

Checklist for Individuals

Portfolio Management Service – Account Opening Forms & Declarations

Mandatory - Forms / Annexure / Declaration	Remark	Checking
CVL KRA Form with Photograph	To be filled & signed for all applicants separately	
PMS Account Opening Form	To be signed by all applicants	
Franked Portfolio Management Services Agreement	To be signed by all applicants	
Franked Power of Attorney in Favour of Invesco	To be signed by all applicants	
FATCA & CRS Annexure	To be filled & signed for all applicants separately	
Portfolio Fee Schedule	To be signed by all applicants	
Intimation of Interests in Body Corporate <i>(Refer to Annexure 4 in PMS Form)</i>	To be signed by all applicants	

Optional - PMS Declaration	Remark	Checking
Portfolio Construction Declaration <i>(Refer to Annexure 3 in PMS Application Form)</i>	Required, 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>	Required, 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 all Applicants	
Individual Demat Account Opening Form of ISSL	To be signed by all Applicants <i>(Do not mention any Correspondence address, since it will be of ISSL)</i>	
KRA Set Up Form with Photograph	To be Filled & Signed for all Applicants Separately	
FATCA Form	To be Filled & Signed for all Applicants Separately	
CERSAI Form with Photograph	To be Filled & Signed for all Applicants Separately	
Mapping of Custodian Bank Account in Demat Account	To be signed by all Applicants	
Demat Mobile & Email ID Declaration <i>(Annexure Attached)</i>	To be Filled & Signed for all Applicants Separately	

Combined Know Your Customer Document Requirements

Mandatory Documents / Proof Required	PMS	Demat	Checking
Identity / Address Proof			
Self-Certified Copy of PAN Card of each applicant. <i>Provide Signature Verification Letter, if signature of the applicant/s mismatches with that on the PAN card & application form. Signature Verification Letter Format – (Annexure Attached)</i>	1	2	
Self-Certified Copy of Address Proof of each applicant. <i>Provide Signature Verification Letter, if signature of the applicant/s mismatches with address proof & application form. Signature Verification Letter Format – (Annexure Attached)</i>	1	2	
Bank Account Proof <i>(Cancelled Cheque Copy / Self certified Bank Passbook / Bank Statement which is not more than 3 months old, with Bank Stamp, Signature of Branch Manager)</i>			
▪ Bank proof of first applicant / joint applicants bank account for purpose of registration <i>(Note: First holder of the bank account should match with the First applicant of PMS)</i>	1	0	
▪ Bank proof of first applicant / joint applicants bank account from which funds are being invested, if it is different than one provided for registration <i>(Note: First holder of the bank account should match with the First applicant of PMS)</i>	1	0	
▪ If first applicant is a Housewife / Retired / Student, any 1 of the following document will be have to provided: i) Last six months' original bank statement or banker certified bank statement of first applicant ii) Declaration by First Applicant if Housewife / Retired / Student <i>(Annexure Attached)</i>	1	0	
▪ 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.)

- If the client is already KRA compliant the proof of address & KRA form is not required however in case if the client is KRA compliant and the address mentioned on the new account set up is not matching with the one updated on KRA we shall require the KRA Modification Form duly signed by the client, an IPV would also be required to be conducted for such cases.
- 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

Declaration by First Applicant if Housewife / Retired / Student for PMS

Date: _____

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

TO WHOMSOEVER IT MAY CONCERN

I, _____, am a Housewife / Retired and wish to appoint Invesco Asset Management (India) Pvt. Ltd. as my Portfolio Manager and thereby wish to opt for _____ (Portfolio name).

I confirm that the corpus which shall be invested in my portfolio of Rs. _____ (Amount in Figures) have been provided from my own savings account.

I also hereby declare that the amount given by me to IAMI, Portfolio Manager for investing on my behalf is through legitimate sources only and does not involve or is not designed for the purpose of contravention or evasion of any Act, Rules, Regulations, Statute, Legislation Notifications or Directions including Provisions of Income Tax Act, 1961, Prevention of Money Laundering Act, 2002, or any other applicable laws enacted by the Government of India, SEBI or any other statutory authority from time to time.

Sole / First Holder