account of rejection of any application due to non-compliance with the provisions of the PMLA or where SIDBI believes that transaction(s) by an applicant / investors is / are suspicious in nature within the purview of the PMLA and RBI Guidelines and requires reporting the same to Financial Intelligence Unit – India (FIU-IND).</li> </ol> | <ol style="list-style-type: none"> <li><b>Power of Attorney (PoA) Holder:</b> Customers desirous of acting through a PoA must note that the KYC compliance requirements are mandatory for both the PoA issuer (i.e., customer) and the Attorney (i.e., the holder of PoA), both of whom should be KYC compliant in their independent capacity.</li> <li><b>Joint Holders:</b> Joint holders need to be individually KYC compliant, for e.g. in case of three joint holders, all holders need to fill up the KYC form and should be KYC compliant.</li> <li><b>Minors:</b> In case of a Minor, the Guardian should be KYC compliant and accordingly fill up the KYC form. However, in respect of the minor, photocopy of the School Leaving Certificate / Marksheet issued by Higher Secondary Board / Passport of Minor / Birth Certificate (to prove the age to qualify for minor status) must be provided. The Minor, upon attaining majority, should immediately apply for KYC compliance in his/her own capacity in order to be able to transact further in his/her own capacity.</li> <li>As per the guidelines, KYC compliance is also required in respect of third party mortgagors / guarantors / pledgers etc.</li> <li>For non-residents and foreign nationals (subject to RBI and FEMA guidelines), copy of passport / PIO Card/OCI Card and proper overseas address proof are mandatory.</li> <li>In case of <b>Merchant Navy NRI's</b>, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.</li> </ol> |
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**GUIDELINES FOR FILLING UP THE KYC APPLICATION FORM**

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| <b>General</b> <ol style="list-style-type: none"> <li>The Application Form should be completed in <b>ENGLISH</b> and in <b>BLOCK LETTERS</b>.</li> <li><b>Please Tick in the appropriate box wherever applicable.</b></li> <li><b>Please write NA, if any column is not applicable.</b></li> <li><b>Please tick in the appropriate box to indicate viz. initial KYC compliance / subsequent Change or periodic Updation at the top of this KYC Application Form.</b></li> </ol> | <b>B. Address Details.</b> <ol style="list-style-type: none"> <li>The Addresses mentioned should match with the address in the 'Proof-of-Address' submitted as supporting document. Otherwise, the KYC application is liable to be rejected.</li> <li>Address for Communication: Please provide here the address where you wish to receive all communications sent by the Bank.</li> <li>Contact Details: Please provide your Telephone / Email contact details etc.</li> </ol> |
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<p>5. Please fill the form in legible handwriting so as to avoid errors in your application processing. Please do not overwrite. Corrections should be made by canceling and re-writing, and such corrections should be counter-signed by the applicant.</p> <p>6. Applications incomplete in any respect and / or not accompanied by required documents are liable to be rejected.</p> <p>7. <b>You are required to submit a copy of Proof-of-Identity document and a Proof-of-Address document (apart from copies of all other required documents) as per the extant Guidelines.</b></p> <p>8. Any document having an expiry date should be valid on the date of submission.</p> <p>9. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the originals of any document is not produced for verification, then the copies should be properly attested by -</p> <ul style="list-style-type: none"> <li>• a Notary Public / Gazetted Officer / Manager of a Scheduled Commercial Bank or Multinational Foreign Banks (Name, Designation and Seal should be affixed on the copy).</li> <li>• 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 person reside.</li> </ul> <p>7. Unattested photocopies of an original document are not acceptable.</p> <p>8. If the documents including attestation / certifications are in regional language or foreign language then the same has to be translated into English for submission.</p> <p><b>A. Identity Details</b></p> <p>1. Customer ID : Customer ID is to be filled after creating the unique customer ID for the Customer by the Bank. Mention PAN in the space provided and submit original PAN card which will be returned across the counter after verification.</p> <p>2. Name : Please state your name as Title (Mr / Mrs / Ms / Dr / Commander / etc.), First, Middle and Last Name in the space provided. This should match with the name as mentioned in the PAN card / id-proof document submitted failing which the application is liable to be rejected. If the PAN card has a name by which the applicant has been known differently in the past, than the one provided in this application form, then requisite proof should be provided e.g. marriage certificate, or gazetted copy of name change.</p> <p>3. Date of Birth: Please ensure that this matches with the Date of Birth as indicated in the PAN card/other documentary proof.</p> <p>4. Please affix and sign across the most recent passport-size colour photograph.</p>	<p>4. Permanent Address / Overseas Address: If you are a Resident Indian, and your Permanent address is different from the one mentioned in the Address for Correspondence, please state it here. If you are a Non-Resident Indian or a Person of Indian Origin, it is mandatory for you to state your Overseas Address here along with proper proof for the same &amp; copy of passport as mandatory documents.</p> <p><b>C. Other details</b></p> <p>1. Gross Annual Income details: Pl. include both taxable and tax-free incomes.</p> <p>2. Occupation details: <u>If you are in service</u>, pl. indicate name of the organization. <u>If you are a professional</u>, pl. write name of the profession viz., lawyer, doctor, CA, consultant, stock broker etc. <u>If you are self-employed</u>, pl. indicate nature of the business viz., manufacturing, trading, service, real estate, etc., and also the type of industry/product/sector eg. manufacture of plastic bags, jeweller, grocery shop, hardware shop etc.</p> <p>3. <b>Politically Exposed Persons (PEP)</b> are defined as individuals who are or have been entrusted with prominent public functions in a foreign country eg. 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>If the applicant is a PEP, it should be indicated at the others column at "Status of the Person" (Sr.No.8).</b></p> <p>4. <b><u>TO PROVIDE MORE/ADDITIONAL INFORMATION, IF ANY :</u></b> <u>For providing more information at any column or for any additional information, additional sheets may be used and stapled with this KYC application.</u></p> <p><b>Please submit the filled in KYC Form along with the entire set of supporting documents. Please also submit a photocopy of the Form for acknowledgement purpose, which you can retain for your records.</b></p> <p><b>Other important notes, after the KYC Acknowledgement is issued to you :</b></p> <p>1. Signature on this KYC Application Form should match with that on the Application for any facility like Loan/Fixed Deposit Application Form etc.</p> <p>2. If there are any changes in an Applicant's details after submission of this form such as Name, Address, Status, etc., the change should be registered expeditiously. Similarly, periodic updation of KYC details should be provided to the Bank as per the guidelines. Please tick in the appropriate box at the top of the Application to indicate the purpose.</p> <p>3. Original / Attested copies of documents supporting the change will be required to be submitted together with the KYC Details Change Form. Latest attested copies of supporting documents to be provided along with KYC Updaiton Form.</p>
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## KYC Form (Non-Individuals)

SIDBI, \_\_\_\_\_ (Name of Branch)

**Know Your Customer (KYC) – APPLICATION FORM (for NON-INDIVIDUALS only) - Initial KYC Compliance / Change / Updation**

1	<b>(A) Identity Details</b> Customer ID	:	
2	Name of the Entity (as in the supporting document)	:	
3	Beneficial Owner details	:	
4	Industry Group /sub-group	:	
5	Type of organization [pl. tick in the appropriate box; and write NA, if any column is not applicable in this form; and use extra sheets for providing more / additional information]	:	Proprietorship <input type="radio"/> Partnership <input type="radio"/> Pvt. Ltd. Company <input type="radio"/> Public Ltd. Company <input type="radio"/> NBFC <input type="radio"/> Govt. Body <input type="radio"/> HUF <input type="radio"/> Society <input type="radio"/> Trust <input type="radio"/> Others (Pl. Specify) ____
6	Is it a registered entity	:	Yes <input type="radio"/> No <input type="radio"/> ( 5). PAN No. ____
7	If Partnership, is it LLP	:	Yes <input type="radio"/> No <input type="radio"/>
8	Details of Regist. (The Act under which registered)	:	
9	Date of Incorporation / Registration	:	(9) Regist. No. ____
10	Nature of Business	:	Manufacturing <input type="radio"/> Trading <input type="radio"/> Service <input type="radio"/> Others (pl. specify) ____
11	Industry / Sector / Product	:	
12	State, if	:	A Subsidiary Co. <input type="radio"/> An Associate <input type="radio"/>
13	If yes, name of Holding / Group Co.	:	
14	Listing status of the Co.	:	Listed Co. <input type="radio"/> Unlisted Co. <input type="radio"/> (15) If listed ____ (name of stock exchange)
15	Contact Details	:	STD Code _____ Tel. No(s). _____ Fax No(s). _____ E-mail address(s) _____
16	Details of Contact Person	:	Name Mr./Ms. _____ Designation _____ STD code _____ Ph. No(s) _____ Mob. No(s) _____ e-mail address _____
17	Name(s) of Proprietor/Partners / Directors etc. (If more nos. add extra sheet)	:	1. ____ 2. ____ 3. ____ 4. ____ 5. ____ 6. ____
18	:	(FY ____ ) : ____ Lakh	
19	Details of ID proof documents submitted	:	
20	<b>(B) Address Details</b> Address for corrsp/ Regi. Off. /Overseas addr	:	

21	Factory / Unit address(s)	:	
22	Address proof submitted	:	

**DECLARATOIN****SIGNATURE OF THE APPLICANT**

I hereby declare that the particulars given herein are true, correct and complete to the best of my knowledge and belief. The documents submitted along with the application are genuine and I am not making this application for the purpose of contravention of any Act, Rules, Regulations or any Statute or Legislation or any Notifications/ Directions issued by any governmental or statutory authority from time to time. I hereby undertake to promptly inform any changes to the information provided herein above. I hereby authorise SIDBI, its authorised agents and representatives to disclose, share, remit in any form, mode or manner all /any of the information provided by me. I hereby agree to provide any additional information/documents that may be required in connection with this application.	
	Date :
	Place :

**FOR OFFICE USE**

KYC Risk Catg. of Custom <input type="checkbox"/> : <input type="checkbox"/> HIGH <input type="checkbox"/> MEDIUM <input type="checkbox"/> LOW	Maker	Checker
• Whether all information has been filled up by the applicant	YES / NO	YES / NO
• Verified with originals and self certified copies of all required KYC Documents received.	YES / NO	YES / NO
• The name(s) of the applicant have been checked in the latest updated prescribed list(s) of terrorist individual / organizations and no matches found.	YES / NO	YES / NO
• PAN verification has been done, , wherever copy of PAN card obtained.		
<b>[COPIES OF DOCUMENTS OBTAINED TO BE PLACED/STAPLED/TIED WITH THIS KYC APPLICATION]</b>	(Signature)	(Signature)

**GUIDELINES FOR CUSTOMERS****IMPORTANT NOTES – PLEASE READ BEFORE FILLING UP THE FORM**

12. This KYC Application Form is meant for use by NON-INDIVIDUALS only to comply with the Customer Identification Programme laid down under the Prevention of Money Laundering Act, 2002 (PMLA) hereinafter referred to as Know Your Customer (KYC) requirements. A separate form is provided for INDIVIDUALS 13. This form is not an Application for any facility (Loan/Deposit etc.), and is only meant for providing information and documents required for KYC compliance. KYC compliance is a must for availing any facility. 14. The KYC process requires customers to provide identity and address information supported by documentary evidence to comply with the KYC requirements, apart from other information and copies of relevant documents as per the prescribed guidelines. SIDBI reserves the right to seek any additional information/ documentation in terms of the PMLA at any point of time.	15. SIDBI will not be liable for any errors or omissions on the part of the applicant in the KYC Application Form. 16. SIDBI and its Directors, employees and agents shall not be liable in any manner for any claims arising whatsoever on account of rejection of any application due to non-compliance with the provisions of the PMLA or where SIDBI believes that transaction(s) by an applicant / investors is / are suspicious in nature within the purview of the PMLA and RBI guidelines and requires reporting the same to Financial Intelligence Unit – India (FIU-IND). 17. <b>Power of Attorney (PoA) Holder:</b> Customers desirous of acting through a PoA must note that the KYC compliance requirements are mandatory for both the PoA issuer (i.e., customer) and the Attorney (i.e., the holder of PoA), both of whom should be KYC compliant in their independent capacity. 18. As per the guidelines, KYC compliance is also required in respect of third party mortgagors / guarantors / pledgers etc.
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**GUIDELINES FOR FILLING UP THE KYC APPLICATION FORM**

<b>General</b> 10. The Application Form should be completed in <b>ENGLISH</b> and in <b>BLOCK LETTERS</b> . 11. <b><u>Please tick in the appropriate box wherever applicable.</u></b> 12. <b><u>Please write NA, if any column is not applicable.</u></b> 13. <b><u>Please tick in the appropriate box to indicate viz. initial KYC compliance / subsequent Change or periodic Updation at the top of this KYC Application Form.</u></b> 14. Please fill the form in legible handwriting so as to avoid errors in your application processing. Please do not overwrite. Corrections should be made by canceling and re-writing, and such corrections should be counter-signed by the applicant.	3. Please mention the date of incorporation or registration of your organization. If your company is listed on any stock exchange, please mention the details. 4. Mention PAN in the space provided and attach a self-attested photocopy of the same. Please also submit your original Pan Card which will be returned across the counter after verification. <b>B. Address Details</b> 4. Address for Communication: Please provide here the address where you wish to receive all communications sent by the Bank. The Addresses mentioned should match with the address in the 'Proof-of-Address' submitted as supporting document. Otherwise, the KYC application is liable to be rejected. 5. Contact Details : Please provide the Contact Person's Name / Telephone No(s). / E-mail contact details for the Bank to communicate with you.
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| <p>15. Applications incomplete in any respect and / or not accompanied by required documents are liable to be rejected.</p> <p>16. <b>You are required to submit a copy of Proof-of-Identity document and a Proof-of-Address document (apart from copies of all other required) documents as per the extant guidelines.</b></p> <p>17. Any document having an expiry date should be valid on the date of submission.</p> <p>18. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the originals of any document is not produced for verification, then the copies should be properly attested by -</p> <ul style="list-style-type: none"> <li>• a Notary Public / Gazetted Officer / Manager of a Scheduled Commercial Bank or Multinational Foreign Banks (Name, Designation and Seal should be affixed on the copy).</li> <li>• In case of a foreign entity - 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 person reside.</li> </ul> <p>9. Unattested photocopies of an original document are not acceptable.</p> <p>10. If the documents including attestation / certifications are in regional language or foreign language then the same has to be translated into English for submission.</p> <p><b>A. Identity Details</b></p> <p>1. Customer ID : Customer ID is to be filled after creating the unique customer ID for the Customer by the Bank.</p> <p>2. Name : This should be match exactly with the name as mentioned in the PAN card and other supporting documents; otherwise, the application is liable to be rejected. If the PAN card and other supporting documents has a name by which the applicant has been known differently in the past, than the one provided in this application form, then requisite proof should be provided e.g. Name Change Certificate.</p> | <p>6. Address for correspondence / Registered Office / Overseas address : Entities having a separate correspondence address apart from that of the registered office address etc., they should mention same separately. Entities having any Overseas Address must quote the same supported by required documents duly certified.</p> <p>7. <b><u>TO PROVIDE MORE/ADDITIONAL INFORMATION, IF ANY</u></b> :For providing more information at any column or for any additional information, additional sheets may be used and stapled with this KYC application.</p> <p><b>After you have completed filling up the KYC Application Form, please submit the same along with the entire set of supporting documents. Please also submit a photocopy of the Form for acknowledgement purpose, which you can retain for your records.</b></p> <p>Other important notes, after the KYC Acknowledgement is issued to you :</p> <p>4. Signature on this KYC Application Form should match with that on the Application for any facility like Loan/Fixed Deposit Application Form etc.</p> <p>5. If there are any changes in an Applicant's details after submission of this form such as Name, Address, Status, etc., the change should be registered expeditiously. Similarly, periodic updation of KYC details should be provided to the Bank as per the guidelines. Please tick in the appropriate box at the top of the Application to indicate the purpose.</p> <p>6. Original / Attested copies of documents supporting the change will be required to be submitted together with the KYC Details Change Form. Latest attested copies of supporting documents to be provided along with KYC Updation Form.</p> |
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