

Checklist for Corporate Clients

Portfolio Management Service – Account Opening Forms & Declarations

Mandatory - Forms/Annexure/Declaration	Remark	Checking
Non Individual CVL KRA Form for the applicant	To be filled & signed by authorized signatories with company stamp	
PMS Account Opening Form	To be filled & signed by authorized signatories with company stamp	
Franked Portfolio Management Services Agreement	To be filled & signed by authorized signatories with company stamp	
Franked Power of Attorney in Favour of Invesco	To be filled & signed by authorized signatories with company stamp	
Portfolio Fee Schedule	To be filled & signed by authorized signatories with company stamp	
Intimation of Interests in Body Corporate <i>(Refer to Annexure 4 in PMS Application Form)</i>	To be filled & signed by authorized signatories with company stamp	
Ultimate Beneficial Ownership Declaration / FATCA & CRS Annexure <i>(Refer to Annexure 10 in PMS Application Form)</i>	To be filled & signed by authorized signatories with company stamp	
Details of promoters/ managing director/ whole time director/ director / authorized signatories <i>(Refer to Annexure 1C in PMS Application Form)</i>	To be filled & signed by authorized signatories with company stamp	

Optional - PMS Declaration	Remark	Checking
Portfolio Construction Declaration <i>(Refer to Annexure 3 in PMS Application Form)</i>	To be filled & signed by authorized signatories with company stamp, if client does not want the portfolio manager to invest in specific companies	
List of Securities Declaration <i>(Refer to Annexure 2 in PMS Applicant Form)</i>	To be filled & signed by authorized signatories with company stamp, 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 authorized signatories with company stamp	
Non-Individual Demat Account Opening Form of ISSL	To be signed by authorized signatories with company stamp <i>(Do not mention any Correspondence address, since it will be of ISSL)</i>	
KRA Set Up Form	To be signed by authorized signatories with company stamp	
FATCA Form	To be signed by authorized signatories with company stamp	
Mapping of Custodian Bank Account in Demat Account <i>(Word format attached)</i>	To be signed by authorized signatories with company stamp	
Demat Mobile & Email ID Declaration <i>(Word format attached)</i>	To be signed by authorized signatories with company stamp	

Combined Know Your Customer Document Requirements

Mandatory Documents / Proof Required	PMS	Demat	Checking
Certified Copy of PAN Card of the applicant	1	1	
Certified Copy of Address Proof of the applicant	1	1	
Cancelled / Certified Copy of personalized cheque of the applicant	1	1	
Certified copy Certificate of incorporation/Certificate of Registration	1	1	
Certified copy of Memorandum & Articles of Association	1	1	
Certified Copy of Balance Sheet (Last 2 Financial Years)	1	1	
Board Resolution for investment in securities market – For Invesco. <i>(Word draft format attached)</i>	1	0	
Board Resolution for Demat Account – For ISSL <i>(Word draft format attached)</i>	0	1	
List of authorized Signatures of the applicant <i>(Word draft format attached)</i> <i>(Should capture Name, Address, Specimen Signature, Photo of authorized signatory, Photograph should be signed across)</i>	1	1	
List of Directors of the applicant <i>(Word Format attached)</i> <i>(Should capture Name, Address and Designation)</i>	1	1	
Latest Share Holding Pattern <i>(Word Format Attached)</i>	1	1	
KYC Documents of All Beneficial Owners holding more than 25% in the applicant	1	1	
Self-Certified Copy of PAN Card of all authorized signatories of the applicant	1	1	
▪ Self-attested copy of the Aadhar card for each applicant. <i>(The Authorised signatories who are authorised to operate the account)</i>	1	2	
Optional Documents / Proof Required	PMS	Demat	Checking
Client Demat Account - <i>(required, only if client is transferring personal stock to portfolio manager as corpus)</i>			
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.)
- Please check the list of type of documents eligible for Identity and Address proofs as per details available in the KRA form. Please submit latest dated docs to avoid expiry issues for validity of dated documents.
- In case of One Person Company (OPC), if only one person is the director, then Board Resolution can be signed by only one director.
- The documentation for OPC is same as per corporate.
- Online Printout of Registration certificate is accepted as address proof in the name of Company, which should be supported along with the certified copy of the form 18 & ROC receipt.
- All landline Telephone bill / Electricity bill can be accepted only if they are not older than 2 months.
- All Annexures have been combined to form a single Annexure I which is to be obtained with AOF for all non-Individual entities (other than sole proprietorship firms)
- 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

(ON LETTERHEAD OF THE COMPANY)

LIST OF AUTHORISED SIGNATORIES

Sr. No.	Name & Address	Designation	Photograph	Signature
1.			Please Sign Across the Photo with Company Stamp	Signature with Company Stamp
2.			Please Sign Across the Photo with Company Stamp	Signature with Company Stamp
3.			Please Sign Across the Photo with Company Stamp	Signature with Company Stamp

For: (Name of the Company)

To be signed by Director / Company Secretary along with Company Seal

Date: _____

Place: _____

(ON LETTERHEAD OF THE COMPANY)

LIST OF DIRECTORS

Date: _____

Sr. No.	Name & Address	Designation	Photograph	Signature
1.			Please Sign Across the Photo with Company Stamp	Signature with Company Stamp
2.			Please Sign Across the Photo with Company Stamp	Signature with Company Stamp
3.			Please Sign Across the Photo with Company Stamp	Signature with Company Stamp

For: (Name of the Company)

To be signed by Director / Company Secretary along with Company Seal

Date: _____

Place: _____

[ON LETTERHEAD OF THE COMPANY]

SHAREHOLDING PATTERN

Shareholding Pattern of **Company Name** as on **dd-mm-yyyy**

Sr. No.	Name of the Shareholder	Number of Shares	Face Value per Share	Total Value (in Rs.)	% of Shares held
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
	TOTAL				

For: (Name of the Company)

To be signed by Director / Company Secretary along with Company Seal

To be printed on Letterhead of the Corporate for Invesco

Specimen Board Resolution

EXTRACT OF THE MINUTES OF THE MEETING OF THE BOARD OF DIRECTORS OF (Name of the Company) held on (Date and Time) at their (Company's Registered Office Address)

"RESOLVED THAT the Company appoint Invesco Asset Management (India) Private Limited as its Portfolio Manager to provide portfolio management and other administrative services for the funds / portfolio to be deployed by the Company.

RESOLVED FURTHER THAT (Name of the Person, Designation) and /or (Name of the Person, Designation) of the Company be and are hereby authorised to execute and sign Portfolio Management Services Agreement with Invesco Asset Management (India) Private Limited.

RESOLVED FURTHER THAT Invesco Asset Management (India) Private Limited and its attorneys be and are hereby authorised to open and operate Bank Account(s) with Scheduled Commercial Bank(s) on behalf of the Company and operate Depository Account with National Securities Depositories Ltd. or Central Depository & Services (India) Ltd. opened in the name of the Company.

RESOLVED FURTHER THAT (Name of the Person, Designation) and /or (Name of the Person, Designation) of the Company be and are hereby authorized to sign Power of Attorney(s), Indemnities, Undertakings, Applications, Account Opening Form(s) and other documents and do such other things as may be necessary for obtaining Portfolio Management Services from Invesco Asset Management (India) Private Limited.

For (Name of the Company)

Director/Company Secretary/Authorised Signatory

Specimen Signatures of Authorised Signatories

Sr. No.	Name	Designation	Signature
1.			
2.			

Attested

For (Name of the Company)

Director/Company Secretary/Authorised Signatory