



CENTRAL DEPOSITORY &  
SETTLEMENT CORPORATION  
*Invested in Progress*

EUROPA TOWERS, 10<sup>TH</sup> FLOOR P.O. BOX 3464-00100; TEL. 2912000 / 2229407; FAX 2229405

## 1. Account Opening Checklist

### Completion of the CDS 1 Form

The form must be duly completed with the following details:

- **Client's Personal Details:** All required fields must be filled accurately.
- **Client Declaration:** The declaration section must be signed by the client.  
(Note: A company seal or stamp must be appended for corporate clients.)
- **CDA Declaration:** The declaration section must be verified, signed, and stamped by authorized CDA signatories.

### Identification Documents

The following supporting documents must be attached and duly certified by the client's CDA:

- Recent passport-sized photograph of the client.
- Identification documents such as Passport, National ID, PIN Certificate, Birth Certificate, or Registration Certificate.
- Any other relevant supporting documents.

### Note:

- For foreign documents, notarization is mandatory.

### KYC DOCUMENTS REQUIRED

<b>Private (Single or joint a/c)</b> <ul style="list-style-type: none"><li><input type="checkbox"/> Duly completed CDS 1 form signed by the applicant (s)</li><li><input type="checkbox"/> Certified copy National ID or Passport or Alien ID</li><li><input type="checkbox"/> Certified copy of KRA PIN (Where applicable)</li><li><input type="checkbox"/> Recent colored passport size photo</li><li><input type="checkbox"/> Proof of income,</li><li><input type="checkbox"/> Proof of residence</li><li><input type="checkbox"/> Letter of authorization</li><li><input type="checkbox"/> Bank reference</li><li><input type="checkbox"/> Employment reference</li></ul>	<b>Junior Accounts</b> <p>The parent or guardian will be required to provide all the documents as if they were opening their own account. In addition the following should be provided.</p> <ul style="list-style-type: none"><li><input type="checkbox"/> Duly completed CDS 1 form signed by the parent/guardian</li><li><input type="checkbox"/> Certified copy of the minor's birth certificate or Passport.</li><li><input type="checkbox"/> Recent colored passport size photo</li></ul>	<b>Corporate (Company/Nominee/SHG...)</b> <ul style="list-style-type: none"><li><input type="checkbox"/> Duly completed CDS 1 form signed by the authorized signatories</li><li><input type="checkbox"/> Certified copy of certificate of incorporation/ registration</li><li><input type="checkbox"/> Certified copy of the Board Resolution</li><li><input type="checkbox"/> Certified copy of KRA PIN (where applicable)</li><li><input type="checkbox"/> Proof of income,</li><li><input type="checkbox"/> Proof of residence</li><li><input type="checkbox"/> Form CR12</li><li><input type="checkbox"/> Bank reference</li><li><input type="checkbox"/> Memorandum and Articles of Association</li></ul>
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## 2. Account Maintenance Checklist

### Completion of CDS 1 Form

- The form must be duly completed with the following details:
  - Client's details to be updated.
  - Specific static details requiring updates must be listed on the face of the CDS 1 form.
- The client must sign the declaration section of the form.
  - **Note:** A company seal or stamp must be appended for company accounts.

### CDA Declaration

- The declaration section must be verified and stamped by the client's CDA authorized signatory(s).

### Identification Documents

- Attach identification documents duly certified by the client's CDA, including:
  - Passport/National ID/Birth Certificate/Registration Certificate.
  - Any other relevant supporting documents.
  - **Note:** Foreign documents must be notarized.

## 3. Suspension, Deactivation and Closure Checklist

### CDA Authorization/Request Letter

- The forwarding letter must be signed by authorized CDA signatories.
- The letter must include an indemnity by the CDA to CDSC.

### Proof of Identification

- Relevant identification documents must be attached.

### Supporting Documents

- All supporting documents must be duly certified by the CDA.

## 4. Pledges Checklist

### **CDS 5 Form**

The CDS 5 form must be duly completed and include:

- Signature of the depositor/client.
- Verification and stamping/sealing by the depositor's CDA.
- Signature and stamping/sealing by the pledgee/financier.

### **Supporting Documents**

- A letter from the financier or any other relevant evidence must be attached.

### **CDA Forwarding Letter**

- The CDA forwarding letter must clearly detail the client's names.
- The letter must be signed by authorized CDA signatories.

## 5. Pledge Release Checklist

### **CDS 6 Form**

The CDS 6 form must be duly completed with the following details:

- Signed by the pledgee/financier.
- Verified and stamped by the depositor's CDA.
- The release option clearly selected on the CDS 6 form.

### **Supporting Documents**

- A letter from the financier or any other evidence of release must be attached.

### **CDA Forwarding Letter**

- The CDA forwarding letter must include the client's names.
- The letter must be signed by authorized CDA signatories.

## 6. Own Account Transfers Checklist

### Client Details

- CDS account number.
- Full name of the client.
- ID number, passport number, or company registration number.

### Details of Transfer Transaction

- Security name and ID to be transferred.
- Number of shares to be transferred.

### Declaration Section of the CDS 4 Form

- Full name of the client.
- Signature of the client. (Note: Thumbprints must be appended on all copies of the form and witnessed. For companies, a company stamp or seal must be affixed.)
- The form must be dated.

### Current and Receiving CDA Section

- Name and signature of the authorized CDA signatories.
- Official CDA stamp or seal.
- The section must be dated.

### Supporting Documents

The following certified documents must be submitted:

- ID card, passport, or certificate of registration/incorporation.
- Affidavit.

**Note:** All affidavits must be clearly executed by the deponents before a person authorized to administer oaths, such as a Commissioner for Oaths, Notary Public, or Magistrate.

## 7. Private Transfer Checklist

### Details of Transferor & Transferee

- CDS account number.
- Full name of the transferor and transferee.
- ID number, passport number, or company registration number.

### Details of Transfer Transaction

- Security name or ID to be transferred.
- Number of shares to be transferred.
- Nature of transfer (e.g., gift, deceased estate, or other specified reason).
- The reason for the transfer must be clearly indicated on the transfer form.

### Declaration Section

- Full name of the transferor or administrator.
- Signature of the transferor(s) or administrators. (Note: Thumbprints must be appended on all copies of the CDS 7 form and witnessed.)
- Company seal or stamp for companies.
- DC or Public Trustee stamp must be appended.
- The form must be dated.

### Transferee Section

- Full name of the transferee.
- Signature of the transferee. (Note: Thumbprints must be appended on all copies of the CDS 7 form and witnessed.)
- Company seal for companies must be appended.
- The form must be dated.

### Transferor and Transferee CDA Section

- Name and signature of the authorized CDA signatory.
- Official authorized stamp.
- The section must be dated.

### Supporting Documents

The following certified documents must be submitted as applicable:

- ID, passport, or certificate of registration/incorporation.
- Birth certificate, death certificate, or marriage certificate.
- Grant of letters of probate or letters of administration.
- Certificate of confirmation of grant.
- Will.
- Letter of indemnity.
- Probate and administration letter.
- Affidavit.

**Note:** All affidavits must be clearly executed by the deponents before a person authorized to administer oaths, such as a Commissioner for Oaths or Notary Public

## 8. Securities Deposits Checklist (Own Account)

### Completion of CDS 2 Form

The form must be duly completed with the following details:

- CDA code and CDA logo must match.
- Security name clearly indicated.
- Non-Trading account number and Local ID provided.
- Trading account number specified.
- Investor's details on the form must match the records in the CDSC system.
- Certificate number(s) must be indicated.
- Quantity per certificate must be listed.
- Total quantity of securities must match the certificates provided.
- The CDS 2 form must be dated.

## 9. Securities Deposits Checklist (Private Transfers)

### CDS 2 and CDS 7 Forms

Both forms must be duly completed with accurate information as outlined below:

- CDA code and CDA logo must match.
- Security name must be correctly stated.
- Non-trading account number and Local ID must be captured on the CDS 2 form.
- Trading account number must be provided on the CDS 7 form.
- Investor details on the forms must match the records at CDSC.
- Quantity of securities on the CDS 2 and CDS 7 forms must tally.
- Reason for transfer must be clearly indicated on the CDS 7 form.
- NSE stamp and authorized signature must be present on the CDS 7 form.
- Both CDS 2 and CDS 7 forms must be dated appropriately.
- Administrators' names and signatures on the CDS 2 and CDS 7 forms must match.