

## CONVERSION OF ACCOUNT: RESIDENTIAL INDIVIDUAL (RI) TO NRI OR NRI TO RI

### PRE-CHECK

Following pre-check to be done before sending the requests for change in Residential & Account Status in [Trading & DP accounts (CDSL/NSDL)] to enable us to process the requests expeditiously and to avoid possible rejections.

1. Form is applicable for existing customers who wish to change the account status from "Residential Individual (RI)" to "NRI" or vice versa, as per the existing holding pattern.
2. Ensure to submit duly filled modification request form, signed by all holders
3. Signatures of all the holders should match with SSL records
4. All supporting documents (viz Proof of Address, Proof of Identity, etc) to be submitted, as required to comply with the KRA.
5. All supporting documents should be self attested and verified with the original at SSL Branch.
6. Proof of "Permanent/Foreign Address" mandatory for conversion of account from RI to NRI
7. **Bank Account Details:**
  - a. "NRO" Bank accounts details mandatory in case of conversion of account from RI to NRI along with the latest Bank Account statement with NRI status (Bank statement should not be more than 3 months old).
  - b. "Saving" Bank accounts details mandatory in case of conversion of account from NRI to RI. Personalised cancelled cheque leaf to be provided as supporting document.

### POINTS TO BE NOTED:

1. RI account cannot be converted to NRE
2. The existing account details (that is Demat and Trading account number) will continue to remain the same, only the account category will be changed (that is from RI to NRI or NRI to RI)
3. This form is not applicable - in case you wish to change the "Holding Pattern" of the account (i.e change in sequence of account holders/ Addition or Deletion of account holders). In such case, you will have to open a new account in desired name/holding pattern by following "Account Opening" procedure.

Please fill in ENGLISH and in BLOCK LETTERS with black ink

Changes in Residential Status

Trading Code:

BO ID:

1. PERSONAL DETAILS

Prefix	First Name	Middle Name	Last Name
Name: (Same as ID proof)			
Father / Spouse Name			
Mother Name			
Date of Birth		DOB Document Submitted	
<input type="text"/>		<input type="text"/>	
Place of Birth		Country of Birth	
<input type="text"/>		<input type="text"/>	
Gender: <input type="checkbox"/> M-Male <input type="checkbox"/> F-Female <input type="checkbox"/> T-Transgender			
Marital Status: <input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others			
Nationality: <input type="checkbox"/> IN-Indian <input type="checkbox"/> Others			
Tax Residency: <input type="checkbox"/> Only India <input type="checkbox"/> India & Other Country* <input type="checkbox"/> Any Other Country*			
Residential Status: <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin			
PAN: <input type="text"/>		Foreign TIN: <input type="text"/>	
Issuing County: <input type="text"/>			
Unique Identification Number (UID) / Aadhaar, If any: <input type="text"/>			
Proof of Identity submitted for PAN exempt cases (✓) <input type="checkbox"/> UID (Aadhaar) <input type="checkbox"/> Passport <input type="checkbox"/> Voter ID <input type="checkbox"/> Driving License			
Occupation Type: <input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector)			
<input type="checkbox"/> O- Others ( <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student)			
<input type="checkbox"/> B-Business <input type="checkbox"/> X-Not Categorised			
Type of eIA: <input type="checkbox"/> Ordinary Resident			

**PHOTOGRAPH**

Please affix the recent passport size photograph and sign across it

Signature / Thumb Impression

2. PROOF OF ADDRESS (PoA)

2.1 CORRESPONDENCE / LOCAL ADDRESS DETAILS

<input type="checkbox"/> Correspondence	<input type="checkbox"/> Residence
Proof of Address: <input type="checkbox"/> UID (Aadhaar) <input type="checkbox"/> Passport <input type="checkbox"/> Driving License	<input type="checkbox"/> Voter Identity Card <input type="checkbox"/> NREGA Job Card
Address: <input type="checkbox"/> Utility Bill* (Tel. / Electricity / Gas Bill) <input type="checkbox"/> Bank A/c Statement	<input type="checkbox"/> Allotment Letter <input type="checkbox"/> Others <small>Please Specify</small>
Line 1: <input type="text"/>	
Line 2: <input type="text"/>	
City / Town / Village: <input type="text"/>	District: <input type="text"/>
State: <input type="text"/>	Pin / Post Code: <input type="text"/>

2.2 CURRENT / PERMANENT / OVERSEASE ADDRESS DETAILS

Same as Correspondence / Local Address Details

Proof of Address: <input type="checkbox"/> UID (Aadhaar) <input type="checkbox"/> Passport <input type="checkbox"/> Driving License	<input type="checkbox"/> Voter Identity Card <input type="checkbox"/> NREGA Job Card
Address: <input type="checkbox"/> Utility Bill* (Tel. / Electricity / Gas Bill) <input type="checkbox"/> Bank A/c Statement	<input type="checkbox"/> Allotment Letter <input type="checkbox"/> Others <small>Please Specify</small>
Line 1: <input type="text"/>	
Line 2: <input type="text"/>	
City / Town / Village: <input type="text"/>	District: <input type="text"/>
State: <input type="text"/>	Pin / Post Code: <input type="text"/>

\*Not more than 2 months old. Validity / Expiry date of proof of address submitted -- -- Country:

3. CONTACT DETAILS

Tel. (Off): <input type="text"/>	Tel. (Res): <input type="text"/>	Mobile: <input type="text"/>
FAX: <input type="text"/>	Email ID: <input type="text"/>	

4. RESIDNETIAL STATUS

4.1 RESIDENTIAL STATUS

Resident Individual (RI) to Non Resident Indian (NRI)  Non Resident Indian (NRI) to Resident Individual (RI)

4.2 ACCOUNT SUB CATEGORY

Resident Individual (RI) to NRO (Non Repatriable)  NRO (Non Repatriable) to Resident Individual (RI)

5. APPLICANT DECLARATION

\* I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.  
\* I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date:  Place:

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

\* If client is a Tax Residence of any other countries please provide Country/countries of tax residency, TIN number, TIN issuing countries, Certificate of Residency and copy of TIN in separate (annexure provided on Page no 4).

FOR OFFICE USE ONLY

DOCUMENT VERIFIED WITH ORIGINALS AND IN-PERSON VERIFICATION DONE BY

Name of the Employee

Designation

IPV Done on Date:

**For SBICAP Securities Ltd.**

Signature of Verifier

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor or photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., 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. Proof of Identity (POI): List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving license.
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.

### C. 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. 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. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

### D. Exemptions/clarifications to PAN

(\*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCLs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

### E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. 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 client resides are permitted to attest the documents.

## DECLARATION AND UNDERTAKING (FATCA)

For the purposes of taxation, I am a resident in the following countries and my Tax Identification Number (TIN)/functional equivalent in each country is set out below or I have indicated that a TIN/functional equivalent is unavailable (kindly fill details of all countries of tax residence if more than one):

**First Holder:**

Country/countries of tax residency	Tax Identification Number (TIN)	TIN Issuing Country	Documents provided (copy of certificate of residence or copy of TIN)

**Second Holder:**

Country/countries of tax residency	Tax Identification Number (TIN)	TIN Issuing Country	Documents provided (copy of certificate of residence or copy of TIN)

**Third Holder:**

Country/countries of tax residency	Tax Identification Number (TIN)	TIN Issuing Country	Documents provided (copy of certificate of residence or copy of TIN)

**Documents Required: Kindly provide the documentary evidence of residence or TIN for all the countries listed in the above table.**

I/We certify that:

- a) The information provided in the Form is in accordance with section 285BA of the Income Tax Act, 1961 read with Rules 114F to 114H of the Income tax Rules, 1962.
- b) The information provided by me/us in the Form, its supporting Annexures as well as in the documentary evidence provided by me/us are, to the best of our knowledge and belief, true, correct and complete and that I/we have not withheld any material information that may affect the assessment/categorization of the account as a Reportable account or otherwise.
- c) I/We permit/authorise SBICAP Securities Limited ('the Company') to collect, store, communicate and process information relating to the Account and all transactions therein, by the Company and any of its affiliates wherever situated including sharing, transfer and disclosure between them and to the authorities in and/or outside India of any confidential information for compliance with any law or regulation whether domestic or foreign.
- d) I / We undertake the responsibility to declare and disclose within 30 days from the date of change, any changes that may take place in the information provided in the Form, its supporting Annexures as well as in the documentary evidence provided by us or if any certification becomes incorrect and to provide fresh self certification alongwith documentary evidence.
- e) I / We also agree that our failure to disclose any material fact known to us, now or in future, may invalidate our application and the Company would be within its right to put restrictions in the operations of my/our account or close it or report to any regulator and/or any authority designated by the Government of India (GOI) /RBI for the purpose or take any other action as may be deemed appropriate by the Company if the deficiency is not remedied by us within the stipulated period.
- f) I / We hereby accept and acknowledge that the Company shall have the right and authority to carry out investigations from the information available in public domain for confirming the information provided by me / us to the Company.
- g) It shall be my / our responsibilities to educate myself / ourself and to comply at all times with all relevant laws relating to reporting under section 285BA of the Act read with the Rules thereunder.
- h) I/We also agree to furnish such information and/or documents as the Company may require from time to time on account of any change in law either in India or abroad in the subject matter herein.
- i) I/We shall indemnify the Company for any loss that may arise to the Bank on account of providing incorrect or incomplete information.


  
 Name: \_\_\_\_\_


  
 Name: \_\_\_\_\_


  
 Name: \_\_\_\_\_

Date: \_\_\_\_\_

Place: \_\_\_\_\_

**BANK AND OTHER DETAILS (FOR TRADING & DEPOSITORY)****DESIGNATED BANK ACCOUNT DETAILS**

<b>Bank Name</b>	<b>Branch Code</b>																			
<b>Branch Name</b>																				
<b>Branch Address</b>																				
<b>Account Type</b>	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others ( <i>Specify in case of NRI / NRE / NRO</i> ) _____																			
<b>Account No.</b>																				
<b>MICR Code</b>																				

**INCOME / OCCUPATION / PEP DETAILS (First Holder)**

1. **Gross Annual Income Details** (Please tick):  Below 1 Lac     1-5 Lacs     5-10 Lacs     10-25 Lacs  
 >25 Lacs (Specify) \_\_\_\_\_

2. **Occupation** (Please tick any one)  **Service**  Private Sector  Public Sector  Government Service)  Business  
 Professional  Agriculturist  Retired  Housewife  Student  Others (Please specify) \_\_\_\_\_

3. **Please tick, if applicable:**  Politically Exposed Person  Related to a Politically Exposed Person (For definition of PEP, please refer guideline overleaf)

4. **Any other information:** \_\_\_\_\_

**INCOME / OCCUPATION / PEP DETAILS (Second Holder)**

1. **Gross Annual Income Details** (Please tick):  Below 1 Lac     1-5 Lacs     5-10 Lacs     10-25 Lacs  
 >25 Lacs (Specify) \_\_\_\_\_

2. **Occupation** (Please tick any one)  **Service**  Private Sector  Public Sector  Government Service)  Business  
 Professional  Agriculturist  Retired  Housewife  Student  Others (Please specify) \_\_\_\_\_

3. **Please tick, if applicable:**  Politically Exposed Person  Related to a Politically Exposed Person (For definition of PEP, please refer guideline overleaf)

4. **Any other information:** \_\_\_\_\_

**INCOME / OCCUPATION / PEP DETAILS (Third Holder)**

1. **Gross Annual Income Details** (Please tick):  Below 1 Lac     1-5 Lacs     5-10 Lacs     10-25 Lacs  
 >25 Lacs (Specify) \_\_\_\_\_

2. **Occupation** (Please tick any one)  **Service**  Private Sector  Public Sector  Government Service)  Business  
 Professional  Agriculturist  Retired  Housewife  Student  Others (Please specify) \_\_\_\_\_

3. **Please tick, if applicable:**  Politically Exposed Person  Related to a Politically Exposed Person (For definition of PEP, please refer guideline overleaf)

4. **Any other information:** \_\_\_\_\_

**FEMA DECLARATION**

I hereby declare that all securities related transactions carried out by me through SSL, from time to time shall be in compliance with the provisions of Foreign Exchange Management Act, 1999 or any rules, regulations, notifications, directions, orders made there under or any other applicable law for the time being in force and will not involve and will not be designed for the purpose of any contravention or evasion of the provisions thereof.

I also hereby agree and undertake to give such information/documents as will reasonably satisfy you about the transaction in terms of the above declaration.

I also understand that if I fail / refused to comply with such requirements or do not comply with it the satisfaction of SSL, then SSL shall have the right to refuse to undertake such transaction and shall, if it has reason to believe that any contravention/evasion is contemplated by me/us report the matter to Reserve Bank of India, Stock Exchanges and/or any other statutory/regulatory authorities.

I/We am/are aware and conversant about the governing laws/ rules/ regulations/ guidelines/ provisions of FEMA, RBI and other statutory/regulatory bodies, pertaining to opening, maintaining and operating a demat account in India; and shall abide by all the applicable laws and regulations at all times.

FH

SH

TH

Name: \_\_\_\_\_

Name: \_\_\_\_\_

Name: \_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_

**SCHEDULE OF BROKERAGE / CHARGES AND TAXES**

Segment	Delivery	Intra-Day		Minimum
		First leg	Second Leg	
Cash Market	0.75%	0.075%	0.075%	₹ 0.05
Derivatives	Future	0.05%	0.03%	₹ 0.01
	Option*	₹ 100/-	₹ 50/-	₹ 50/-
Currency Derivatives	Future	0.03%	0.015%	
	Option*	₹ 30/-	₹ 20/-	₹ 20/-

**TERMS AND CONDITIONS**

- (a) The client will be charged brokerage, commission, fees, depository charges, charges for short messaging alerts and applicable statutory levies/taxes including GST, securities transaction tax, other taxes, and transaction expenses as they exist from time to time.
- (b) SBICAP securities Ltd. (SSL) shall from time to time subject to Exchange/Depository provisions and restrictions imposed in this behalf by SEBI, determine and modify the amount of brokerage, charges, commission, fees, and other charges plus applicable taxes payable per transaction by the client. Such changes will be intimated to the Client by ordinary post and published on the SSL website in writing and as mutual agreed upon.
- (c) For any concessional rates availed on account of special promotional campaigns/offers a flat fee of 0.25% shall be levied in addition to the existing brokerage slab.

The client shall abide by the above terms and conditions and pay applicable charges as levied by SSL to subscribe for any product/scheme(s).

**DEPOSITORY SERVICE CHARGES**

HEAD	CHARGES
Account Maintenance Charge Individual	₹ 4000/- (₹ 600/- for e-statement)
Account Maintenance Charge Non Individual	₹ 1000/-
Closure of Account	Nil
<b>On-Market (Sell Market) / Off Market (% of transaction value of each ISIN)</b>	
with POA (applicable for On Market Instructions only)	0.01% (Min. ₹ 21/- Max. ₹ 300/-)
For instruction submitted through internet	0.01% (Min. ₹ 21/- Max. ₹ 300/-)
For instruction submitted through Branches	0.04% (Min. ₹ 30/- Max. ₹ 50,000/-) Extra Charges ₹ 10/- per ISIN for Late submission
Buy- market and off-market	Nil
Rejection / Failed instruction	₹ 10/- per failed instruction
<b>Dematerialisation / Rematerialisation</b>	
For each request form - Dematerialisation	₹ 35/-
Extra for each certificate - Dematerialisation	₹ 5/-
Rematerialisation (For each request form)	₹ 35/- plus ₹ 10/- for every hundred securities or part thereof, or a flat fee of ₹ 10/-per certificate whichever is higher
<b>Pledge Creation/Closure/Confirmation/Invocation (% of value for each ISIN in each request)</b>	
If SSL/SBI is the counter party	0.02% of Value or Min ₹ 25/- whichever is higher (Plus CDSL/NSDL Charges)
If SSL is not the counter party	0.04% of Value or Min ₹ 50/- whichever is higher (Plus CDSL/NSDL Charges)
<b>Additional Accounts Statements</b>	
By Courier	₹ 300/-
By Email	Nil

**Note:** (1) The above mentioned charges are exclusive of applicable statutory levies/ taxes including GST. (2) Beneficial Owner (BO) of the Demat Account will be charged applicable statutory levies / taxes including GST, other taxes as they exist from time to time. (3) Mailing and courier charge for handling share in connection with Dematerialisation/Rematerialisation and for mailing physical statements will be recovered in actual basis. (4) The value of shares and charges is calculated as per CDSL / NSDLm formula and rates. (5) There will be a charge of Rs. 100/- for dishonour of any cheque or unsuccessful attempt to recover payment through direct debit or ECS. (6) The depository services are liable to discontinuation if SSL is unable to recover charge from the customer for any reason whatsoever. In such cases there will be a charge Rs. 250/- for resumption of services and the services will be resumed after a minimum of three working days from the date of receipt of request at Centralised Processing Cell of SSL at Mumbai. (7) Any service that is not indicated above will be charged separately as per the rates applicable from time to time. SSL reserves the right to revise the tariff structure from time to time, any change in tariff will be communicated to the BO with 30 days prior notice by email/ ordinary post/ courier. The said revised tariff will also be displayed on SSL website www.sbismart.com for BO's information/communication. BO is requested to take note of applicable tariff displayed on the SSL's website from time to time.

  
FH

  
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First Holder: \_\_\_\_\_

Second Holder: \_\_\_\_\_

Third Holder: \_\_\_\_\_

\* Per Lot # Excluding all statutory levies. • Any concession in card rates is subject to approval from the competent authority.