

Checklist for FPI's:-

1. Account opening form duly executed by authorized signatories.
2. Copy of Power of Attorney (POA) given to the Custodians which are duly notarized and/or apostilled or consularised mentioning the address. In case POA is not given then Proof of Address of the entity would be required.
3. FPI registration certificate issued by DDP. The same is to be cross checked with NSDL website.
4. Copy of PAN or e-PAN.
5. Authorized signatories list. No required in case of no exchange of physically signed documents / agreement with I-Sec and the FPI or its Investment Manager is regulated FATF member country. Further if SWIFT is used as medium of instruction then also Authorised Signatory List is not required.
6. Constitution documents like Trust deed, Information Memorandum, Prospectus, Memorandum and Articles of Association (or similar legal document evidencing formation of entity)
7. List of ultimate natural beneficial owners (UBO) with shareholding or beneficial interest in the client equal to or above or non-individual holdings equal to or aggregating to more than 25% to be obtained. Please note if FPI is in nature of Company then threshold is 25% and 15% for other entities. In case of FPI coming from high risk jurisdiction lower materiality threshold of 10% should be applied for identification of beneficial owners. DJ Screening to be done for each beneficial owner.
8. Format of UBO declaration is given below. The same would be available in KRA

Sr. No.	Name & Address of the Beneficial Owner (Natural Person)	Date of Birth	Tax Residency Jurisdiction	Nationality	Whether acting alone or together through one or more natural persons as group, with their name and address	BO percentage Shareholding / Capital / Profit ownership in the FPI	Tax Residency Number / Social Security Number / Passport number of BO / any other government issued identity document (example driving license)
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9. For high risk jurisdiction and FPI Category II other than regulated entities - KYC review should be yearly. For other jurisdiction and other category of FPI, KYC review should be during renewal of FPI license.

Additionally, for FPI falling under Category II the following additional documents would be required

1. Board Resolution. In case Power of Attorney granted to Global custodian / local custodian is accepted in lieu of Board Resolution.
2. Proof of Identity of Ultimate Natural Beneficial Owners.

Copies of all the documents submitted by the applicant should be 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.

For I-Sec Inc account following are additional documents

1. Photograph and Proof of Identity of Authorised Signatories
2. Proof of Identity of UBO
3. Institutional Suitability Certificate Required
4. Suppression Consent Required

Registered Office:
ICICI Venture House
Appasaheb Marathe Marg,
Prabhadevi,
Mumbai - 400 025
T (+91 22) 6807 7100

Corporate Office:
Building No. 03, Mindspace Juinagar,
Plot No. Gn-2/1/D,E,F, MIDC TTC
Industrial Area,
Juinagar,
Navi Mumbai, 400706.
T (+91 22) 4070 1000

Member of National Stock
Exchange of India Ltd., BSE Ltd.
& Multi Commodity Exchange
of India Ltd.
SEBI Registration: INZ000183631
CIN No: U67120MH1995PLC086241

Compliance Officer (Broking Operations):
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