

Checklist for HUF Clients

Portfolio Management Service – Account Opening Forms & Declarations

Mandatory - Forms/Annexure/Declaration	Remark	Checking
Non Individual CVL KRA Form of the HUF	To be filled & signed by Karta (HUF Rubber Stamp)	
PMS Account Opening Form	To be filled & signed by Karta (HUF Rubber Stamp)	
Franked Portfolio Management Services Agreement	To be filled & signed by Karta (HUF Rubber Stamp)	
Franked Power of Attorney in Favour of Invesco	To be filled & signed by Karta (HUF Rubber Stamp) & all coparceners	
Portfolio Fee Schedule	To be filled & signed by Karta (HUF Rubber Stamp)	
Intimation of Interests in Body Corporate (Refer to Annexure 4 in PMS Application Form)	To be filled & signed by Karta (HUF Rubber Stamp)	
Ultimate Beneficial Ownership Declaration / FATCA & CRS (Refer to Annexure 10 in PMS Application Form)	To be filled & signed by Karta (HUF Rubber Stamp)	
Details of Karta with Photograph (Refer to Annexure 1C in PMS Application Form)	To be filled & signed by Karta (HUF Rubber Stamp)	

Optional - PMS Declaration	Remark	Checking
Portfolio Construction Declaration (Refer to Annexure 3 in PMS Application Form)	To be filled & signed by Karta (HUF Rubber Stamp), 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)	To be filled & signed by Karta (HUF Rubber 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 Karta (HUF Rubber Stamp)	
Non-Individual Demat Account Opening Form of ISSL	To be signed by Karta (HUF Rubber Stamp) (Do not mention any Correspondence address, since it will be of ISSL)	
KRA Set Up Form for HUF	To be signed by Karta (HUF Rubber Stamp)	
KRA Set Up Form for Karta of HUF with Photograph	To be signed by Karta (HUF Rubber Stamp)	
CERSAI Form for Karta of HUF with Photograph	To be signed by Karta (HUF Rubber Stamp)	
FATCA Form of HUF	To be signed by Karta (HUF Rubber Stamp)	
Mapping of Custodian Bank Acct in Demat Acct (Word format attached)	To be signed by Karta (HUF Rubber Stamp)	
Demat Mobile & Email ID Declaration (Word format attached)	To be signed by Karta (HUF Rubber Stamp)	

Combined Know Your Customer Document Requirements

Mandatory Documents / Proof Required	PMS	Demat	Checking
Certified Copy of PAN Card of HUF (HUF Rubber Stamp)	1	2	
Certified Copy of Address Proof of HUF (HUF Rubber Stamp)	1	2	
Cancelled / Certified Copy of personalized cheque of HUF (HUF Rubber Stamp)	1	0	
Certified Copy of PAN Card of Karta of HUF	1	2	
Certified Copy of Address Proof of Karta of HUF	1	2	
Declaration of HUF/ Deed of Declaration/ List of coparceners on HUF letter head (Word format attached)	1	0	
Change of Signature Letter – If applicable (Word format attached)	0	2	
▪ Self-attested copy of the Aadhar card for each applicant.	1	2	

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.)
- Date of Incorporation should be recorded as mentioned on the PAN Card. In case the word ANCESTRAL or a year beginning with 0 is mentioned on the PAN Card then the date should be recorded as 01/01/1961.
- Registration number would be the PAN number and the place of registration should contain the city/state provided in the address of the applicant.
- Net-worth as on the date along with the Gross Annual Income is mandatory for non-individuals as per SEBI guidelines.
- As per the regulatory requirement, photographs need to be affixed on the account opening forms (Custody, DP, Bank etc) and to be signed across the photographs (i.e. signature should appear partly on the photo and partly on the form)
- 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.

- All landline Telephone bill / Electricity bill can be accepted only if they are not older than 2 months.
- 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 HUF)

Date: _____

To,
Invesco Asset Management (India) Private Limited
2101-A, A Wing, 21st Floor,
Marathon Futurex, N. M. Joshi Marg,
Lower Parel, Mumbai - 400 013.

Sub: Subscription to Portfolio Management Services

We all the Coparceners (members) detailed below of the _____
_____ Hindu Undivided Family (HUF) do hereby authorize Karta of the
family to open & operate Portfolio Management Service account on behalf of the above named
HUF and we state that we are and shall always be jointly and severally responsible for all the
transactions that are executed by the Karta and all his orders/deals shall be binding on the HUF
and all its members jointly as well as severally.

In the eventuality of change of Karta or change in the constitution of HUF we shall inform you in
writing.

Sr. No.	Name of the Coparceners	Signature of the Coparceners	Date of Birth
1			DD/MMM/YYYY
2			DD/MMM/YYYY
3			DD/MMM/YYYY
4			DD/MMM/YYYY
5			DD/MMM/YYYY
6			DD/MMM/YYYY
7			DD/MMM/YYYY
8			DD/MMM/YYYY

Signature not required in case the Coparcener is a Minor. All Coparceners should sign on the
POA