



व्यवसाय अर्जन एवं संबंध प्रबंधन प्रभाग, प्रधान कार्यालय  
तृतीय पक्ष उत्पाद एवं सरकारी कारोबार  
प्लॉट सं.4, सैक्टर 10, द्वारका, नई दिल्ली- 110075  
Business Acquisition & Relationship Management Division (BA & RM), Head Office  
(Third Party Products & Government Business)  
Plot No.4, Sector-10, Dwarka, New Delhi-110075

Date: 04-09-2023

TO ALL OFFICES

**BA & RM DIVISION - THIRD PARTY PRODUCTS & GOVERNMENT BUSINESS  
CIRCULAR NO. 27/2023**

**PNB TRIUMPH (3-IN-1) - SAVING, DEMAT AND TRADING ACCOUNT**

“PNB-Triumph” is an anchor product of the bank, wherein 3-In-1 account i.e. Saving, Demat and Trading accounts are opened. Bank provides depository services as a Depository Participant of NSDL & CDSL and Trading services through tie up with following Trading channel partners.

1. SMC Global Securities Ltd.
2. Geojit Financial Services Ltd.
3. Aditya Birla Money Ltd.
4. IDBI Capital Market & Securities Ltd

The same was circulated through Marketing Division Circular No. 18/2020, dated 30.03.2020 and Customer Acquisition Division Circular No. 20/2020 dated 08.09.2020.

In **PNB-Triumph** product customer can open all three accounts i.e. Saving, Demat and trading account in one go. Under 3- In-1 product, saving account and Demat account are opened by branch in Finacle and Trading account by our trading partners.

The Steps/ Job card for opening of PNB-Triumph account is enclosed. The branch has to collect filled forms of Saving, Demat and Trading account (all three) from customer, open Saving Account & Demat account in CBS. Demat account can be opened in CBS using “Simplified Demat Account journey” and for trading account send/ handover trading account opening form to Trading Partners; (Aditya Birla Trading account can be opened only in digital mode) as mentioned in job card (enclosed) for getting PNB Triumph accounts opened.

The blank application forms of PNB triumph (Saving, Demat and Trading) PNB Triumph (3-In-1) are available on Bank’s corporate website under “Download Form” and Knowledge centre. All three forms are also enclosed herewith.

ਪੰਜਾਬ ਨੈਸ਼ਨਲ ਬੈਂਕ  
व्यवसाय अर्जन एवं संबंध प्रबंधन प्रभाग, प्रधान कार्यालय  
PUNJAB NATIONAL BANK  
**BUSINESS ACQUISITION & RELATIONSHIP MANAGEMENT DIVISION, HEAD OFFICE**

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Field functionaries are requested to open maximum “PNB-Triumph” accounts using the improved utilities of “Simplified Demat Account journey” for Demat account in CBS, which is explained in enclosed job Card. This will also help them to achieve their Demat & Trading Accounts target.

All concerned are requested to note the above for meticulous compliance.

**Chief General Manager  
(Mahendra Dohare)**

**Enclosed:** Job card for branches and Account Opening Form (AOF)

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### **Job Card for Branches**

- PNB Triumph(3-In-1) forms are available on Bank's corporate website under "**Download Form**". Also, on Non- CBS, Knowledge centre.
- Branch has to collect the filled forms (all three) and open saving and Demat account in CBS. Saving account can be opened through existing process, while Demat account can be opened in CBS through menu "**OPNDEMAT**". For detailed circular of Demat account opening in CBS, please referred circular No **CAqD 98/2022 date 31.08.2023**.
- After opening of saving and Demat account, the trading form to be handed over to channel partners. The contact person of channel partners is as under:

<b>S. No</b>	<b>Name of Trading partner</b>	<b>Contact Person Name</b>	<b>Contact Person Mobile No.</b>
1	SMC Global Securities Ltd.	Mr. B Sanjeev Kumar	9810299880
2	Geojit Financial Services Ltd.	Mr. Pravas Ravi A	9895007012
3	IDBI Capital Market & Securities Ltd	Mr. Shiv Mishra	9820556007

व्यक्तियों के लिए खाता खोलने का फॉर्म  
(संयुक्त खातों के मामले में, भाग -I ( सीआईएफ) प्रत्येक ग्राहक से लिया जाना है)

बैंक/शाखा अपने नाम एवं कोड नं.की मुहर लगाएं

दिनांक:

(केवल कार्यालय उपयोग के लिए)

चिन्हित (\*) सभी फील्ड अनिवार्य हैं। कृपया केवल स्पष्ट अक्षरों में भरें और हस्ताक्षर के लिए काली स्याही का प्रयोग करें (कृपया उचित बॉक्स पर टिक करें)

ग्राहक आईडी :

आवेदन प्रकार ☐ नया ☐ अद्यतन

खाता सं.:

खाता प्रकार ☐ सामान्य ☐ लघु (कम-जोखिम वाले ग्राहकों के लिए)

सीकेवाईसीआर सं.

☐ अवयस्क

क्रम सं.	जांच सूची	हाँ	नहीं	लागू नहीं
1	पैन कार्ड या फॉर्म 60 की प्रति संलग्न की गई है			
2	यदि कर निवास का देश भारत नहीं है, तो अनुबंध I (एफएटीसीए) प्राप्त किया गया है			
3	यदि आवेदक अवयस्क है, तो विधिवत भरा हुआ अनुबंध II प्राप्त किया गया है			
4	मैं पुष्टि करता हूँ कि अनुबंध I एवं अनुबंध II ( यदि लागू है) सहित फॉर्म में दिए गए सभी विवरण पूर्ण रूप से भरा गया है और विधिवत जाँच की गई है			
5	मैं पुष्टि करता हूँ कि व्यक्तिगत रूप से सत्यापन पूरा किया गया था और आवेदक के हस्ताक्षर / अंगूठे का निशान मेरे द्वारा सत्यापित किया गया है			
6	मैं प्रमाणित करता हूँ कि खाता खोलने की प्रक्रिया के रूप में प्राप्त किये गए स्व-प्रमाणित दस्तावेजों (पहचान का प्रमाण और पते का प्रमाण एवं अन्य) को मूल प्रति से सत्यापित किया गया है और सही पाया गया है तथा प्राप्त की गई ओबीडी में यही दर्ज है।			
7	मैं प्रमाणित करता हूँ कि खाते के परिचालन हेतु निहितार्थी एवं शर्तों को ग्राहक (केवल निरक्षर आवेदक के मामले में) को बताया गया है			
8	मैं प्रमाणित करता हूँ कि आवेदक के हस्ताक्षर मेरे समक्ष लिए गए हैं और उसकी फोटो का सत्यापन व्यक्तिगत रूप से किया गया है			

जोखिम की श्रेणी\* ☐ उच्च ☐ मध्यम ☐ कम

प्राप्त दस्तावेज ☐ स्व- प्रमाणित ☐ सत्यापित प्रतियाँ ☐ नोटरी ☐ अन्य (केवल अनिवासी के मामले में लागू)

एक या दो पहचान के चिन्ह के विवरण, जैसे तिल या निशान ( निरक्षर आवेदक के लिए अनिवार्य) \_\_\_\_\_

आधिकारी का नाम:  पीएफ सं.

पदनाम:

तिथि:

जीबीपीए सं.

हस्ताक्षर

### Account Opening Form for Individual

(In case of joint accounts, Part-I(CIF) to be taken for each customer)

Bank/Branch to affix rubber stamp of name and code no.

Date

### FOR OFFICE USE

Fields marked (\*) are mandatory. Please fill up in BLOCK letters only and use black ink for signature (Please tick in appropriate box)

Customer ID

Application Type ☐ New ☐ Update

Account No.

Account Type ☐ Normal ☐ Small (for low-risk customers)

CKYCR No.

☐ Minor

S No	Check list	Yes	No	N/A
1	Copy of PAN Card or Form 60 has been attached			
2	If country of Tax residence is not India, Annexure I (FATCA) has been obtained			
3	If applicant is a minor, duly filled Annexure II has been obtained			
4	I confirm that all details in the form, including Annexure I and Annexure II (if applicable), have been completed and duly checked			
5	I confirm in-person verification was carried out and Signature / Thumb impression of the applicant is verified by me			
6	I certify that self-certified documents (Proof of Identity & Proof of Address and others) received as part of account opening process have been verified from original and found correct & same is recorded on OVD's obtained			
7	I certify that the implications and conditions for the operation of the account have been explained to the customer (only in case of illiterate applicant)			
8	I certify that applicant signature has been obtained in front of me and photograph has been verified in-person			

Risk Category\* ☐ High ☐ Medium ☐ Low

Documents Received ☐ Self Certified ☐ True Copies ☐ Notary ☐ Others (Applicable in case of Non Resident only)

Details of one or two identification marks, such as a mole or scar (mandatory for illiterate applicant) \_\_\_\_\_

Official Name:           PF No.       Designation

Date

GBPA No

Signature

व्यक्तियों के लिए खाता खोलने का फॉर्म (भाग-I)  
ग्राहक सूचना शीट (सीआईएफ सृजन/ संशोधन)  
(संयुक्त खातों के मामले में, भाग -I ( सीआईएफ) प्रत्येक ग्राहक से लिया जाना है)

दिनांक:

### 1. व्यक्तिगत विवरण

	उपपद	प्रथम नाम	मध्य नाम	अंतिम नाम
1.नाम*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
2.जन्म तिथि*:	<input type="text"/>	3. लिंग *	<input type="text"/> पुरुष <input type="text"/> महिला <input type="text"/> थर्ड जेंडर	
4.वैवाहिक स्थिति*	<input type="text"/> विवाहित <input type="text"/> अविवाहित <input type="text"/> अन्य			
5.नाम *	<input type="text"/> पिता का <input type="text"/> माता का <input type="text"/> जीवनसाथी का (यदि पैर उपलब्ध नहीं कराया गया है, तो पिता का नाम अनिवार्य है )			
6.राष्ट्रियता*:	<input type="text"/> भारतीय <input type="text"/> अन्य देश का नाम	<input type="text"/>	<input type="text"/>	<input type="text"/>
7.मोबाईल नं.	<input type="text"/>	8. ईमेल आईडी	<input type="text"/>	<input type="text"/>
9.वैकल्पिक मोबाइल नं.	<input type="text"/>	10.लैंडलाइन नं.	<input type="text"/>	<input type="text"/>

### 2. पहचान/ पते का प्रमाण (कृपया उचित बॉक्स (किसी भी प्रकार की एक आईडी) पर टिक करें और विवरण दें)\*

1.आईडी का प्रकार \*

☐ पासपोर्ट (एनआरआई/पीआईओ के मामले में अनिवार्य) ☐ मतदाता पहचान पत्र ☐ ड्राइविंग लाइसेंस ☐ नरेगा जॉब कार्ड ☐ नाम और पते सहित राष्ट्रीय जनसंख्या रजिस्टर द्वारा जारी किया गया पत्र

☐ आधार सं. होने का प्रमाण ☐ (i) - ई-केवाईसी ☐ (ii) - ऑफलाइन सत्यापन

2.दस्तावेज़ पहचान संख्या\*

3.जारीकर्ता

4.जारी करने की तिथि:\*  5.समाप्ति तिथि (यदि लागू हो):

### 3. पते का विवरण\* (उपरोक्त 2. में प्रस्तुत किये गए पते के प्रमाण के अनुसार )

1.पते का प्रकार\* ☐ आवासीय/व्यावसायिक ☐ आवासीय ☐ व्यावसायिक ☐ पंजीकृत कार्यालय ☐ विदेशी (एनआरआई/पीआईओ के लिए अनिवार्य)

2.पता\*

3.शहर/गाँव\*  4.जिला\*

5.राज्य \*  6.पिन कोड\*  7.देश\*

8.क्या ऊपर दिया गया पता आपका वर्तमान पता है ?\* ☐ हाँ ☐ नहीं

(यदि नहीं का चयन किया है, तो कृपया क्रम सं. 3 के अनुसार दस्तावेजी प्रमाण सहित क्रम सं. 4 में वर्तमान पते का विवरण दें )

### 4. पते का विवरण ☐ वर्तमान/ स्थानीय / पत्राचार

1.पते का प्रकार\* ☐ आवासीय/व्यावसायिक ☐ आवासीय ☐ व्यावसायिक ☐ पंजीकृत कार्यालय ☐ अनिर्दिष्ट

2.पता \*

3.शहर/गाँव\*  4.जिला\*

5.राज्य \*  6.पिन कोड\*  7.देश\*

**Account Opening Form for Individual (Part-I)**  
**Customer Information Sheet (CIF Creation/Amendment)**  
(In case of joint accounts, Part-I (CIF) to be taken for each customer)

Date

## 1. Personal Details

	Prefix	First Name	Middle Name	Last Name
1.Name *	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
2.Date of Birth*	<input type="text"/>	<input type="text"/>	3.Gender*	<input type="text"/> Male <input type="text"/> Female <input type="text"/> Third Gender
4.Marital Status*	<input type="text"/> Married	<input type="text"/> Single	<input type="text"/> Other	
5.Name of*	<input type="text"/> Father	<input type="text"/> Mother	<input type="text"/> Spouse	(Father name is mandatory if PAN is not provided)
6.Nationality*	<input type="text"/> Indian	<input type="text"/> Others	Country Name	<input type="text"/>
7.Mobile No.	<input type="text"/>	<input type="text"/>	8.Email ID.	<input type="text"/>
9.Alternative Mob No	<input type="text"/>	<input type="text"/>	10.Landline Number	<input type="text"/>

2. Proof of Identity/Address (Please tick the appropriate Box (any one ID type) and give details)\*

1.ID type\*

☐ Passport (Mandatory in case of NRI/PIO) ☐ Voter's Identity Card ☐ Driving License ☐ NREGA Job Card ☐ Letter issued by National Population Register containing details of Name & Address

☐ Proof of Possession of Aadhar No. ☐ (i) - E-KYC ☐ (ii) - Offline verification

2.Document identification Number\*

3. Issued By

4.Issue Date\*     5.Expiry Date (If Applicable)

### 3. Address Details\* (as per Proof of Address submitted at 2. above)

1.Address Type\* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Overseas (mandatory for NRI/PIO)

[illegible]

3.City/Village\*    4.District\*

[illegible]

8.Is the address provided above your Current Address ?\* ☐ Yes ☐ NO

If selected 'No', then please provide Current Address at S. No. 4 along with Documentary Evidence as per S. No. 3.)

4. Address Details Current / Local / Correspondence

1.Address Type\* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

2.Address\*

**3.City/Village\***

[illegible]

5. यदि दिए गए पते का प्रमाण/ओवीडी में वर्तमान पता उपलब्ध नहीं है, तो ओवीडी (आधिकारिक रूप से वैध दस्तावेज) के रूप में निम्नलिखित दस्तावेजों में से कोई दस्तावेज उपलब्ध कराएं

- ☐ 1.यूटिलिटी बिल\* ☐ 2.पीपीओ/एफपीपीओ\* ☐ 3.सम्पत्ति या नगर निगम कर रसीद\*  
☐ 4.नियोक्ता द्वारा जारी/ राज्य या केंद्र सरकार के विभागों, वैधानिक या विनियामक निकायों, सार्वजनिक क्षेत्र के उपक्रमों, अनुसूचित वाणिज्यिक बैंकों, वित्तीय संस्थाओं और सूचीबद्ध कम्पनियों द्वारा जारी आवास आवंटन पत्र। इसी तरह ऐसे नियोक्ता के साथ अनुमति एवं अनुज्ञप्ति करार जो आधिकारिक आवास आवंटित करते हैं।  
☐ 5.स्व-घोषणा (केवल तभी लागू है, यदि ग्राहक ने ई-केवाईसी (आधार प्रमाणीकरण) किया है और आधार में पता व वर्तमान पता एक नहीं है) \*

6.दस्तावेज सं.\*    7.दिनांक\*

में खाता खोलने के तीन महीने के भीतर, अद्यतित वर्तमान पते के साथ आधिकारिक वैध दस्तावेज (ओवीडी) जमा कर दूंगा/दूंगी, ऐसा न करने पर बैंक खाते में परिचालन को अवरुद्ध कर सकता है। (ग्राहक द्वारा स्वधोषणा दिए जाने पर लागू नहीं) (उपरोक्त बिंदु सं. 5 के अनुसार)

## 6. कर का प्रमाण

1. पैन\*/कर पहचान संख्या या समतुल्य (यदि अधिकारक्षेत्र द्वारा जारी किया गया है)           (यदि पैन जमा नहीं किया है, तो फॉर्म 60 भरें)
2. केवल भारत में कर निवासी है, किसी अन्य देश या भारत के बाहर क्षेत्र में नहीं \*  हाँ  नहीं (यदि नहीं, तो कृपया एफएटीसीए विवरण फॉर्म - अनुबंध भरें)

## 7. आय एवं पेशा/कार्य संबंधी घोषणा

1. पेशे का प्रकार\* ☐ निजी क्षेत्र सेवा ☐ सार्वजनिक/ सरकारी क्षेत्र सेवा ☐ विद्यार्थी ☐ सेवानिवृत्त ☐ स्व-नियोजित ☐ कार्यरत नहीं

☐ गृहणी ☐ अन्य, कृपया उल्लेख करें

2. व्यवसाय ☐ ट्रेडर ☐ जौहरी ☐ सेवा प्रदाता ☐ कृषि ☐ स्टॉकब्रोकर ☐ विनिर्माता ☐ हथियार के डीलर

(यदि स्व-नियोजित है) ☐ रियल एस्टेट ☐ अन्य, कृपया उल्लेख करें

- 3. वार्षिक आय\*** (रु०)      □□□□□□□□□□      **4. व्यवसाय का स्वरूप**      □□□□□□□□□□  
 (यदि स-निर्वाजित है)

- 4.संगठन का नाम (यदि वेतनभोगी हैं तो)

- 5.पेशा / पदनाम  
(यदि वेतनभोगी हैं तो)

6. कृपया उचित बॉक्स पर टिक करें\*: ☐ राजनैतिक रूप से जोखिम वाले व्यक्ति ☐ राजनैतिक रूप से जोखिम वाले व्यक्ति से संबंधित ☐ लागू नहीं

(राजनैतिक रूप से जेष्ठिम वाले व्यक्ति ऐसे व्यक्ति हैं जिन्हें किसी दूसरे देश में प्रमुख सार्वजनिक कार्य का दायित्व सौंपा गया है जैसे राज्यों/सरकारों के प्रमुख, वरिष्ठ राजनेता, वरिष्ठ सरकारी/न्यायिक/सैनिक अधिकारी, राज्य स्वाधिकृत निगमों के वरिष्ठ कार्यपालक, महत्वपूर्ण राजनैतिक पार्टियों के पदाधिकारी, आदि)

## 8. अन्य विवरण

1. धर्म: ☐ हिन्दू ☐ मुसलमान ☐ ईसाई ☐ सिख ☐ अन्य, कृपया उल्लेख करें

- 2.श्रेणी : ☐ सामान्य ☐ ओबीसी ☐ अनुसूचित जाति ☐ अनुसूचित जन जाति ☐ अल्पसंख्यक

- 3.आश्रितों की संख्या           4.निरक्षर     हाँ     नहीं    यदि हाँ: पहचान के चिन्ह

- 5.आवासीय स्थिति\* ☐ निवासी व्यक्ति ☐ अनिवासी व्यक्ति ☐ विदेशी नागरिक ☐ भारतीय मूल का व्यक्ति

6. ग्राहक का प्रकार/स्थिति
- |  |                                      |  |                      |                      |                      |                      |                      |                      |                      |
|--|--------------------------------------|--|----------------------|----------------------|----------------------|----------------------|----------------------|----------------------|----------------------|
| <input type="checkbox"/> वरिष्ठ नागरिक | <input type="checkbox"/> स्टाफ       | <input type="checkbox"/> भविष्य निधि सं. | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| <input type="checkbox"/> सामान्य       | <input type="checkbox"/> पूर्व स्टाफ | <input type="checkbox"/> भविष्य निधि सं. | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
- |                                    |                                    |
|------------------------------------|------------------------------------|
| <input type="checkbox"/> अवयस्क    | <input type="checkbox"/> पेंशनभोगी |
| <input type="checkbox"/> दर्पदर्शी |                                    |

7. दिव्यांग ☐ हाँ ☐ नहीं यदि हाँ ☐ दृष्टिबाधित ☐ अशक्त व्यक्ति,

8. शैक्षिक योग्यता  एसएससी से कम  एसएससी  एचएससी  स्नातक  स्नातकोत्तर  व्यावसायिक  अन्य

9. घोषणा सह वचनपत्र सह स्व प्रमाण पत्र

मुझे दिए गए खाता खोलने के नियम और शर्तों की प्रति को मैंने पढ़ लिया है। उक्त नियम और शर्तों मुझे बताई गई हैं और उसे समझकर, मैं उसे स्वीकार करता/करती हूँ। मैं एतद्वारा यह घोषणा करता/करती हूँ कि मैंने पीएमएलए 2002 के तहत केवाईसी मानकों के अनुपालन में पहचान और/या पते के प्रमाण के लिए वैयक्तिक रूप से यूआईडीएआई द्वारा जारी आधार कार्ड को जमा किया है, मैं एतद्वारा यह सहमति देता/देती हूँ कि बैंक यूआईडीएआई से इसका सत्यापन कर सकता है और यूआईडीएआई को बायोमेट्रिक प्रमाणीकरण के माध्यम से बैंक को पहचान एवं पता जारी करने के लिए स्पष्ट रूप से अधिकृत करता/करती हूँ।

- ☐ हाँ ☐ नहीं (डीबीटी का लाभ प्राप्त करने के लिए ई-केवाईसी प्रमाणीकरण एवं आधार को बैंक खाते से जोड़ना अनिवार्य है)

कृपया हाल की  
पासपोर्ट आकार की  
फोटो\* चिपकाएँ

स्टेपल न करें

आवेदक के हस्ताक्षर/ अंगूठे का निशान  
कृपया केवल काले रंग की स्याही से हस्ताक्षर करें

[illegible]

5. If the Proof of Address/ OVD provided does not contain current address, please provide any of the documents below as OVD (Officially Valid Document)

- |  |                                      |  |
|--|--------------------------------------|--|
| <input type="checkbox"/> 1. Utility Bill*  | <input type="checkbox"/> 2.PPO/FPPO* | <input type="checkbox"/> 3.Property or Municipal Tax Receipt*  |
| <input type="checkbox"/> 4. Letter of allotment of accommodation issued by employer/issued by State or Central Government departments, statutory or regulatory bodies, Public Sector undertaking, scheduled commercial banks, financial institutions and listed companies. Similarly, lease and license agreements with such employers allotting official accommodation. * |                                      |  |
| <input type="checkbox"/> 5.Self-Declaration (applicable only when customer has carried out e-KYC (AADHAAR Authentication) and address in AADHAAR is not same as Current Address)*  |                                      |  |
| 6.Document No*<br><div style="border: 1px solid black; height: 20px; width: 100%; position: relative;"> <div style="position: absolute; top: 0; left: 0; right: 0; height: 100%; border-bottom: 1px solid black;"></div> </div>  |                                      | 7.Date*<br><div style="border: 1px solid black; height: 20px; width: 100%; position: relative;"> <div style="position: absolute; top: 0; left: 0; right: 0; height: 100%; border-bottom: 1px solid black;"></div> </div> |

I/We shall submit OVD with updated Current Address within a period of three months, failing which bank may restrict the operations in the account.(Not Applicable when Self Declaration is provided by the customer as per point No. 5 above)

## 6. Tax Proof

1. PAN\*/Tax Identification Number or equivalent (If issued by jurisdiction)          (If PAN not submitted, fill form 60)
2. Country of Tax Residence in India only and not in any other country or territory outside India\*  Yes  No (If No, please fill the FATCA details form -Annexure)

## 7. Income & Profession / Activity Declaration

- 1.Occupation Type\*

<input type="checkbox"/> Private Sector Service	<input type="checkbox"/> Public/Govt. Sector Service	<input type="checkbox"/> Student	<input type="checkbox"/> Retired	<input type="checkbox"/> Self-Employed	<input type="checkbox"/> Not Working
<input type="checkbox"/> Housewife	<input type="checkbox"/> Other (Please specify) _____				

2.Business  
(Only if Self-Employed)

<input type="checkbox"/> Trader	<input type="checkbox"/> Jeweller	<input type="checkbox"/> Service Provider	<input type="checkbox"/> Agriculture	<input type="checkbox"/> Stockbroker	<input type="checkbox"/> Manufacturing	<input type="checkbox"/> Arms Dealer
<input type="checkbox"/> Real Estate	<input type="checkbox"/> Other (Please Specify) _____					

3.Annual Income\* (Rs.)      4.Nature of Business  
(Only if Self-Employed)

4.Organization Name(Only if Salaried)

5.Designation / Profession  
(Only if Salaried)

6.Please tick the appropriate box\*

<input type="checkbox"/> Politically exposed person	<input type="checkbox"/> Related to politically exposed person	<input type="checkbox"/> None
---	--	-------------------------------

(Politically Exposed Persons are individuals who are or have been entrusted with prominent public functions in a foreign country e.g. Heads of State / Governments , Senior Politicians / Senior Government / Judicial / Military Officers, Senior Executives of State-owned Corporations, Important Political Party Officials, etc.)

## 8. Other Details

- |                           |                          |                      |                          |                          |                          |                         |                          |        |                                 |                          |                      |                      |                          |                          |                          |                          |                      |                          |                          |                      |                          |                      |                      |                      |
|---------------------------|--------------------------|----------------------|--------------------------|--------------------------|--------------------------|-------------------------|--------------------------|--------|---------------------------------|--------------------------|----------------------|----------------------|--------------------------|--------------------------|--------------------------|--------------------------|----------------------|--------------------------|--------------------------|----------------------|--------------------------|----------------------|----------------------|----------------------|
| 1.Religion                | <input type="checkbox"/> | Hindu                | <input type="checkbox"/> | Muslim                   | <input type="checkbox"/> | Christian               | <input type="checkbox"/> | Sikh   | <input type="checkbox"/>        | Other (Please Specify)   | <input type="text"/> | <input type="text"/> | <input type="text"/>     | <input type="text"/>     | <input type="text"/>     | <input type="text"/>     | <input type="text"/> | <input type="text"/>     | <input type="text"/>     |                      |                          |                      |                      |                      |
| 2.Category                | <input type="checkbox"/> | General              | <input type="checkbox"/> | OBC                      | <input type="checkbox"/> | SC                      | <input type="checkbox"/> | ST     | <input type="checkbox"/>        | Minority                 |                      |                      |                          |                          |                          |                          |                      |                          |                          |                      |                          |                      |                      |                      |
| 3.No. of Dependents       | <input type="text"/>     | <input type="text"/> | 4.Illiterate             |                          | <input type="checkbox"/> | Yes                     | <input type="checkbox"/> | No     | If Yes : Identification Marks : |                          |                      |                      |                          |                          | <input type="text"/>     | <input type="text"/>     | <input type="text"/> | <input type="text"/>     | <input type="text"/>     | <input type="text"/> | <input type="text"/>     | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| 5.Residential Status*     | <input type="checkbox"/> | Resident Individual  |                          |                          | <input type="checkbox"/> | Non-Resident Individual |                          |        | <input type="checkbox"/>        | Foreign National         |                      |                      | <input type="checkbox"/> | Person of Indian Origin  |                          |                          |                      |                          |                          |                      |                          |                      |                      |                      |
| 6.Customer Type/Status    | <input type="checkbox"/> | Sr. Citizen          |                          | <input type="checkbox"/> | Staff                    |                         | <input type="checkbox"/> | PF No. |                                 | <input type="text"/>     | <input type="text"/> | <input type="text"/> | <input type="text"/>     | <input type="text"/>     | <input type="text"/>     | <input type="checkbox"/> | Minor                |                          | <input type="checkbox"/> | Pensioner            |                          |                      |                      |                      |
|                           | <input type="checkbox"/> | General              |                          | <input type="checkbox"/> | Ex Staff                 |                         | PF No.                   |        | <input type="text"/>            | <input type="text"/>     | <input type="text"/> | <input type="text"/> | <input type="text"/>     | <input type="text"/>     | <input type="checkbox"/> | Pardanashin              |                      |                          |                          |                      |                          |                      |                      |                      |
| 7.Person with disability  | <input type="checkbox"/> | Yes                  |                          | <input type="checkbox"/> | No                       |                         | If Yes                   |        | <input type="checkbox"/>        | Visually Impaired        |                      |                      | <input type="checkbox"/> | Differently Abled        |                          |                          |                      |                          |                          |                      |                          |                      |                      |                      |
| 8.Education Qualification | <input type="checkbox"/> | Below SSC            |                          | <input type="checkbox"/> | SSC                      |                         | <input type="checkbox"/> | HSC    |                                 | <input type="checkbox"/> | Graduate             |                      |                          | <input type="checkbox"/> | Postgraduate             |                          |                      | <input type="checkbox"/> | Professional             |                      | <input type="checkbox"/> | Others               |                      |                      |

## 9. Declaration Cum Undertaking Cum Self-Certification

I have read the copy of Terms & Conditions of the Account opening given to me. The Terms & Conditions have been explained to me/us and having understood, I accept the same. I hereby declare that I have submitted the Aadhar Card issued by UIDAI voluntarily for identification and/or address proof towards the compliance of KYC norms under the PMLA 2002.

I hereby consent that the bank may verify the same with the UIDAI and authorize the UIDAI expressly to release the identity and address through biometric authentication to the bank.

- ☐ Yes ☐ No (e-KYC authentication and Aadhar seeding is mandatory for availing DBT benefit )

Photo\*

Please Paste  
Recent Passport Size  
Do not Staple

Signature/Thumb impression of the  
Applicant Please sign in Black Ink  
only

**Place**

[illegible]

निवासी व्यक्ति के लिए खाता खोलने का फॉर्म (भाग - II)  
बचत खाता, चालू खाते के लिए

मैं/हम आपकी शाखा/बैंक में अपना/हमारा निम्न जमा खाता खोलने का अनुरोध करता/करती हूँ/करते हैं : (खाते के उचित प्रकार पर टिक करें)

खाते का प्रकार ☐ बचत बैंक खाता ☐ बीएसबीडीए ☐ लघु खाता ☐ चालू खाता

अनुमानित वार्षिक जमा होने वाली राशि

1. अपेक्षित सेवाएं (कृपया उचित बॉक्स में ✓ का चिन्ह लगाएं) (1 से 7 की सेवाओं के लिए मोबाइल नं. अनिवार्य है)

1. एटीएम सह डेबिट कार्ड

	हाँ	नहीं	निम्न नाम जैसा कार्ड पर प्रदर्शित होगा
प्रथम आवेदक	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
द्वितीय आवेदक	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
तृतीय आवेदक	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>

(केवल एकल परिचालित खातों और दोनों में से कोई एक या उत्तरजीवी द्वारा परिचालित संयुक्त खातों के लिए उपलब्ध है।  
यदि खाते का परिचालन पूर्ववर्ती या उत्तरजीवी विधि से होता है, तो आईबीएस सुविधा केवल प्रथम आवेदक के लिए उपलब्ध है।)

2. चेक बुक ☐ 3. इंटरनेट बैंकिंग देखने के लिए ☐ लेनदेन करने के लिए ☐ 4. एसएमएस अलर्ट(शुल्क लागू) ☐

5. फोन बैंकिंग सेवाएँ ☐ 6. मोबाइल बैंकिंग ☐ 7. कागज की प्रति के स्थान पर ई-विवरण ( मासिक अंतराल पर ) ☐ 8. पासबुक ☐

(ई-मेल अनिवार्य है)

2. नामांकन (यदि आवश्यक हो तो फॉर्म डीए -1 भरें) ☐ हाँ, ( नीचे दिए गए फॉर्म को भरें) ☐ हालांकि नामांकन सुविधा के लाभ मुझे/हमें समझाया गया है, मैं/हम खाते में किसी भी व्यक्ति को नामांकित नहीं करना चाहता/ती/ते हैं/हैं।

फॉर्म डीए -1 (नामांकन फॉर्म) पंजीकरण सं.

बैंक जमाराशियों के संबंध में बैंककारी विनियमन अधिनियम, 1949 की धारा 45ZA और नियम 1985 के अंतर्गत नामांकन मैं/हम ..... निम्नलिखित व्यक्ति को नामांकित करते हैं, जिसको मेरी/अवयस्क की मृत्यु की स्थिति में इस जमा की राशि, जिनके विवरण नीचे दिए गए हैं, .....पंजाब नैशनल बैंक (खाता खोलने वाली शाखा/ वह शाखा जिसमें खाता अंतरित हुआ हो) द्वारा लौटाई जा सकती है।

☐ मैं/हम चाहता हूँ/चाहते हैं कि नामिती का नाम पासबुक पर छपा हो।

नामिती का विवरण

नाम

नामिती का मोबाइल नंबर  नामिती की जन्म तिथि (अवयस्क के मामले में)

ग्राहक के साथ संबंध  आयु  वर्ष

चूंकि इस तिथि को नामिती अवयस्क है, अतः मैं श्री/श्रीमती/कुमारी ..... आयु  वर्ष पता ..... को नामिती की अवयस्कता अवधि के दौरान मेरे/अवयस्क की मृत्यु की स्थिति में नामिती की ओर से जमा की गई राशि प्राप्त करने हेतु नियुक्त करता/करती हूँ। (गैर व्यक्ति के पक्ष में नामांकन अमान्य है)

केवल आवेदक के निरक्षर होने और अंगूठे का निशान लगाने के मामले में साक्षी की आवश्यकता होती है

प्रथम साक्षी के हस्ताक्षर	द्वितीय साक्षी के हस्ताक्षर
नाम <input type="text"/> हस्ताक्षर <input type="text"/>	नाम <input type="text"/> हस्ताक्षर <input type="text"/>
पता <input type="text"/>	पता <input type="text"/>

तिथि  स्थान

पावती डीए-1

हम निम्न के पक्ष में आपके द्वारा किए गए नामांकन की पावती स्वीकार करते हैं

नामिती का नाम  आयु:  वर्ष:

आपका खाता संख्या

पंजीकरण संख्या

बैंक अधिकारी का हस्ताक्षर

**ACCOUNT OPENING FORM FOR RESIDENT INDIVIDUAL (PART-II)  
FOR SAVING BANK, CURRENT ACCOUNT**

I/We request you to open my/our deposit Account with your branch/bank as under : (Tick relevant type of account)

Type of Account ☐ Savings Bank Account ☐ BSBD ☐ Small Account ☐ Current Account

Expected Annual Credit\*

**1. Facilities required (Please mark ☒ in appropriate box(es): (Mobile No. is Mandatory for services from 1 to 7)**

1. ATM cum Debit Card

	Yes	No	Name as would appear on the card
1st Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
2nd Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
3rd Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>

(Available only for singly operated accounts and joint accounts operated by Either or Survivor mode. In case of accounts operated as Former or Survivor mode IBS facility is available to 1st Applicant only)

2. Cheque Book ☐ 3. Internet Banking View ☐ Transaction ☐ 4. SMS Alerts (Charges Applicable) ☐

5. Phone Banking Services ☐ 6. Mobile Banking ☐ 7. e-statement (at monthly intervals) in lieu of paper copy ☐ 8. Passbook ☐  
(E-mail Mandatory)

**2. Nomination (If required fill form DA -1)**

☐ Yes, (Fill form below) ☐ The benefits of Nomination facility has been explained to me/us. However, I/We do not want to nominate any person in this account

FORM DA-1 (Nomination Form) Registration No.

Nomination under section 45ZA of the Banking Regulation Act, 1949 and Rules 1985 in respect of Bank Deposits

I/We nominate the following person to whom in the event of my/minor's death the amount of this deposit, particulars of which are given below, may be returned by the Punjab National Bank (Account Opening / Maintaining Branch)

☐ I/We want the name of the nominee to be printed on the passbook

Details of Nominee

Name

Mobile number of the Nominee           Date of Birth of Nominee (in case of minor)

Relationship with the Customer           Age   Years

As the nominee is a minor on this date, I appoint Shri/Smt/Kum \_\_\_\_\_ Age   Years \_\_\_\_\_ Address \_\_\_\_\_  
to receive the amount of deposit on behalf of the nominee in the event of my / minor's death during the minority of the nominee (nomination in favour of other than individual is invalid)

Witnesses are required only in case applicant is illiterate and is affixing thumb impression

Signature of First witness	
Name _____	Signature _____
Address _____	

Signature of Second witness	
Name _____	Signature _____
Address _____	

Date         Place

**ACKNOWLEDGEMENT DA -1**

We acknowledge receipt of nomination made by you in favour of:

Name of the Nominee \_\_\_\_\_ Age: \_\_\_\_\_ Years: \_\_\_\_\_

With respect to your Account Number

Registration No.

Signature of Bank Official

## नियम एवं शर्तें और घोषणा

1. मैं/हम पुष्टि करता हूँ/करते हैं कि मुझे/हमें यह सूचित किया गया है कि बेसिक बचत बैंक जमा खाता के धारक पंजाब नेशनल बैंक में कोई अन्य बचत बैंक जमा खाता खोलने के लिए पात्र नहीं होंगे। बीएसडीबीए धारक को, खाता खोलने की तिथि से 30 दिनों के भीतर हमारे बैंक में सभी मौजूदा बचत निधि खातों को बंद करना होगा।
2. मैं/हम एतद्वारा यह घोषणा करता/ती/ते हूँ/हैं कि अनुबंध 1 एवं अनुबंध 2 में वर्णित विवरण सहित इस फॉर्म में दिए गए उपरोक्त विवरण मेरे/हमारे सर्वोत्तम ज्ञान एवं विश्वास के अनुसार सत्य एवं सटीक है तथा मैं/हम इसमें किसी भी परिवर्तन की तत्काल सूचना देने का वचन देता/ देती/ देते हूँ/हैं। यदि उपरोक्त कोई भी सूचना गलत या असत्य या भ्रामक या भ्रमित करने वाली होती है, तो मुझे/हमें पता है कि मुझे/हमें इसके लिए उत्तरदायी ठहराया जा सकता है।
3. मैं/हम नीचे सूचीबद्ध और अनुबंध एफएटीसीए/सीआरएस के नियमों और शर्तों, निर्देशों आदि एवं पंजाब नेशनल बैंक तथा आरबीआई के नियमों और अनुवर्ती संशोधन (संशोधनों) से बाध्य होने के लिए सहमत हूँ/हैं। मेरा/हमारा व्यक्तिगत/ केवाईसी विवरण केन्द्रीय केवाईसी रजिस्ट्री के साथ साझा किया जा सकता है। मैं/हम एतद्वारा उपरोक्त पंजीकृत नंबर/ईमेल पते पर एसएमएस/ईमेल के माध्यम से केन्द्रीय केवाईसी रजिस्ट्री से सूचना प्राप्त करने के लिए सहमत हूँ/हैं।
4. यदि एफडीआर/आरडी संयुक्त नाम से है, परिचालन की विधि दोनों में से कोई एक या उत्तरजीवी है, तो कोई भी इसके एजेंट में ऋण आवेदन कर सकता है। और कोई भी समयपूर्व भुगतान/परिपक्वता पर भुगतान के लिए आवेदन कर सकता है।
5. मैं/हम एतद्वारा यह घोषणा करता हूँ/करते हैं कि यदि भविष्य में किसी बैंक/वित्तीय संस्थान से ऋण सुविधा प्राप्त की जानी है, तो इसकी सूचना अग्रिम रूप से दी जाएगी। (चालू खाते खोलने के समय लागू)
6. मैं पुष्टि और घोषणा करता हूँ कि मैंने 'बैंक' के नियमों और विनियमों और उन्हें जो बैंक द्वारा दी जाने वाली विभिन्न सेवाओं से सम्बंधित हैं जिसमें डेबिट कार्ड/इन्टरनेट बैंकिंग/एसएमएस बैंकिंग/टेली-बैंकिंग/ मोबाइल बैंकिंग/वर्चुअल बैंकिंग तथा अन्य सुविधाएँ शामिल हैं तथा केवल यहीं तक सीमित नहीं हैं, को पढ़ और समझ लिया हूँ। मैं इनका पालन करने के लिए सहमत हूँ जैसा कि बैंक/नियामक/सरकार द्वारा समय-समय पर संशोधित/परिवर्तित किये जाते हैं तथा परिपत्रों, अधिसूचनाओं, सूचना बोर्ड/वेबसाइटों/समाचार पत्र प्रकाशनों इत्यादि के माध्यम से प्रकाशित किये जाते हैं। मैं इन संशोधनों/परिवर्तनों के विषय में व्यक्तिगत सूचना प्राप्त करने के अधिकार, यदि कोई हो, को छोड़ता हूँ। मैं सहमत हूँ कि मेरे (तौ) में इन्टरनेट, मोबाइल, टेली-बैंकिंग या वर्चुअल बैंकिंग के माध्यम से मेरे प्रयोक्ता आईडी तथा पासवर्ड/पिन/ओटीपी के तहत किए गए लेनदेन तथा अनुरोध मुझपर बाध्यकारी होंगे तथा मैं इन मामलों में प्रमाणीकरण परिचय तथा अन्य सूचना/विवरण/ओटीपी/पिन इत्यादि की गोपनीयता तथा गुप्तता बनाये रखने के लिए जिम्मेदार हूँ। मैं सहमत हूँ कि बैंक को किसी भी सेवा शुल्क, व्यय या अन्य देयताओं, जो कि बैंक मुझसे वसूलने का हकदार/उत्तरदायी है, के लिए मेरे खाते को डेबिट करने के सभी अधिकार हैं। मैं बैंक को इसकेलिए भी अधिकृत करता हूँ और सहमत हूँ कि मुझे कोई सूचना दिए बिना मेरा खाता बंद कर दे। मैं अपने पत्राचार पते या गठन में किसी भी बदलाव के बारे में बैंक को सूचित करने का वचन देता हूँ।
7. आधार विवरण के आधार पर खोले गए खातों के संबंध में, मैं एतद्वारा यह घोषणा करता/ती हूँ कि मैंने पीएमएलए 2002 के तहत केवाईसी मानकों के अनुपालन में पहचान और/या पते के प्रमाण के लिए स्वेच्छिक रूप से यूआईडीएआई द्वारा जारी आधार कार्ड को जमा किया है तथा मैं एतद्वारा यह सहमति देता हूँ कि बैंक यूआईडीएआई से इसका सत्यापन कर सकता है और यूआईडीएआई को बायोमेट्रिक प्रमाणीकरण के माध्यम से बैंक को पहचान एवं पता जारी करने के लिए स्पष्ट रूप से अधिकृत करता हूँ। मैं एनपीसीआई मैपर के साथ इस खाते को सीड करना चाहता हूँ, जिससे मुझे इस खाते में भारत सरकार से एलपीजी सिलिंडर सहित प्रत्यक्ष लाभ अंतरण (डीबीटी) प्राप्त हो सके। मैं समझता हूँ कि यदि मुझे एक से अधिक लाभ हस्तांतरण देय होते हैं, तो मुझे इस खाते में सभी लाभ हस्तांतरण प्राप्त होंगे।
8. मैं पुष्टि और घोषणा करता हूँ कि मैं किसी भी लागू कानून/विनियामक/संवैधानिक या अन्य प्रावधानों द्वारा खाता खोलने और/या खातों को बनाए रखने या किसी अन्य तरीके से बैंक के साथ लेनदेन करने हेतु प्रतिबंधित/निषिद्ध/रोक/नहीं गया हूँ।
9. मैं मानता हूँ कि मेरे व्यक्तिगत केवाईसी विवरणों को केन्द्रीय केवाईसी रजिस्ट्री या किसी अन्य सक्षम प्राधिकारी के साथ साझा किया जा सकता है। मैं बैंक/केन्द्रीय केवाईसी रजिस्ट्री/भारत सरकार/ आरबीआई या अन्य किसी प्राधिकरण से मेरे पंजीकृत मोबाइल नंबर/ई-मेल पते पर एसएमएस/ई-मेल के माध्यम से सूचना प्राप्त करने के लिए सहमत हूँ। मैं यह भी मानता हूँ कि ऐसे किसी भी एसएमएस/ई-मेल की गैर-प्राप्ति पर बैंक किसी भी प्रकृति के नुकसान या क्षति के लिए उत्तरदायी नहीं होगा।
10. मैं प्रमाणित करता हूँ कि मैंने अपनी स्थिति इस विषय में केन्द्रीय प्रत्यक्ष कर बोर्ड (सीबीडीटी) द्वारा जारी अधिसूचना संख्या एस.ओ.2155(ई) दिनांक:7 अगस्त 2015 द्वारा अधिसूचित आयकर अधिनियम 1961 की धारा 285बीए तथा आरबीआई परिपत्र सन्दर्भ सं.डीबीआर.एमएल.बीसी.सं.36/14.01.001/2015-16 दिनांक 28 अगस्त 2015 के अंतर्गत लागू नियमों तथा इसके पश्चात् आशोधन/संशोधनों, के अनुसार घोषित की है।
11. मैं समझता, स्वीकार तथा अधिकृत करता हूँ कि आयकर अधिनियम के अंतर्गत बनाये गए नियमों के प्रावधानों तथा इस संबंध में सरकार/आरबीआई द्वारा जारी दिशा-निर्देशों के अनुसार, आवासीय स्थिति और/या उसमें दिए गए अन्य मानदंडों के आधार पर, बैंक को केन्द्रीय प्रत्यक्ष कर बोर्ड को (सीबीडीटी) या अन्य सरकारी एजेंसियों को विदेशी लेखा कर अनुपालन अधिनियम (एफएटीसीए) के संबंध में अंतर-सरकारी समझौतों (आईजीए) के अनुसार दायित्वों का पालन करने के लिए और सामान्य रिपोर्टिंग मानक (सीआरएस) और/या अन्य समान व्यवस्थाओं के लिए निर्धारित प्रारूप के अनुसार मेरे खाते (खातों) के संबंध में विवरण देना होगा।
12. मैं/हम पुष्टि करता हूँ/करते हैं कि मुझे/हमें यह सूचित किया गया है कि बेसिक बचत बैंक जमा खाता के धारक उसी बैंक में कोई अन्य बचत बैंक जमा खाता खोलने के लिए पात्र नहीं होंगे। बीएसडीबीए धारक को, खाता खोलने की तिथि से 30 दिनों के भीतर हमारे बैंक में सभी मौजूदा बचत निधि खातों को बंद करना होगा। मैं/हम एतद्वारा यह घोषणा करता/ती/ते हूँ/हैं कि अनुबंध 1 एवं अनुबंध 2 में वर्णित विवरण सहित इस फॉर्म में दिए गए उपरोक्त विवरण मेरे/हमारे सर्वोत्तम ज्ञान एवं विश्वास के अनुसार सत्य एवं सटीक है तथा मैं/हम इसमें किसी भी परिवर्तन की तत्काल सूचना देने का वचन देता/ देती/ देते हूँ/हैं। यदि उपरोक्त कोई भी सूचना गलत या असत्य या भ्रामक या भ्रमित करने वाली होती है, तो मुझे/हमें पता है कि मुझे/हमें इसके लिए उत्तरदायी ठहराया जा सकता है।
13. मैं, कोई भी परिवर्तन जो यहां दी गई जानकारी में/या अन्यथा, हो सकता है, साथ ही मेरे द्वारा प्रदान किए गए दस्तावेजी साध्य में हो सकता है या यदि कोई प्रमाणीकरण गलत हो जाता है या परिवर्तित हो जाता है, तो तुरंत और किसी भी स्थिति में परिवर्तन की तारीख से 30 दिनों के भीतर इसे घोषित और प्रकट करने की जिम्मेदारी लेता हूँ। मैं इसके साथ ही, आवश्यकता पड़ने पर, दस्तावेजी साध्य के साथ नवीनतम और वैध स्व-प्रमाणन प्रदान करने का वचन देता हूँ, फिर भी यहाँ दी गई सभी घोषणाएँ और वचन मेरे द्वारा दिए गए ऐसे सभी आशोधित/संशोधित दस्तावेजों/सूचनाओं पर लागू होंगे जब तक उपरोक्तानुसार संशोधित स्व-प्रमाणन बैंक को प्रदान नहीं किये जाते।
14. मैं यह भी मानता हूँ कि मेरी जानकारी में अभी या भविष्य में किसी भी महत्वपूर्ण तथ्य/जानकारी का खुलासा करने में मेरी असफलता या दस्तावेजों/सूचना/अन्य विवरणों में किसी भी कमी को निर्धारित अवधि में दूर करने में मेरी असफलता, मुझे खाते में लेन-देन करने हेतु अमान्य घोषित कर सकती है और बैंक को मेरे खाते के परिचालन पर प्रतिबंध लगाने या इसे बंद करने या किसी भी विनियामक और/या भारत सरकार (जीओआई)/भारतीय रिजर्व बैंक द्वारा उक्त उद्देश्य के लिए निर्दिष्ट किसी भी प्राधिकारी को रिपोर्ट करने का अधिकार होगा, या बैंक सीबीडीटी/आरबीआई/भारत सरकार द्वारा समय-समय पर जारी दिशानिर्देशों के तहत जैसा भी उचित होगा, कोई अन्य कार्यवाही कर सकता है।
15. मैं बैंक को कोई भी अन्य विवरण को प्रस्तुत करने एवं सूचित करने के लिए सहमत हूँ जो मुझे उपरोक्त मामलों में या अन्यथा, भारत या विदेश में कानून में किसी भी बदलाव के कारण प्रदान करने के लिए कहा जाता है।
16. मैं बैंक को किसी भी प्रकार की हानि/क्षति की क्षतिपूर्ति करूंगा, जो बैंक को मेरे द्वारा प्रदान किए गए विवरणों में किसी भी त्रुटि/गलती के कारण या गलत या अपूर्ण सूचना प्रदान करने के कारण हो सकती है।
17. मैं केवाईसी विवरणों के अपडेशन के लिए समय-समय पर बैंक द्वारा वांछित नए केवाईसी दस्तावेजों के साथ डेटा/सूचना प्रस्तुत करने का वचन देता हूँ।
18. मैं समझता हूँ कि बैंक द्वारा केवाईसी से संबंधित ग्राहक समुचित सावधानी प्रक्रिया पूरा करने के बाद ही खाता सक्रिय होगा तथा डेबिट की अनुमति दी जाएगी।
19. यदि खाता पैन के बिना खोला जाता है, तो मैं भारत सरकार द्वारा अधिसूचित की गई तारीख को या उससे पहले पैन जमा करने का वचन देता हूँ इसमें विफल होने पर, धन-शोधन रोकथाम (रिपोर्ट्स का रखरखाव) नियम 2005 के अनुसार, तब तक खाता चालू नहीं होगा जब तक पैन जमा नहीं किया जाता है।
20. यदि खाता खोलने के समय वर्तमान पते के लिए मानित आधिकारिक रूप से वैध दस्तावेज जमा किए गए हैं, तो मैं आधार या ओबीडी में से कोई भी दस्तावेज जिसमें वर्तमान पता है, खाता खोलने की तिथि से 3 महीने के भीतर प्रस्तुत करने का वचन देता हूँ जिसमें विफल होने पर मैं समझता हूँ कि मेरे खाते का परिचालन सम्बद्ध समय पर भारत सरकार के दिशानिर्देशों के अनुसार बंद हो सकता है।
21. मुझे एटीएम कार्ड/चेक बुक सहित आपका स्वागत किट मिला है और मैं समझता हूँ कि किट की सामग्री के दुरुपयोग/गुम होने की स्थिति में, बैंक किसी भी नुकसान/क्षति के लिए उत्तरदायी नहीं होगा।
22. मैं इस बात को प्रमाणित करता हूँ कि बचत बैंक खाते का उपयोग मेरे द्वारा केवल गैर-व्यावसायिक/गैर-वाणिज्यिक प्रकृति के लेनदेन करने के लिए किया जाएगा। इस तरह के लेनदेन या ऐसे कोई भी लेन-देन जो वाणिज्यिक/ व्यावसायिक/संदिग्ध या अव्यावहारिक माने जाते हैं, ऐसी स्थिति में बैंक के पास ऐसे खातों में एकरफा संचालन फ्रीज करने और/या खाता बंद करने का अधिकार सुरक्षित है।
23. मुझे खोले जाने वाले खाते के लिए औसत तिमाही शेप (क्यूएबी) आवश्यकता के विषय में अवगत कराया गया है और यह समझाया गया है कि ये आवश्यकताएँ संशोधन/परिवर्तन के अधीन हैं और इस तरह के संशोधन/परिवर्तन बैंक की साइट पर अपलोड किए जाएंगे जो मुझे इस बारे में सूचना के रूप में स्वीकार्य होंगे।
24. मैं पुष्टि करता हूँ कि बीएसबीडी खाते की उत्पाद विशेषताएँ मुझे बताई गई हैं (बीएसबीडी खाता आवेदक के लिए लागू)।
25. मैं वचत बैंक खाते के नियमों और विनियमों की प्राप्ति स्वीकार करता हूँ।
26. छोटे खातों के लिए लागू: मैं/हम समझता हूँ/समझते हैं कि यह खाता प्रारंभ में बारह महीनों के लिए परिचालित रहेगा, इसके बाद ओबीडी के लिए प्रयुक्त साध्य जमा करने पर बारह महीनों के लिए इसे बढ़ाया जा सकता है। सम्पूर्ण छूट/प्रावधानों की चौबीस महीनों के बाद समीक्षा की जाएगी।
27. मुझे/हमें सलाह दी गई है कि अगर मैं/हम अपना मोबाइल नंबर प्रदान नहीं करता हूँ/करते हैं, तो मैं/हम इलेक्ट्रॉनिक लेनदेन की किसी भी सुविधा के लिए पात्र नहीं हूँ/हैं।
28. (समाज कल्याण लाभ के क्रेडिट के लिए खोले गए खातों के लिए लागू) मैं समझता हूँ कि यह खाता बीएसबीडी श्रेणी के तहत खोला जाएगा। मैं यह भी समझता हूँ कि यदि मैं इस बीएसबीडी खाते को जारी नहीं रखना चाहता हूँ, और नियमित बचत बैंक खाते में जाना चाहता हूँ तो मुझे नियमित बचत बैंक खाते के लिए लागू औसत तिमाही शेप राशि (क्यूएबी) रखनी होगी। इसलिए अगर मैं बीएसबीडी से नियमित बचत बैंक खाते में स्विच करता हूँ तो खाते में क्यूएबी बनाए रखने का वचन देता हूँ।
29. (अवयस्क के नाम पर खोले गए खातों के लिए लागू) मैं समझता हूँ कि आवेदक जैसे ही वयस्क होता है, औसत तिमाही शेप (क्यूएबी) और गैर-रखरखाव के लिए जुर्माना इस खाते में लागू होगा। इसलिए मैं वचन देता हूँ कि वालिग होने की तिथि से औसत तिमाही शेप (क्यूएबी) बनाए रखूंगा।
30. मैं इस बात की घोषणा करता हूँ कि अगर प्रस्तुत विवरण मेरे ज्ञान और विश्वास के अनुसार सत्य और सही हैं और मैं इसमें कोई भी बदलाव होने पर इसकी सूचना तत्काल आपको देने का वचन देता हूँ, उपरोक्त किसी भी मामले में जानकारी झूठी या असत्य या भ्रामक या मिथ्या पाई जाती है तो मुझे पता है कि मुझे इसके लिए उत्तरदायी ठहराया जा सकता है।
31. मैं/हम इस बात की पुष्टि करता हूँ/करते हैं कि खाते की उत्पाद विशेषताएँ मुझे/हमें बता दी गई हैं
32. मैं/हम सहमति देता हूँ/देते हैं कि मेरे/हमारे खाते, बचत बैंक तथा चालू खाते में सामान्यतः लागू प्रभार वसूल करने हेतु डेबिट कर लिए जाएँ।
33. मैं पुष्टि करता हूँ और वचन देता हूँ कि मैं वर्चुअल करेंसी में लेन-देन नहीं करूंगा और अपने खाते का प्रयोग वर्चुअल करेंसी से संबंधित किसी सेवा के लिए नहीं करूंगा या वर्चुअल करेंसी की लेन-देन या निपटान में किसी व्यक्ति या संस्था की मदद नहीं करूंगा
34. मैं समझता हूँ कि एक वित्तीय वर्ष में राशि की कमी/अपर्याप्त राशि के कारण 04 अवसरों पर ऋण चुकौती के लिए स्थायी अनुदेश में चुक होने / चेक/एनएसीएच/ईसीएस अस्वीकृत होने की स्थिति में, कोई नई चेक बुक जारी नहीं की जाएगी, खाता बंद करने पर भी विचार किया जा सकता है।
35. वार्षिक आय/वार्षिक टर्नओवर के प्रमाण के लिए दस्तावेजी साध्य प्रस्तुत किया जाना चाहिए। बैंक ग्राहक द्वारा घोषित अपेक्षित वार्षिक क्रेडिट के आधार पर खाता स्तर की प्रारंभिक सीमा निर्धारित करेगा। यदि, वार्षिक टर्नओवर / वार्षिक आय / अपेक्षित वार्षिक क्रेडिट के लिए स्व-घोषणा प्रस्तुत की गई है, तो जैसा बैंक द्वारा समय-समय पर निर्धारित किया जाए, न्यूनतर प्रारंभिक सीमा निर्धारित कि जाएगी और यदि प्रारंभिक सीमा का उल्लंघन होता है, तो ग्राहक द्वारा दस्तावेजी साध्य प्रस्तुत किए जाने तक खाते में आगे क्रेडिट की अनुमति नहीं दी जाएगी।
36. मैं/हम बैंक द्वारा नियमित रूप से अपने बैंकिंग और बैंक द्वारा किए जाने संबंधित कारोबार और विनियामक द्वारा समय-समय पर अनुमत किसी अन्य प्रयोजन हेतु अपने उत्पादों की क्रॉस सेलिंग के लिए मेरे/हमारे केवाईसी विवरणों को साझा करने के लिए पंजाब नेशनल बैंक को अधिकृत करता हूँ/करते हैं।

## TERMS & CONDITIONS AND DECLARATION

1. I/We confirm that I/We have been informed that the holder of Basic Saving Bank Deposit Account will not be eligible for opening any other Saving Bank Deposit Account in the same bank. BSDBA holder will be required to close all existing saving fund account in our Bank within 30 days from the date of opening of the account.
2. I/We hereby declare that the details above in this form including details in Annexure 1 and Annexure 2 are true and correct to the best of my/our knowledge and belief and I/We 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/ We are aware that I /We may be held liable for it.
3. I /We agree to be bound by the terms & conditions, Instructions etc. as listed below & Annexure FATCA/CRS and by the rules of Punjab National Bank and the RBI and any subsequent amendment(s). My/Our personal / KYC details may be shared with Central KYC Registry. I/We hereby consent to receiving information from Central KYC Registry through SMS / Email on the above registered number / Email address.
4. In case of FDR / RD in joint name with mode of operation Either or Survivor, any one can apply loan against the same. And anyone can also apply for premature payment / payment on maturity.
5. I/We hereby declare that in case of any credit facility is to be availed from any Banks/Fis in the future, the same will be informed in advance SMS. (Applicable when opening Current Accounts).
6. I affirm and declare that I have read over and understood the rules and regulations of the "Bank" and those relating to various services offered by the Bank including but not limiting to debit card/internet banking/SMS banking/Tele-Banking/Mobile Banking/Virtual Banking and any other facility. I agree to abide by the same as amended/modified from time to time by the Bank/Regulator/Government published through circulars, notifications, notice board/websites/newspaper publications etc. I waive the rights, if any, to have personal notice in respect of such amendments/modifications. I agree that the transactions and requests executed in my account(s) through internet, mobile, telebanking or virtual banking under my User ID and password/PIN/OTP will be legally binding on me & I am responsible for the maintenance of secrecy and confidentiality of the authentication credentials and any other information/details/OTP/PIN, etc., in such matters. I agree that Bank has got all the rights to debit my account for any service charge, expenses or other dues which the Bank is entitled/ liable to recover from me. I also authorize the Bank and agree to close/discontinue my account without any notice to me. I hereby undertake to inform the Bank on any change in my communication address or constitution.
7. In respect of accounts opened on the basis of Aadhaar details, I hereby declare that I have submitted the Aadhaar Card issued by UIDAI voluntarily for identification and /or address proof towards the compliance of KYC norms under the PMLA, 2002 and I hereby consent that the Bank may verify the same with the UIDAI and authorize the UIDAI expressly to release the identity and address through biometric authentication to the Bank. I wish to seed this account with NPCI mapper to enable me to receive Direct Benefit Transfer (DBT) including LPG subsidy from Govt of India (GOI) in this account. I understand that if more than one benefit transfer is due to me, I will receive all the benefit transfer in this account.
8. I confirm and declare that I am not prevented/prohibited/restricted by any applicable legal/regulatory/contractual or other provisions from opening and/or maintaining the accounts or to transact with the Bank in any other way.
9. I agree that my personal KYC details may be shared with Central KYC registry or any other competent authority. I hereby consent to receive information from the Bank/Central KYC Registry/GOI/RBI or any other authority through SMS/e-mail on my registered mobile number/ e-mail address. I also agree that the non-receipt of any such SMS/e-mail shall not make the Bank liable for any loss or damage whatsoever in nature.
10. I hereby certify that I have declared my status as per the rules applicable under section 285BA of the Income Tax Act, 1961 as notified by Central Board of Direct Taxes (CBDT) vide Notification No. S.O. 2155(E) dated 7 August 2015 and RBI Circular Ref No. DBR.AML.BC.No.36/ 14.01 .001/2015-16 dated 28 August 2015 in the matter including any subsequent modification/amendment thereof.
11. I understand, acknowledge and authorize that as per the provisions of Income Tax Act, Rules made thereunder and the guidelines issued by the Government /RBI in the matter, depending upon the residential status and/or other criteria stipulated therein, the Bank may have to report the details in respect of my account(s) as per the prescribed format to the Central Board of Direct Taxes (CBDT) or other Government Agencies to comply with the obligations as per the Inter- Governmental Agreements (IGA) in respect of Foreign Accounts Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) and I or any other similar arrangements.
12. I certify & declare that the information provided by me for opening loan account and availing other services herein or through website/electronically as applicable to me signed/authenticated by me as well as in the documentary evidence provided by me for opening loan account and availing other services are, to the best of my knowledge and belief, true, correct and complete and that I have not withheld any material information that may affect the assessment categorization of my account as a U.S. Reportable Account or Other Reportable Account or otherwise. In case any of the information or details provided by me is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
13. I undertake the responsibility to declare and disclose immediately and in no case beyond 30 days from the date of change, any change that may take place in the information provided herein/or otherwise, as well as in the documentary evidence provided by me or if any certification becomes incorrect or undergoes a change. I further undertake to provide fresh and valid self-certification along with documentary evidence as and when so required nevertheless all declaration and undertaking given herein will also be applicable to all such modified/amended document information provided by me unless revised self-certification as above is provided to the Bank.
14. I also agree that my failure to disclose any material / information known to me now or in future or my failure to rectify any deficiency in documents/information/other details within the stipulated period, may invalidate me from transacting in the account and the Bank would be within its right to put restrictions in the operations of my account or to close it or to report to any regulator and/or any authority designated by the Government of India(GOI)/RBI for the said purpose or take any other action as may be deemed appropriate by the Bank under the guidelines issued by CBDT/RBI/Gol from time to time.
15. I also agree to furnish and intimate to the Bank any other particulars that are called upon me to provide on account of any change in law either in India or abroad in the above matter or otherwise.
16. I shall indemnify the Bank from any loss/damage that may be caused to the Bank on account of any mistake in the details provided herein or on account of providing incorrect or incomplete information by me.
17. I undertake to submit data/information together with fresh KYC documents for updating of KYC details at periodical intervals as may be required by the Bank.
18. I understand that the account will be activated, and debits will be allowed only after completion of Customer Due Diligence relating to KYC by the Bank.
19. In case the account is opened without PAN, I undertake to submit PAN on or before such date as may be notified by the Government of India, failing which the account shall cease to be operational till the time PAN is submitted, as per Prevention of Money-Laundering (Maintenance of Records ) Rules 2005.
20. In case, deemed OVDs are submitted for Current Address at the time of Account opening, I undertake to submit Aadhaar or any of the OVD having Current Address within 3 months from the date of account opening, failing which I understand that my account may cease to be operational as per GOI guidelines at the material time.
21. I have received the Welcome Kit containing ATM card/cheque book and understand that in case of any misuse/misplacement of the contents of the Kit, the Bank will not be liable for any loss/damage.
22. I hereby certify that the Savings Bank Account would be used by me to route transactions of only non-business/non-commercial nature. In the event of occurrence of such transactions or any such transactions that may be construed as commercial/business/dubious or undesirable, the Bank reserves the right to unilaterally freeze operations in such account and /or close the account.
23. I have been advised Quarterly Average Balance(QAB) requirement for the account to be opened and given to understand that these requirements are subject to revision/changes and such revision/changes will be uploaded in the Bank's site which will be acceptable to me as a notice to that effect.
24. I confirm that the product features of BSBD account have been explained to me(applicable to BSBD account applicant)
25. I acknowledge receipt of rules and regulations of Savings Bank Account.
26. Applicable for Small Accounts: I/We understand that this account shall remain operational initially for twelve months which can be extended for further twelve months on submission of having an OVD (Officially Valid Document).The entire relaxation/ provisions shall be reviewed after twenty-four months.
27. I/We have been advised that if I/We do not provide my/our mobile number, I/We will not be eligible for any facility of electronic transactions.
28. (Applicable for accounts opened for credit of Social Welfare Benefits), I understand that this account will be opened under BSBD category. I also understand that in case, I do not wish to continue in this BSBD account, and switch over to Regular Savings Bank account, I will have to maintain the Quarterly Average Balance (QAB) applicable for Regular Savings Bank Account .I therefore undertake to maintain QAB in the account if I switch over to Regular Savings Bank Account from BSBD.
29. (Applicable for accounts opened in the name of Minors), I understand that the requirements of QAB and penalty for non-maintenance will be applicable in this account once the applicant becomes Major. I therefore undertake to maintain QAB from the date of attaining majority.
30. 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.
31. I/We confirm that the product features of account have been explained to me.
32. I/We hereby give consent for debiting my/our account for recovering service charges as normally applicable to Savings Bank and Current Account.
33. I confirm and undertake that I will not deal in virtual currencies and will not use my account for any services relating to virtual currencies or facilitate any person or entity in dealing with or settling Virtual Currencies.
34. I understand that in the event of failed Standing Instruction for Loan Repayment/ dishonor of a cheque/ NACH/ECS due to lack of funds / insufficient funds on 04 occasions during financial year, no fresh cheque book would be issued, closure of account may also be considered.
35. Documentary evidence must be submitted for proof of Annual Income/ Annual Turnover. Bank will set Account level Threshold limit based on expected Annual Credits declared by the customer. In case, Self Declaration is submitted for Annual Turnover/ Income/ expected Annual Credits, lower Threshold limit, as decided by the Bank from time to time will be fixed and If Threshold Limit is breached, further credits will not be allowed in the Account till the time documentary evidence is submitted by the Customer.
36. I/We authorize Punjab National Bank to share my/our KYC details for cross selling of its products in routine course of its banking and related business undertaken by bank and for any other purposes permitted by regulators from time to time.

निवासी व्यक्ति के लिए खाता खोलने का फॉर्म (भाग - II)  
बचत बैंक, चालू खाते के लिए

तिथि    □ □ □ □ □ □ □ □

### 3. फोटो एवं हस्ताक्षर

शाखा प्रमुख पंजाब नैशनल बैंक  
शाखा \_\_\_\_\_

ડી નં.

मैं/ हम एतद्वारा बचत/चालू खातों पर लागु होने वाले जैसा की पासबुक/ खाता खोलने के फॉर्म/ बैंक की वेबसाइट में दिए गए मौजूदा सभी नियमों का पालन करने के लिए सहमत हूँ/हैं।

**प्रथम आवेदक का नाम \***

[illegible]

तृतीय आवेदक का नाम \*  सी आई एफ

परिचालन विधि\* ☐ स्वयं ☐ दोनों में से कोई एक या उत्तरजीवी ☐ पूर्ववर्ती व्यक्ति या उत्तरजीवी व्यक्ति ☐ कोई एक या उत्तरजीवी

[illegible]

आवेदक 1	हाल की फोटो	आवेदक 1 के हस्ताक्षर/ अंगूठे का निशान	आवेदक 1 के हस्ताक्षर/ अंगूठे का निशान
आवेदक 2	हाल की फोटो	आवेदक 2 के हस्ताक्षर/ अंगूठे का निशान	आवेदक 2 के हस्ताक्षर/ अंगूठे का निशान
आवेदक 3	हाल की फोटो	आवेदक 3 के हस्ताक्षर/ अंगूठे का निशान	आवेदक 3 के हस्ताक्षर/ अंगूठे का निशान

खाता आईडी

जीबीपीए नं./पीएफ सं.

तिथि

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नमूना हस्ताक्षर के साक्षी अधिकारी के पूर्ण हस्ताक्षर

## ACCOUNT OPENING FORM FOR RESIDENT INDIVIDUAL (PART-II) FOR SAVING BANK, CURRENT ACCOUNT

[illegible]

### 3. Photo & Signature

The Branch Head Punjab National Bank

BO \_\_\_\_\_

D. No.

I/We hereby agree to comply by the Bank's existing Rules as detailed in the passbook/AOF/Bank's Website, governing Savings / Current accounts

**1<sup>st</sup> Applicant Name\***

2<sup>nd</sup> Applicant Name

CIF

**3<sup>rd</sup> Applicant Name**

Mode of Operation\* ☐ Self ☐ Either or Survivor ☐ Former or Survivor ☐ Anyone or Survivor

[illegible]

Applicant 1	Recent Photograph	Signature/Thumb impression of the Applicant 1	Signature/Thumb impression of the Applicant 1
Applicant 2	Recent Photograph	Signature/Thumb impression of the Applicant 2	Signature/Thumb impression of the Applicant 2
Applicant 3	Recent Photograph	Signature/Thumb impression of the Applicant 3	Signature/Thumb impression of the Applicant 3

Account ID

GBPA No./PF No.

[illegible]

Full Signature of specimen witnessing officer

## Simplified Demat Account Opening Form based on existing Bank KYC

<b>PUNJAB NATIONAL BANK</b>	<b><u>To be filled by Depository Back Office</u></b>														
DP ID:                      IN <table border="1" style="display: inline-table; width: 150px; height: 30px; vertical-align: middle;"> <tr><td style="width: 25px; height: 25px;"></td><td style="width: 25px; height: 25px;"></td><td style="width: 25px; height: 25px;"></td><td style="width: 25px; height: 25px;"></td><td style="width: 25px; height: 25px;"></td><td style="width: 25px; height: 25px;"></td></tr> </table>							<b>NSDL Client –ID:</b> <table border="1" style="display: inline-table; width: 200px; height: 50px; vertical-align: middle;"> <tr><td style="width: 25px; height: 45px;"></td><td style="width: 25px; height: 45px;"></td><td style="width: 25px; height: 45px;"></td><td style="width: 25px; height: 45px;"></td><td style="width: 25px; height: 45px;"></td><td style="width: 25px; height: 45px;"></td><td style="width: 25px; height: 45px;"></td><td style="width: 25px; height: 45px;"></td></tr> </table>								
Branch Name/SOL ID: <table border="1" style="display: inline-table; width: 150px; height: 30px; vertical-align: middle;"> <tr><td style="width: 25px; height: 25px;"></td><td style="width: 25px; height: 25px;"></td><td style="width: 25px; height: 25px;"></td><td style="width: 25px; height: 25px;"></td><td style="width: 25px; height: 25px;"></td><td style="width: 25px; height: 25px;"></td></tr> </table>							Billing Category:								

I/We request you to open a NSDL depository account in Punjab National Bank-DP, in my/our name relying on the KYC provided by me/us in my/our Savings Account /Current Account

[illegible]

The account will be linked with demat account for dividend purpose.

{ } The aforementioned Bank account will be used for Demat charges recovery or;

{ } Below mentioned Savings/Current/OD Bank Account will be used for Demat charges recovery

Account Number																													
IFSC Code																MICR Code													

My/our key details for opening NSDL depository account are given below:

	First Holder		Second Holder		Third Holder	
<b>Customer ID</b>						
<b>Name</b>						
<b>Father's / Spouse Name</b>						
<b>PAN</b>						
<b>Date of Birth</b>						
<b>Email ID*</b>						
<b>Email Belongs to</b> (Tick wherever applicable)	Me	Family	Me	Family	Me	Family
<b>Mobile No*</b>						
<b>Mobile No. belongs to</b> (Tick wherever applicable)	Me	Family	Me	Family	Me	Family
<b>SMS Alert Facility</b>	{ } Yes { } No		{ } Yes { } No		{ } Yes { } No	

<b>Pan Seeded with Aadhaar</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>Type of Account</b>	Ordinary Resident		
<b>Occupation</b> (First holder)	<input type="checkbox"/> Service <input type="checkbox"/> Student <input type="checkbox"/> Housewife <input type="checkbox"/> Landlord <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Others		
<b>Gross Annual Income</b> (First holder)	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> More than 25 Lac		
<b>Please tick if applicable</b> (any of the holder/s)	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)		
<b>I wish to open:</b>	<input type="checkbox"/> Regular Demat Account <input type="checkbox"/> BSDA Account		
<b>Mode of receiving Statement of Account</b>	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical		
I/We authorise you to receive credits automatically into my/our account. <input type="checkbox"/> Yes <input type="checkbox"/> No			
I/We authorise you to confirm the "Auto-pledge" confirmation <input type="checkbox"/> Yes <input type="checkbox"/> No			

**\*To be obtained if not available in Bank KYC records**

**Declaration:**

1. I/We hereby provide consent to link my/our Bank Account Number and capture my/our signature(s) available in the above stated Bank Account to my Demat account.
2. The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we 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/ we are aware that I/we may be held liable for it. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".
3. I/We confirm that the signature captured in my Bank account to be used for demat a/c opening and for the transactions, is my valid signature. The current signature as per Bank a/c and the signature on PAN card (difference, if any), belongs to me/us, and I/We take full responsibility of the same and undertake to indemnify the Bank against every and all claims by the reason of the mismatch.
4. The name mentioned in KYC documents & AOF (difference if any), pertains to me/us and therefore, I/We undertake to indemnify the Bank against every and all claims by the reason of the mismatch in my declared name.
5. I/We have read and understood the Schedule of Charges applicable for Demat account (Enclosed).
6. I/We have read and understood the Securities and Exchange Board of India's guidelines for facility for a BSDA. I/We hereby declare that I/we am/are eligible to open a depository account as a BSDA holder and undertake to comply with the requirements specified by Securities and Exchange Board of India (SEBI) or any such authority for such facility from time to time. I/We also understand that in case I/We at any point of time do not meet the eligibility as a BSDA holder, my / our aforesaid account is liable to be converted to regular account.

Nomination Details				
[ ] I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.				
Nomination can be made upto three nominees in the account.		Details of 1 <sup>st</sup> Nominee	Details of 2 <sup>nd</sup> Nominee	Details of 3 <sup>rd</sup> Nominee
1	Name of the nominee(s) (Mr./Ms.)			
2	Share of each Nominee Equally [ ] [If not equally, please specify percentage]	%	%	%
		<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>		
3	Relationship With the Applicant (If Any)			
4	Address of Nominee(s) City / Place: State & Country & Pin Code:			
5	Mobile / Telephone No. of nominee(s)			
6	Email ID of nominee(s)			
7	Nominee Identification details – [ ] Photograph & Signature [ ] PAN [ ] Aadhaar [ ] Saving Bank A/c No [ ] POI [ ] Demat A/c No			
<b><u>Declaration Form for opting out of nomination</u></b> [ ] I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.				

	First Holder	Second Holder	Third Holder
<b>Signature of Client</b>			

**Notes.**

- All communication shall be sent at the address of the Sole/First holder only.
- Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8<sup>th</sup> Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
- For receiving Statement of Account in electronic form:
  - Client must ensure the confidentiality of the password of the email account.
  - Client must promptly inform the Participant if the email address has changed.
  - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- The pattern of holding in the Demat account shall be as per the Bank Account.
- This nomination shall supersede any prior nomination made by the account holder(s), if any
- If Clients wants to appoint a minor as a nominee, then a separate Nomination form may be obtained.
- If client wish to receive Annual Reports, AGM notices in physical form, please inform your DP.

## Branch Declaration

We hereby certify that the customer is KYC complied as per Bank guidelines, it is verified by us as per Bank record. Based on this the account may be opened.

Entry user	Verification user
<p>(Signature)</p> <p>Name: Designation: PF Number: Date:</p>	<p>(Signature)</p> <p>Name: PF Number: Branch Seal: Date:</p>
<p align="center"><b>Approving user (Depository Back Office)</b></p> <p>(Signature)</p> <p>Name: Designation: PF Number: Branch Seal: Date:</p>	

**Tariff Sheet (Depository Services) w.e.f 01.04.2020**

Services		Individual & others		Staff and Senior citizen	Pool A/c	Corporate A/c		CM / Sub broker Beneficiary A/c	Stock Broker-Collateral (New category for NSDL Only for acceptance of Securities as collateral)
Account opening		Nil		Nil	Nil	Nil		Nil	Nil
Advance/Deposit		Clients not maintaining SB/ CA A/c Rs. 10,000/-							
Account Maintenance Charges (AMC)		Email ID Registered for E-CAS	Email ID not Registered for E-CAS	NSDL/CDSL  Sr citizen 115 Staff - Nil		Email ID Registered for E-CAS	Email ID not Registered for E-CAS		
Clients Maintaining SB/CA a/c with PNB	NSDL	300	350		300	800	900	800	300
	CDSL	300	350		750	800	900	800	300
Clients Not Maintaining SB/CA a/c with PNB	NSDL	600	700		600	1600	1800	1300	600
	CDSL	600	700		1250	1600	1800	1300	750
Speed-e Password Based (Incl AMC)		500		Sr Citizen - 500 Staff - Nil		500		500	
Speed-e Token Based (Incl AMC)		2000		Sr Citizen -2000 Staff - Nil	2000	2000		2000 (Incl DSC Charges)	2000
Demataterilization (NSDL & CDSL)		Rs 2 per certificate with minimum of Rs 35/- plus postage as applicable		Rs 2 per certificate with minimum of Rs 35/- plus postage as applicable	NA	Rs 2 per certificate with minimum of Rs 35/- plus postage as applicable		Rs 2 per certificate with minimum of Rs 35/- plus postage as applicable	NA
Remat (NSDL & CDSL)		A fee of Rs. 10 for every hundred securities or part thereof or a flat fee of Rs 10 per certificate (Whichever is higher)		A fee of Rs. 10 for every hundred securities or part thereof or a flat fee of Rs 10 per certificate (Whichever is higher)	NA	A fee of Rs. 10 for every hundred securities or part thereof or a flat fee of Rs 10 per certificate (Whichever is higher)		A fee of Rs. 10 for every hundred securities or part thereof or a flat fee of Rs 10 per certificate (Whichever is higher)	NA
Transaction (Debt-Market, Off-Market & Interdepository) & redemption of Mutual fund units		0.03%. Minimum amount Rs. 25/-, Max Rs. 5000 Online trading/Speede Rs. 10/-per txn where AMC is Annual		0.03%. Minimum amount Rs. 25/-, Max Rs. 5000 *Online trading/Speede Rs. 10/-per txn where AMC is Annual	NSDL: Rs. 10/- CDSL: *Off Market/ Inter Depository Sell- *Rs.10/-  Off Market/ Interdepository CM Delivery: 0.01% of Value; Minimum of Rs.18/*On Market Buy: 0.01% of Value; Minimum Rs. 5 and Maximum Rs. 12.	0.03%. Minimum amount Rs. 25/- Max Rs. 5000 *Online trading/Speede Rs. 10/-per txn where AMC is Annual		Rs. 13/- per transaction.	NSDL Only: Rs. 10/-
Transaction (Commercial paper)		*Commercial Paper 0.033% of market value with minimum of Rs 30/- per instruction and Max. of Rs 300/- per instruction.		*Commercial Paper 0.033% of market value with minimum of Rs 30/- per instruction and Max. of Rs 300/- per instruction.  For Staff :- Rs. 20/- per instruction	NA	*Commercial Paper 0.033% of market value with minimum of Rs 30/- per instruction and Max. of Rs 300/- per instruction.		*Commercial Paper 0.033% of market value with minimum of Rs 30/- per instruction and Max. of Rs 300/- per instruction.	NA
Pledge Creation (NSDL & CDSL)		0.02% of value with minimum Rs. 100		0.02% of value with minimum Rs. 100	NA	0.02% of value with minimum Rs. 100		0.02% of value with minimum Rs. 100	100 +* NSDLs actual charges, if any. Rs. 100 will be charged for cancellation of Pledge, as pledge cancellation charges.
Pledge Creation confirmation (NSDL & CDSL)		of pledge creation charges		50% of pledge creation charges	NA	50% of pledge creation charges		50% of pledge creation charges	50% of pledge creation charges

Services	Individual & others	Staff and Senior citizen	Pool A/c	Corporate A/c	CM / Sub broker Beneficiary A/c	Stock Broker-Collateral (New category for NSDL Only for acceptance of Securities as collateral)
Pledge Closure (NSDL & CDSL)	Rs. 50/-	Rs. 50/-	NA	Rs. 50/-	Rs. 50/-	100 + * NSDLs actual charges, if any
Pledge Closure confirmation (NSDL & CDSL)	Rs. 50/-	Rs. 50/-	NA	Rs. 50/-	Rs. 50/-	100 + * NSDLs actual charges, if any
Pledge Invocation per ISIN (NSDL & CDSL)	Rs. 50/-	Rs. 50/-	NA	Rs. 50/-	Rs. 50/-	100 + * NSDLs actual charges, if any
Failed instruction charges (NSDL & CDSL)	Rs. 10/-	Rs. 10/-	Rs. 10/-	Rs. 10/-	Rs. 10/-	Rs. 10/-
Adhoc Account Statement	Rs. 50/-	Sr Citizen- 50/- Staff - Nil	Rs. 50/-	Rs. 50/-	Rs. 50/-	Rs. 50/-
Freezing/De Freezing Charges	Rs.25/-	Rs.25/-	Rs.25/-	Rs.25/-	Rs.25/-	Rs.25/-
Late Fee	Rs. 50 Per instruction	Rs. 50 Per instruction	Rs. 50 Per instruction	Rs. 50 Per instruction	Rs. 50 Per instruction	Rs. 50 Per instruction
DIS booklet Postage Charges	Rs. 75/- each DIS Booklet	Rs. 75/- each DIS Booklet	Rs. 75/- each DIS Booklet	Rs. 75/- each DIS Booklet	Rs. 75/- each DIS Booklet	Rs. 75/- each DIS Booklet

#### Notes:

- AMC will be levied on pro-rata for the first year of opening the account. Annual AMC shall be levied up-front during the month of April.
- Advance fees of ₹ 10,000/- to be deposited upfront which will be adjusted against the future dues. In case the balance falls below ₹ 2000/- it shall be the responsibility of Client to replenish the upfront amount so as to continue the service.
- NSDL/CDSL Charges for Receipt-In/Pay-out and penalty charges levied by SEBI for securities lying in pool A/c beyond stipulated period or any other charges will be charged on actual basis.
- All the reference prices will be based on NSE price (NSDL formula) BSE Price (CDSL formula) and all charges payable monthly.
- Punjab National Bank reserves right to revise the rate structure from time to time by giving 30 days' notice.
- AMC for Basic Services Demat Account (BSDA) applicable as per SEBI guidelines.
- KRA Charges ₹ 100/- per PAN for modification.
- Sub Broker/CM Beneficiary clients will be charged at the flat rate of ₹ 300/- per month to the account.
- NSDL/CDSL fixed charges of ₹ 500/- per annum will be charged for each corporate account.
- Charges for listed Demat services shall be raised at monthly intervals. Demat services not listed above will be charged separately as per Bank's policy in the line with NSDL & CDSL Depositories.
- For Pool A/Cs -Inter settlement & CM Pool to pool per debit transaction- 0.01%+NSDL/CDSL charges (Per ISIN). Pool A/c will be charged freeze charge of ₹ 125/-. As per CDSL, additional charge of ₹ 500/- per month will be charged in pool accounts.
- All the above mentioned charges are exclusive of GST. Additional GST will be applicable as per the prevailing rates.

	First Holder	Second Holder	Third Holder
<b>Signature of Client</b>			

## CLIENT REGISTRATION KIT FOR INDIVIDUALS

NAME OF THE CLIENT																											
LOCATION																											
UNIQUE CLIENT CODE																											
DP ID & CLIENT ID																											
CKYC/KRA Registered	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Ref. No.																								
KIT NO	G109																										
SERIAL NO																											
DATE																											
EMPLOYEE NAME																											
EMPLOYEE CODE																											

**PLEASE INDICATE THE PURPOSE OF COLLECTING  
THIS BOOKLET BY PUTTING A TICK MARK IN THE APPROPRIATE BOX.**

- ☐ New Account (Trading/Demat)
- ☐ New Demat A/C with Trading A/C updation
- ☐ New Demat A/C with DDPI Activation
- ☐ New Demat A/C with Trade code Transfer

## ACCOUNT OPENING KIT

## INDEX

S.No.	Name of the Document	Brief Significance of the Document	Page No
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		(b) CKYC form- Document captures the basic information about the constituent	05-08
		(c) KRA KYC form- Document captures the basic information about the constituent-NonIndividual	09
		(d) KRA KYC form Instruction and Check list for Non Individual	10
		(e) Details of Promoters/Partners/Karta/Trustees and Whole time directors and Ultimate Beneficial Owner (natural person) Forming A part of KYC for Non Individual	11-12
		B. (a) Additional information about the constituent relevant to trading Account	13-20
		(b) Instruction and Check list	21
2	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	22
3	Rights and Obligations of Stock Brokers, Sub-brokers and Clients	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading)	52-59
4	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	60-64
5	Guidance Note of the investors	Document detailing do's and don'ts for trading on exchange, for the education	65-66
6	Policies and Procedures	Document describing significant policies and procedures of the stock broker	67-69
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>			
7	B2B Power of Attorney for Broking and Other Products & Services (Stamp Rs. 100/-)	Power of Attorney in favour of Geojit to operate client's demat account/mutual fund/IPO to facilitate transactions	23-34
8	Declaration	Declaration by client	35-36
9	Letter of Confirmation	Confirmation letter from client	37-39
10	Running Account	Authorization by client to retain funds/securities in trading account to meet settlement obligations	40
11	NRI Undertaking	To create awareness about RBI rules and regulations	41
12	Undertaking for NRO Non-PIS Account	Investing under Non-Repatriation Basis	42
13	Declaration of Non-repatriation Basis NRO Shares	Declaration of shares under Non-Repatriation Basis	43
14	Equity SIP Terms and Conditions	To avail Equity SIP	44-45
15	Disclosure	Disclosure by Geojit	46
16	Trading - Client Authorization to Third Party	Trading - Client Authorization to Third Party	47
17	Declaration cum Undertaking for Mobile Number	Declaration cum Undertaking for Mobile Number (DND)	48
18	Acknowledgement	Receipt of Booklet viz. RDD, Rights and Obligations, Do's and Don't's and Policies and Procedures	49
18	NACH	Authorization to debit funds from client designated bank A/C to meeting funds for systematic SIPs	51
19	Additional rights and obligations for broking and other products and services	To avail value added products and services from Geojit (including NACH/ECS agreement)	70-99

<b>Geojit Financial Services Ltd.</b> Corporate Identity Number: L67120KL1994PLC008403 GST Number: 32AABCG1935E1Z6			
<b>Registration No. &amp; Date</b>			<b>Compliance Officer Name/phone/email id</b>
Stock Broker: INZ000104737 / 09-05-2017			Zacharia K G 0484-2901000 compliance@geojit.com
NSE Member Code:13372	BSE Member Code:328		
Port Folio Manager : Reg no. INP000003203, Date : 16.02.2012			
NCDEX Member Code: 1243	MCX Member Code: 55920	ICEX Member Code: 3007	Jayadevan A. 0484-2901000 compliance@geojit.com
Depository	NSDL/CDSL	IN - DP-325-2017 Date: 06.06.2017	Indu K 0484- 2901000 indu_k@geojit.com
Investment Adviser	INA200002817, Date : 20.03.2015		
Research Analyst	INH200000345, Date : 20.04.2015		
AMFI reg. no & date	ARN 0098 , Date: 09.05.2012		
Reg. Office/Correspondence Address: 34/659-P, Civil Line Road, Padivattom, Kochi-682024, Phone: 0484-290100, Fax: 0484-2979695, Website: www.geojit.com			
CEO name, phone no & email id: Mr. C J George, 0484 2901000, md@geojit.com			
For any grievance/dispute please contact Geojit Financial Services Ltd. at the above address or email id grievances@geojit.com and phone: 91-484-2901000. In case not satisfied with the response, please contact the concerned exchange(s) at the contact details given below:			
<b>Exchange</b>	<b>Department</b>	<b>Email ID</b>	<b>Phone No.</b>
National Stock Exchange of India Ltd	Investor Grievance Cell	ignse@nse.co.in	1800 2660 058
Bombay Stock Exchange Ltd	Investor Services	is@bseindia.com	022-2272 8138
National Commodities & Derivative Exchange of India Ltd (NCDEX)	Investor Grievances	ig@ncdex.com	022-6640 6789
Multi Commodity Exchange of India Ltd. (MCX)	Arbitration & IG	grievance@mcxindia.com	022-6649 4070
Indian Commodity Exchange Ltd (ICEX)	Grievance Redressal	grievance@icexindia.com	022-4038 1500

You can also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 220 7575 / 1800 266 7575.

– Intentionally left blank –

**Important Instructions:**

- A) Fields marked with '\*\*' are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

**General Instructions:**

- 1 Fields marked with '\*\*' are mandatory fields.
- 2 Tick (✓) wherever applicable.
- 3 Self-Certification of documents is mandatory.
- 4 Please fill the form in English and in BLOCK Letters.
- 5 Please fill all dates in DD-MM-YYYY format.
- 6 Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- 7 KYC number of applicant is mandatory for updation of KYC details.
- 8 For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

**Other Instructions:**

If any proof of identity or address is in a foreign language, then translation into English is required.

**A Clarification / Guidelines on filling 'Personal Details' section**

- 1 Name: Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 Either father's name or spouse's name is to be mandatorily furnished.

**B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India**

- 1 **Tax identification Number (TIN):** TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

**C Clarification / Guidelines on filling 'Proof of Identity [Pol]' section**

- 1 If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- 2 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

**D Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent / Overseas Address details' section**

- 1 PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
- 2 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.

**E Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section**

- 1 To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
- 2 In case of multiple correspondence / local addresses, Please fill 'Annexure A1'

**F Clarification / Guidelines on filling 'Contact details' section**

- 1 Please mention two-digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add '0' in the beginning of Mobile number.

**G Clarification / Guidelines on filling 'Related Person details' section**

- 1 Provide KYC number of related person if available.

**H Clarification / Guidelines on filling 'Related Person details – Proof of Identity [Pol] of Related Person' section**

- 1 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

## List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State / U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

## List of ISO 3166 two- digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire / Côte d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion / Réunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao / Curaçao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy / Saint Barthélemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		

**Geojit Financial Services Ltd.**

Corporate Identity Number: L67120KL1994PLC008403

34/659-P, Civil Line Road, Padivattom, Kochi-682024. Phone: 0484-2901000

**CENTRAL KYC REGISTRY**

KYC Application Form | Individual

**For office use only**

Application Type\*

☐ New☐ Update

KYC Number

(Mandatory for KYC update request)

Account Type\*

☐ Normal☐ Minor

Please read the Instructions before filling the form.

**1. PERSONAL DETAILS** (Please refer instruction A at the end)☐ Name\* (Same as ID proof)

Prefix (Mr./Mrs./Ms)

First Name

Middle Name

Last Name

Prefix (Mr./Mrs./Ms)

Maiden Name

Prefix (Mr./Mrs./Ms)

Father / Spouse Name\*

Prefix (Mr./Mrs./Ms)

Mother Name

Date of Birth\*

Gender\*

☐ M- Male☐ F- Female☐ T-Transgender

Marital Status\*

☐ Married☐ Unmarried☐ Others

Nationality\*

☐ IN- Indian☐ Others (Specify)

Residential Status\*

☐ Resident Individual☐ Non Resident Indian

Occupation Type\*

☐ S-Service ( ☐ Private Sector☐ Public Sector☐ Government Sector )☐ O-Others ( ☐ Professional☐ Self Employed☐ Retired☐ Housewife☐ Student)☐ B-Business☐ X- Not Categorised

PAN Card

PHOTO

Signature / Thumb of Applicant

**2. TICK IF APPLICABLE** ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED\* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence\*

Tax Identification Number or equivalent (If issued by jurisdiction)\*

Place/City of Birth\*

ISO 3166 Country Code of Birth\*

ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES\*

☐ Same as Permanent / Overseas Address details☐ Same as Correspondence / Current / Local / Overseas Address details

Address

(Please Specify - if the Overseas address different from point no. 3 or 4)

**3. PROOF OF IDENTITY(POI) AND ADDRESS(POA)\*** (Please refer instruction C and D at the end)(Certified copy of any one of the following Proof of Identity[PoI] and Proof of Address [PoA] needs to be submitted)☐ A- Passport Number

Passport Expiry Date

☐ B- Voter ID Card☐ C- Driving Licence

Driving Licence Expiry Date

☐ D- NREGA Job Card☐ E- National population Register Letter☐ F- UID (Aadhaar)

(Please read applicant declaration carefully)

**Permanent / Overseas Address**

Line 1\*

Line 2

Line 3

City/ Town/ Village\*

District\*

Pin/Post Code\*

State/U.T Code\*

ISO 3166 Country Code\*

**4. CORRESPONDENCE / CURRENT / LOCAL / OVERSEAS ADDRESS\*** (Please refer instruction E at the end)☐ Same as Permanent / Overseas Address details(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted )☐ A- Passport Number

Passport Expiry Date

☐ B- Voter ID Card☐ C- Driving Licence

Driving Licence Expiry Date

☐ D- NREGA Job Card☐ E- National population Register Letter☐ F- UID (Aadhaar)

(Please read applicant declaration carefully)

☐ Other Proof Of Address (POA)

( Please Specify )

Line 1\*

Line 2

Line 3

City/ Town/ Village\*

District\*

Pin/Post Code\*

State/U.T Code\*

ISO 3166 Country Code\*

**5. CONTACT DETAILS** (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

Tel.(Off)

Tel.(Res)

Mobile

FAX

Email ID

**6. REMARKS (If any)****7. APPLICANT DECLARATION**

This is to confirm that I have approached Geojit Financial Services Ltd (Geojit) to open a Trading/Demat/PMS account and have voluntarily provided my Aadhaar copy towards Proof of Identity(PoI)/Proof of Address (PoA) requirements. I declare that:

- Geojit has informed me that the information collected from my Aadhaar will be used only for the above purpose for which it has been provided by me.
- I am aware that the submission of my Aadhaar is not mandatory and that there are alternatives to the submission of Aadhaar.
- Geojit has my explicit consent to collect, store and use my Aadhaar details for the purpose stated above and related purposes.
- Geojit has confirmed to me that my Aadhaar number or other details will not be shared by it with any person/authority without my consent except as required under any law/regulatory requirement.
- 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 of Applicant

**8. ATTESTATION / FOR OFFICE USE ONLY**Documents Received ☐ Certified Copies ☐ Original Verified and Self-Attested Document Copies Received**IN - PERSON VERIFICATION (IPV) and KYC VERIFICATION CARRIED OUT BY**

Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

**INSTITUTION DETAILS**

Name

Code

[Institution Stamp]

## Annexure A1

## Geojit Financial Services Ltd.

Corporate Identity Number: L67120KL1994PLC008403

34/659-P, Civil Line Road, Padivattom, Kochi-682024. Phone: 0484-2901000

## CENTRAL KYC REGISTRY

KYC Application Form | Individual

For office use only

Application Type\*

☐ New☐ Update☐ Delete

KYC Number

(Mandatory for KYC update request)

## Annexure A1 - Related Person

Please read the Instructions before filling the form.

☐ 1. DETAILS OF RELATED PERSON (Please refer instruction G at the end)☐ Addition of Related Person ☐ Deletion of Related Person ☐ Updation

KYC Number of Related Person (if available\*)

Related Person Type\*

☐ Guardian of Minor☐ Assignee☐ Authorized Representative☐ Name\* (Same as ID proof)

Prefix (Mr./Mrs./Ms)

First Name

Middle Name

Last Name

Prefix (Mr./Mrs./Ms)

Maiden Name

Prefix (Mr./Mrs./Ms)

Father / Spouse Name\*

Prefix (Mr./Mrs./Ms)

Mother Name

Date of Birth\*

Gender\*

☐ M- Male☐ F- Female☐ T-Transgender

Marital Status\*

☐ Married☐ Unmarried☐ Others

Nationality\*

☐ IN- Indian☐ Others (Specify)

Residential Status\*

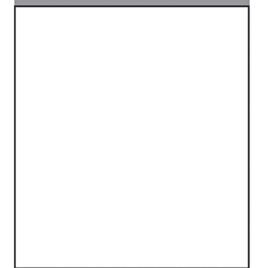
☐ Resident Individual☐ Non Resident Indian☐ Foreign National

PAN Card



Signature / Thumb of Applicant

PHOTO

☐ 2. PROOF OF IDENTITY(POI) AND ADDRESS(POA)\* (Please refer instruction C and D at the end)(Certified copy of any one of the following Proof of Identity[PoI] and Proof of Address [PoA] needs to be submitted)☐ A- Passport Number

Passport Expiry Date

☐ B- Voter ID Card☐ C- Driving Licence

Driving Licence Expiry Date

☐ D- NREGA Job Card☐ E- National population Register Letter☐ F- UID (Aadhaar)

(Please read applicant declaration carefully)

## Permanent / Overseas Address

Line 1\*

Line 2

Line 3

City/ Town/ Village\*

District\*

Pin/Post Code\*

State/U.T Code\*

ISO 3166 Country Code\*

## 3. CORRESPONDENCE / CURRENT / LOCAL / OVERSEAS ADDRESS\* (Please refer instruction E at the end)

☐ Same as Permanent / Overseas Address details(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)☐ A- Passport Number

Passport Expiry Date

☐ B- Voter ID Card☐ C- Driving Licence

Driving Licence Expiry Date

☐ D- NREGA Job Card☐ E- National population Register Letter☐ F- UID (Aadhaar)

(Please read applicant declaration carefully)

☐ Other Proof Of Address (POA)

(Please Specify)

## Annexure A1

Line 1*			
Line 2			
Line 3		City/ Town/ Village*	
District*		Pin/Post Code*	
		State/U.T Code*	
		ISO 3166 Country Code*	

### 4. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

Tel.(Off)		-		Tel.(Res)		-		Mobile		-	
FAX		-		Email ID							

### 5. REMARKS (If any)

### 6. APPLICANT DECLARATION

This is to confirm that I have approached Geojit Financial Services Ltd (Geojit) to open a Trading/Demat/PMS account and have voluntarily provided my Aadhaar copy towards Proof of Identity(PoI)/Proof of Address (PoA) requirements. I declare that:

- Geojit has informed me that the information collected from my Aadhaar will be used only for the above purpose for which it has been provided by me.
- I am aware that the submission of my Aadhaar is not mandatory and that there are alternatives to the submission of Aadhaar.
- Geojit has my explicit consent to collect, store and use my Aadhaar details for the purpose stated above and related purposes.
- Geojit has confirmed to me that my Aadhaar number or other details will not be shared by it with any person/authority without my consent except as required under any law/regulatory requirement.
- 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.



Signature / Thumb Impression of Applicant

Date : DD - MM - YYYY Place :

### 7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ Original Verified and Self-Attested Document Copies Received

#### IN - PERSON VERIFICATION (IPV) and KYC VERIFICATION CARRIED OUT BY

Date		-		-		-		-	
Emp. Name									
Emp. Code									
Emp. Designation									
Emp. Branch									

[Employee Signature]

#### INSTITUTION DETAILS

Name	
Code	

[Institution Stamp]

**APPLICATION FORM (FOR NON-INDIVIDUALS ONLY)**  
**Not applicable in case your KYC is under Registered Status with KRA & CKYC**



**Geojit Financial Services Ltd.**

Corporate Identity Number: L67120KL1994PLC008403  
 34/659-P, Civil Line Road, Padivattom, Kochi-682024. Phone: 0484-2901000

Application Type: ☐ NEW ☐ Update

**Know Your Client (KYC)**

CKYC No.

Application No.

**A. ENTITY DETAILS** (please refer instruction A at the end)

Please fill in **ENGLISH** and in **BLOCK LETTERS** with black ink

Name\*

**Entity Constitution Type (Status please tick)\***

- |   |  |  |
|---|--|--|
| <input type="checkbox"/> A- Sole Proprietorship                             | <input type="checkbox"/> G- Association of Persons (AOP)/Body of Individuals (BOI) | <input type="checkbox"/> M - Central/State Government Department or Agency                           |
| <input type="checkbox"/> B- Partnership Firm                                | <input type="checkbox"/> H- Trust  | <input type="checkbox"/> N - Section 8 Companies (Companies Act, 2013)                               |
| <input type="checkbox"/> C- HUF   | <input type="checkbox"/> I - Liquidator  | <input type="checkbox"/> O - Artificial Juridical Person   |
| <input type="checkbox"/> D- Private Limited Company                         | <input type="checkbox"/> J - Limited Liability Partnership                         | <input type="checkbox"/> P - International Organisation or Agency /l Embassy or Consular Office etc. |
| <input type="checkbox"/> E - Public Limited Company                         | <input type="checkbox"/> K- Artificial Liability Partnership                       | <input type="checkbox"/> Q - Not Categorized   |
| <input type="checkbox"/> F - Society  | <input type="checkbox"/> L - Public Sector Banks                                   | <input type="checkbox"/> Defense Establishment   |
| <input type="checkbox"/> R - Others <input type="checkbox"/> Body Corporate | <input type="checkbox"/> Non-government Organisation                               | <input type="checkbox"/> Others <u>Please specify</u>  |
| <input type="checkbox"/> FI   | <input type="checkbox"/> FI  |  |
- ☐ S - Foreign Portfolio Investors

Date of Incorporation / Formation\*  Date of commencement of business

Place of Incorporation / Formation\*  Form 60 Furnished ☐

Country of Incorporation / Formation\*  TIN or Equivalent Issuing Country  PAN \*

Registration No. (e.g.CIN)  TIN/GST Registration No.

**B. PROOF OF IDENTITY** (please refer instruction B at the end)

- ☐ Officially valid document(s) in respect of person authorised to transact
- ☐ Certificate of Incorporation / Formation  ☐ Registration Certificate
- ☐ Memorandum and Articles of Association ☐ Partnership Deed ☐ Trust Deed
- ☐ Resolution of Board / Managing Committee ☐ Power of attorney granted to its manager, officers or employees to transact on its behalf
- ☐ Activity Proof - 1 (For Sole Proprietorship Only) ☐ Activity Proof - 2 (For Sole Proprietorship Only)

**C. ADDRESS\*** (please refer instruction C at the end)

**C.1 Registered Office Address / Place of Business\***

Proof of Address\* ☐ Certificate of Incorporation / Formation ☐ Registration Certificate

Other Document given below

- ☐ \*Latest Telephone Bill (only Land Line) ☐ \*Latest Electricity Bill ☐ \*Latest Bank Account Statement
- ☐ Registered Lease/Sale Agreement of Office Premises ☐ Any other proof of address document (as listed overleaf) Please specify

\*Not more than 2 Months old. Validity/Expiry date of proof of address submitted

Line 1\*

Line 2

Line 3  City / Town / Village

District  PIN / Post Code\*  State / U.T. Code\*  ISO 3166 Country Code\*

**C.2 Local Address in India (In different from above)\***

Line 1\*

Line 2

Line 3  City / Town / Village

District  PIN / Post Code\*  State / U.T. Code\*  ISO 3166 Country Code\*

**D. CONTACT DETAILS** (All communications will be sent to Mobile number / Email-ID provided may be used) (Please refer instruction D at the end)

[illegible][illegible][illegible][illegible]

**E. NUMBER OF RELATED PERSONS**   (Please refer instruction E at the end)

**F. REMARKS** (If any)

[illegible]

## G. APPLICATION DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my/our 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/we are aware that I/we may be held liable for it.

I/We hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address

[illegible]

Date: 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Signature / Thumb Impression of authorised person(s)

#### H. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ Equivalent e-document  
☐ (Originals verified) Self certified document copies received ☐ (Attested) True copies of documents received

## KYC VERIFICATION CARRIED OUT BY

Identity Verification ☐ Done Date 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

[illegible][illegible][illegible][illegible]

Employee Signature

## INSTITUTION DETAILS

[illegible][illegible]

Institution Stamp

For office use only

Application Type\* ☐ New ☐ Update ☐ DeleteKYC Number  (Mandatory for KYC update request)

## ANNEXURE A2 - Related Persons

Please read the Instructions before filling the form

## A. DETAILS OF RELATED PERSON (please refer instruction E at the end)

☐ Addition of Related Person☐ Deletion of Related Person☐ Update Related Person DetailsKYC Number of Related Person (if available\*) If KYC number is available, only  
'Related Person Type' & 'Name' is mandatory

Related Person Type\*

☐ Director☐ Promoter☐ Karta☐ Trustee☐ Partner☐ Court Appointment Official☐ Proprietor☐ Beneficiary☐ Authorised Signatory☐ Beneficial owner☐ Power of Attorney Holder☐ Other (Please specify)DIN (Director Identification Number) 

Mandatory if Related Person Type is Director

## A.1 Personal Details (Please refer instruction E at the end)

Name\* (Same as ID Proof)

Prefix (Mr./Mrs./Ms.)

First Name

Middle Name

Last Name

Prefix (Mr./Mrs./Ms.)

Maiden Name

Prefix (Mr./Mrs./Ms.)

Father / Spouse Name\*

Prefix (Mr./Mrs./Ms.)

Mother Name

Date of Birth

Gender\*

☐ M-Male☐ F-Female☐ T-Transgender

Marital Status\*

☐ Married☐ Unmarried☐ Others

Nationality\*

☐ IN-Indian☐ Others

Please specify

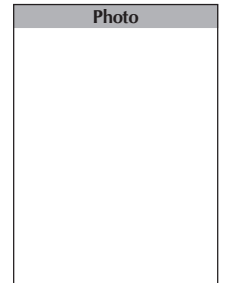
Residential Status\*

☐ Resident Individual☐ Non Resident Indian☐ Foreign National

PAN Card



Photo



## B. PROOF OF IDENTITY (POI) AND ADDRESS (POA)\* (please refer instruction E at the end)

(Certified copy of any one of the following Proof of Identity (PoI) and Proof of Address (PoA) needs to be submitted)

☐ A- Passport Number

Passport Expiry Date

☐ B- Voter ID Card☐ C- Driving Licence

Driving Licence Expiry Date

☐ D- NIREGA Job Card☐ E- National population Letter☐ F- UID (Aadhaar)

(Please read applicant declaration carefully)

## Permanent / Overseas Address

Line 1\*

Line 2

Line 3

City / Town / Village

District

PIN / Post Code\*

State / U.T. Code\*

ISO 3166 Country Code\*

## C. CORRESPONDENCE / CURRENT / LOCAL / OVERSEAS ADDRESS\* (please refer instruction E at the end)

☐ Same as Permanent / Overseas Address details (Certified copy of any one of the following Proof of Address (PoA) needs to be submitted)☐ A- Passport Number

Passport Expiry Date

☐ B- Voter ID Card☐ C- Driving Licence

Driving Licence Expiry Date

☐ D- NIREGA Job Card☐ E- National population Letter☐ F- UID (Aadhaar)

(Please read applicant declaration carefully)

☐ Other Proof of Address (PoA)

Please specify

**Annexure A2 | Legal Entity | Other than individuals**

**Correspondence / Current / Local / Overseas Address**

Line 1*																					
Line 2																					
Line 3											City / Town / Village										
District						PIN / Post Code*						State / U.T. Code*			ISO 3166 Country Code*						

**D. CONTACT DETAILS** (All communications will be sent on provided Mobile No. / Email ID)(Please refer instruction D at the end)

Tel. (Off)						—						Tel. (Res)						—					
FAX						—						Mobile						—					
Email ID																							

**E. TICK IF APPLICABLE** ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction E (Point 5) at the end)

ADDITIONAL DETAILS REQUIRED\* (Mandatory only if section E is ticked)

ISO 3166 Country Code of Jurisdiction of Residence*													
Tax Identification Number or equivalent (If issued by jurisdiction)*													
Place/City of Birth*											ISO 3166 Country Code of Birth*		

ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES\*

☐ Same as Permanent / Overseas Address details ☐ Same as correspondence / Current / Local / Overseas Address details

Address (Please Specify - If the Overseas address different from point no B and C)

**F. REMARKS** (If any)

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

**G. APPLICATION DECLARATION**

This is confirm that I have approached Geojit Financial Services Ltd. (Geojit) to open a Trading/Demat/PMS account and have voluntarily provided my Aadhaar copy towards Proof of Identity (PoI) / Proof of Address (PoA) requirements. I declare that:

- Geojit has informed me that the information collected from my Aadhaar will be used only for the above purpose for which it has been provided by me.
- I am aware that the submission of my Aadhaar is not mandatory and that there are alternatives to the submission of Aadhaar.
- Geojit has my explicit consent to collect, store and use my Aadhaar details for the purpose stated above and related purposes.
- Geojit has confirmed to me that my Aadhaar number or other details will not be shared by it with any person/authority without my consent except as required under any law/regulatory requirement.
- 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 unique 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.

**Signature / Thumb Impression of authorised person(s)**

Place: 

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

 Date: 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

**H. ATTESTATION / FOR OFFICE USE ONLY**

Documents Received ☐ Certified Copies ☐ (Originals verified) Self certified document copies received

**IN-PERSON VERIFICATION (IPV) AND KYC VERIFICATION CARRIED OUT BY**

Date	<table border="1"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>								D	D	M	M	Y	Y	Y	Y				
D	D	M	M	Y	Y	Y	Y													
Emp. Name																				
Emp. Code											Employee Signature									
Emp. Designation																				
Emp. Branch																				

**INSTITUTION DETAILS**

Name																					Institution Stamp
Code																					

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients.
- 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.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, [allowed to trade subject to RBI and FEMA guidelines], copy of passport/PIOCard/OCI Card and overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC [Continuous Discharge Certificate] is to be submitted.
- For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School leaving Certificate/ Mark sheet issued by Higher Secondary Board/Passport of Minor/ Birth Certificate must be provided.
- Politically Exposed Persons [PEP] are defined as individuals who are or have been entrusted with prominent public functions, 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:

- 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].
- Unique identification Number [UID] [Aadhaar] / Passport / Voter ID card / Driving license.
- 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, Schedules 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.]

- Passport/Voters Identity Card/Ration Card/Aadhaar Card/ Registered Lease or Sale Agreement of Residence/Driving License/

- Flat Maintenance bill/Insurance Copy.
- Utility bills like Telephone Bill [only land line]. Electricity bill or Gas bill Not more than 3 months old.
- Bank Account Statement/Passbook-Not more than 3 months old.
- Self-declaration by High Court Supreme Court judges, giving the new address in respect of their own accounts.
- 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/ Document issued by any Govt. or Statutory Authority.
- Identity card/document with address, issued by any of the following Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertaking, Schedules Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- 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.
- 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.]

- In case of transactions undertaken on behalf of Central Government and /or State Government and by officials appointed by Courts e.g. Officials liquidator, Court receive etc.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filling tax returns in India.
- SIP of Mutual Funds up to Rs. 50000/- p.a.
- In case of Institutional clients, names, FIIs, MFs, VCFs, FVCIs, Schedules Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institutions 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:

- Notary Public, Gazetted Officer, manager of a Schedules Commercial/Co-operative Bank or Multinational Foreign Banks [Name, designation & Seal should be affixed on the copy]
- 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.

### F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD(to be submitted every year).</li> <li>Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.</li> <li>Photograph, POI, POA, PAN of individual promoters holding control – either directly or indirectly.</li> <li>Copies of the memorandum and Articles and certificate of incorporation.</li> <li>Copy of the Board Resolution for investment in securities market.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
Partnership firm	<ul style="list-style-type: none"> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>Certificate of registration (for registered partnership firms only).</li> <li>Copy of partnership deed.</li> <li>Authorized signatories list with specimen signatures.</li> <li>Photograph, POI, POA, PAN of Partners.</li> </ul>
Trust	<ul style="list-style-type: none"> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>Certificate of registration (for registered trust only). Copy of Trust deed.</li> <li>List of trustees certified by managing trustees/CA.</li> <li>Photograph, POI, POA, PAN of Trustees.</li> </ul>
HUF	<ul style="list-style-type: none"> <li>PAN of HUF.</li> <li>Deed of declaration of HUF/List of coparceners.</li> <li>Bank passbook/Bank statement in the name of HUF.</li> <li>Photograph, POI, POA, PAN of Karta.</li> </ul>
Unincorporated Association or a body of Individuals	<ul style="list-style-type: none"> <li>Proof of Existence/Constitution document.</li> <li>Resolution of the managing body &amp; power of Attorney granted to transact business on its behalf.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
Banks/Institutional Investors	<ul style="list-style-type: none"> <li>Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> <li>Copy of SEBI Registration certificate.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
Army/Government Bodies	<ul style="list-style-type: none"> <li>Self-certification on letter head.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
Registered Society	<ul style="list-style-type: none"> <li>Copy of Registration Certificate under Societies Registration Act.</li> <li>List of Managing Committee members.</li> <li>Committee resolution for persons authorized to act as authorized signatories with specimen signatures.</li> <li>True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.</li> </ul>

# Details of Promoters / Trustees / Karta / Partners and Whole Time Directors Forming A Part of Know Your Client (KYC) Application Form for Non-individuals

Name of Applicant

PAN of the Applicant

Sl. No.	PAN	Name	DIN (For Directors) / UID (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.	Whether Politically Exposed	Photograph
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	

Name & Signature of the Authorised Signatory(ies)

Date

D

D

M

M

Y

Y

Y

Y

PEP: Politically Exposed Person

RPEP: Related to Politically Exposed Person

## Details of the Ultimate Beneficial Owner (natural person) in case of Non-individual account

Client Type: Company / Partnership / Unincorporated Associations / Body of Individuals / Trust/HUF

Sl. No.	Name	PAN	Related Entity	Relationship with the entity	Address of beneficial owner	Email Address	Contact Nos.
Branch Seal		Employee Code:		Employee Name:			
Date:		Place		Signature			

Please use additional copies of this form if required.

**TRADING ACCOUNT RELATED DETAILS**

I/We request you to open the following account(s) in my/our name as per the following details.

**For Individuals/Sole Proprietorship/Partnership/HUF (Please fill boxes A & B)**

Type of Trading Account	<input type="checkbox"/> Ordinary Resident <input type="checkbox"/> NRI-Repatriable <input type="checkbox"/> NRI-Non-Repatriable <input type="checkbox"/> Sole Proprietor <input type="checkbox"/> Partnership <input type="checkbox"/> HUF <input type="checkbox"/> Others (Please Specify) .....
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**A. SOLE/TRADING HOLDER DETAILS**

Name of the Trading A/C Holder	
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**B. OTHER DETAILS**

Gross Annual Income Details (please specify)	Income Range per annum	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25-50 Lac <input type="checkbox"/> 50 Lacs to 1 Crore <input type="checkbox"/> 1-5 Crore <input type="checkbox"/> 5-10 Crore <input type="checkbox"/> > 10 Crore
	OR Net-worth as on (date)	D D M M Y Y Y Y ₹ _____ (*Net worth should not be older than 1 year)
Source of Funds (Please ensure to select at least one) (applicable for trading account holder or first holder in case of DP only a/c.	<input type="checkbox"/> Salary Income <input type="checkbox"/> Professional Income <input type="checkbox"/> Business Income <input type="checkbox"/> Rental Income <input type="checkbox"/> Fixed Deposits <input type="checkbox"/> Agricultural Income <input type="checkbox"/> Sale of Assets <input type="checkbox"/> Dividend Income <input type="checkbox"/> Loans <input type="checkbox"/> Gifts <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Others: (pls specify) .....	
Occupation (please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others	
Name of Employer/Establishment with full address		
Designation		
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)	

**For Non-individual (Please fill boxes C&D)**

Type of Trading Account	<input type="checkbox"/> Body Corporate <input type="checkbox"/> Bank <input type="checkbox"/> Trust    Others (Please Specify) .....
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**C. SOLE/TRADING HOLDER DETAILS**

Name of the Trading A/C Holder	
--------------------------------	--

**D. OTHER DETAILS**

Gross Annual Income Details (please specify)	Income Range per annum	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25-50 Lac <input type="checkbox"/> 50 Lacs to 1 Crore <input type="checkbox"/> 1-5 Crore <input type="checkbox"/> 5-10 Crore <input type="checkbox"/> > 10 Crore
	OR Net-worth as on (date)	D D M M Y Y Y Y ₹ _____ (*Net worth should not be older than 1 year)
Professionals/Business Details* (applicable if professional Income/Business Income above is selected)	1) Profession/Business Name : 2) If Business, type of Business Activity :	
Name of Employer/Establishment with full address		
Designation		
Goods & Service Tax No.		
Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/ Karta/ Trustees/whole time directors:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)	

**Is the entity involved / providing any of the following service**

For Foreign Exchange / Money Changer Services	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Gaming / Gambling / Lottery Services (eg. Casinos, betting syndicates)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Money Lending / Pawning	<input type="checkbox"/> Yes	<input type="checkbox"/> No

For definition of PEP, please refer instructions on the page no.17 point no.5

**E. DEPOSITORY ACCOUNT DETAILS (Demat master or recent holding statement issued by DP bearing name of the client)**

Depository Participant Name	Depository Name	DP ID	Beneficiary ID (BO ID)
	NSDL/CDSL		

**F. DOCUMENTARY EVIDENCE OF FINANCIAL DETAILS FOR DERIVATIVE CLIENTS (For Derivatives Trading)**





<input type="checkbox"/> Copy of Tax Return	<input type="checkbox"/> Salary Certificate	<input type="checkbox"/> Net Worth Certificate	<input type="checkbox"/> Bank Statement for the last 6 months	Others, Please Specify .....
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G. BANK DETAILS FOR TRADING ACCOUNT																		
Bank A/c No.																		
Bank Sub-type	<input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others .....																	
Bank Name (Full name)																		
Bank Branch Address (Write as per the manner discribed)	Building/Tower/Appartment/Palace/Chamber/Mansion																	
	Street/Road/Marg/Lane/Avenue/Rasta																	
	Area Name												City Name					
	PIN CODE																	
MICR Number																		
IFSC Number																		
In case of NRIs, RBI Reference No.*									RBI Approval Date		D	D	M	M	Y	Y	Y	Y

\*Submit PIS permission copy obtained from bank

## H. TRADING PREFERENCE

\*Please sign in the relevant boxes where you wish to trade. Please strike off the segment not choosen by you.

Exchanges	Segments	
	Cash	F&O
NSE + BSE	 (Full signature required)	 (Full signature required)
	Currency Derivative	Mutual Fund
	 (Full signature required)	 (Full signature required)

If, you do not wish to trade on any Exchange and any of its segment, please mention here \_\_\_\_\_

\_\_\_\_\_

# If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.

## I. PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority and conviction by any court in India or abroad against the applicant/constituent or its Partners/ promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years	
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## I. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

If client is dealing through the sub-broker, provide the following	Sub-broker's Name:					
	NSE SEBI Registration number					
	BSE SEBI Registration number					
	Registered office address					
	Phone		Fax		Website	
Whether dealing with any other stock broker/sub-broker (if case dealing with multiple	Name of stock broker			Name of Sub-Broker, if any		
	Client Code			Exchange		
	Details of disputes/dues pending from/to such stock broker/sub-broker					

K. ADDITIONAL DETAILS			
Whether you wish to receive Electronic Contract Note or Physical Contract Note (ECN) please specify	<input type="checkbox"/> Electronic Contract Note	<input type="checkbox"/> Physical Contract Note	
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Number of years of Investment/Trading Experience			
In case of sole proprietor/partnership/ corporate, please indicate the name and address of the firm			
Receive Annual Reports, AGM notices and other communications from issuers and RTAs in Physical form	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
SMS and email alerts to investors by stock exchanges. (Please tick whichever is applicable. If not ticked, assumed 'Not Required')	<input type="checkbox"/> SMS	<input type="checkbox"/> Email	<input type="checkbox"/> Both <input type="checkbox"/> Not Required
If Mobile number/Email id used belongs to a different person, specify the relationship & PAN (Mark "SELF" in case of own Mobile number/Email id)	<b>Dependent Relationship (TICK Correct One)</b>		
	<b>Mobile</b>	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent	
	<b>E-mail</b>	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent	
Name, designation, PAN, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others:			
Any other information			

L. INTRODUCER DETAILS (optional) (Bank staff details to be mentioned here)	
Name of the Introducer	
Status of the Introducer	<input type="checkbox"/> B2B Bank Staff <input type="checkbox"/> Sub-broker <input type="checkbox"/> Remiser <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others, please specify _____
Address of the Introducer	
Phone Number	
Signature of the Introducer	

M. NOMINATION DETAILS FOR TRADING ACCOUNT HOLDER ( For Individuals only)			
<input type="checkbox"/> I/We wish to make a nomination (As per details given below)		<input type="checkbox"/> I/We do not wish to make a nomination (Strike off the nomination details below)	
* Name of the Nominee			
* Relationship with the Nominee			
PAN / Proof of Identity of Nominee		* Date of Birth of Nominee	
* Address of the Nominee with Pincode			
Tel (Res)		Mobile No.	Email ID
If Nominee is a minor, details of guardian			
* Name of the guardian		* Relationship of Guardian	
* Address of the guardian with Pincode			
Tel (Res)		Signature of guardian	
Mobile No.			
* Mandatory fields.			

WITNESSES (Only applicable in case the account holder has made nomination)			
	Name	Address	Signature

## N. DECLARATION FORM FOR OPTING OUT OF NOMINATION

To,  
Geojit Financial Services Ltd.  
34/659-P, Civil Line Road, Padivattom, Kochi-682024.

DP ID								
Client ID (only for demat account)								
<b>Trade Code</b>	<b>Trading A/C holder Name</b>				<b>Trading A/C holder Signature</b>			
<b>Name(s) of Holder(s)</b>					<b>Signature(s) of holder</b>			
Sole/First Holder (Mr. /Ms.)								
Sole/First Holder (Mr. /Ms.)								
Sole/First Holder (Mr. /Ms.)								

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

**O. RELATIVE OF GEOJIT EMPLOYEE (For Trading)**

Are you a relative of Geojit Financial Services Ltd. employee?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, please indicate your relationship with the employee	<input type="checkbox"/> Parent <input type="checkbox"/> Parent-in-law <input type="checkbox"/> Sibling <input type="checkbox"/> Spouse <input type="checkbox"/> Child
Employee code :	
Employee name :	

**P. DECLARATION**

- The rules and regulations of the Capital Market pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we 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/ we are aware that I / we may be held liable for it. In case of nonresident account, I/we also declare that I / we have complied and will continue to comply with FEMA regulations.
- I/we understand and acknowledge the fact that I/we am/are at liberty to withdraw all or any of the information provided by me/us and the same shall be made by me/us in writing. I/we confirm and accept that such withdrawal shall entitle you to withdraw all or any of the services provided to me/us under the account opening documentation.
- I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
- I/We further confirm having read and understood the contents of the "Standard Documents"
  - Rights and Obligations of stock broker, sub-broker and client for trading on Exchanges [including additional rights & obligations in case of internet/wireless technology based trading];
  - Uniform Risk Disclosure Documents [For all segments/exchanges] ;
  - Guidance note detailing Do's and Don'ts for trading on stock exchanges;

*Note: The above mentioned documents [a, b, c] in the vernacular languages are available in our web-site <http://www.geojit.com/about-us/account-opening-forms>.*


I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for information on stock broker's designated website .
- \*I/We also understand the "Additional Rights and Obligations for Broking and Other Products and services" and acknowledge that this is Voluntary [non-mandatory] document for availing value added products and services as provided by Geojit Financial Services Ltd. and unconditionally agree to abide by the terms and conditions mentioned therein.
- I / We are aware that my/our trading/DP account will be opened as per name available in Income tax database.

\* Strikeout if not applicable

**I/We would like to receive the copy of the KYC & Standard Documents:-**

**Physical Mode** ☐ **\*Electronic Mode** ☐

*\*[If you require the document through electronic mode please ensure that you have registered your email id with us].*

Name of Trading Account Holder	Signature
	 (Full signature required)

Place :

Date:

## INSTRUCTIONS/ CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list: Copy of ITR Acknowledgment Copy of Annual Accounts.

In case of salary income - Salary Slip, Copy of Form 16.	Net worth certificate.
Copy of demat account holding statement.	Bank account statement for last 6 months.
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

*\*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.*

2. Copy of cancelled cheque leaf / pass book / bank statement specifying name of the constituent, MICR Code or / and IFSC Code of the bank should be submitted.
3. For individuals:
  - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
  - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person, verification.  
Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
4. For receiving Statement of Account in electronic form:
  - a. Client must ensure the confidentiality of the password of the email account.
  - b. Client must promptly inform the Participant if the email address has changed.
  - c. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
5. Politically Exposed Persons [PEP] are defined as individuals who are or have been entrusted with prominent public functions, 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.

## FOR OFFICE USE ONLY

UCC Code allotted to the Client		
	Documents verified with Originals	Client Interviewed by
Name of the Employee		
Employee Code		
Designation of the employee		
Date		
Signature		
Place		

I/We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

Signature of the Branch Manager  
Date :

**Seal/Stamp of Authorized Intermediary**  
(Branch/Sub-broker/Authorised Person)

## P. DETAILS OF LEAD GENERATOR FOR TRADING BENEFITS

Employee name	
Employee Code	
Lead ID	

# SCHEDULE OF CHARGES FOR CASH, F&O AND CURRENCY TRADING CLIENTS

*EQUITY CASH SEGMENT							
Offline				Online (Not applicable for NRI clients)			
Delivery Brokerage		Daily Volume	Intraday Brokerage	Delivery Brokerage		Intraday Brokerage	
0.50%		0-25 Lac	0.05%	0.3%		0.03%	
		25-50 Lac	0.04%				
		50 Lac - 1 Cr	0.035%				
		1 Cr & Above	0.03%				
*DERIVATIVE SEGMENT							
Stock Futures		Index Futures		Brokerage for physically settled equity derivatives shall be same as equity cash segment.			
0-25 Lac	0.05%	0-10 Lac	0.05%				
25-50 Lac	0.04%	10-50 Lac	0.04%	Futures	Options (Lot wise)		Currency
50 Lac to 1 Cr	0.035%	50 Lac to 2 Cr	0.03%		Index	Stock	
1 Cr & Above	0.03%	2 Cr to 5 Cr	0.025%	0.03%	Rs 50 per lot	Rs 75 per lot	Same as offline
		5 Cr and Above	0.02%	Minimum Brokerage of Online trades.			
Options (Lot wise)				Rs 20/- per contract or 1 paise per share whichever is higher. Both subject to maximum of Rs 0.25 per share/debenture or 2.5% of the contract price per share/debenture whichever is higher.			
Intraday	Carry Forward						
Rs 150 per lot	Rs 200 per lot			In case the contract note is delivered by post then Rs 20/- per contract or 5 paise per share whichever is higher. Both subject to maximum of Rs 0.25 per share/debenture or 2.5% of the contract price per share/debenture whichever is higher.			
Currency							
Instrument	Symbol	Brokerage per lot (Rs.)		Minimum Brokerage of derivative segment both offline and online trades.			
FUTCUR	EURINR	12.50 (applicable on both sides)					
FUTCUR	GBPINR	15.00 (applicable on both sides)		Rs 50/- per order for every off line order (executed) using the branch set up in Currency and F&O segment.			
FUTCUR	JPYINR	10.00 (applicable on both sides)					
FUTCUR & OPTCUR	USDINR	10.00 (applicable on both sides)		Both subject to maximum of 2.5% of premium amount or Rs 100 per lot for offline trade and Rs 50/75 per lot for online trade whichever is higher.			
The Brokerage for Interest Rate Futures segment (IRF) = 0.02% on the value of the contract.							
Minimum Brokerage of Offline trades.				Brokerage in Expiry/Exercise/ Assignment of Derivative contracts: Nil			
DCN + POA Clients: Rs.20 per order for every order (executed), Rs.20 per Scrip or 1 paise per share whichever is higher, round off to two decimal places.							
NON-DCN/NON-POA Clients: Rs.20 per order for every order (executed), Rs 30/- per scrip or 5 paise per share whichever is higher, round off to two decimal places.				SCHEDULE OF CHARGES FOR NRI CLIENTS: Separate sheet attached			
Contract wise Rs.30/- Minimum applicable to Rajasthan/ UP/Delhi/ Punjab/Gujarat/ WB/MP/Jammu & Kashmir states.							
Both subject to maximum of Rs 0.25 per share/debenture or 2.5% of the contract price per share/debenture whichever is higher.							
Geojit reserves the right to revise brokerage structure & other statutory charges as applicable under respective laws by display of the same on the trading website/customer care/direct communication. Old rate will be applicable for existing clients submitting this booklet as part of KYC updation.							
Statutory Charges (Applicable to Offline and Online Clients as the case may be)				*Miscellaneous Charges			
Securities Transaction Tax (STT)				SMS Alert Service (Trading Recommendations)		Rs 100/- per month	
Delivery in Cash		0.10%		Printed Statement Request		Rs 50/- per request (through ordinary post)	
Intraday in Cash only on selling side		0.025%		Cheque Bounce/Cancellation		Rs 250/-	
Futures only on selling side		0.01%		Interest on delayed Payments		18% per annum. Subject to change	
Options only on selling side		0.05%		Interest on MTF debits		18% per annum. Subject to change	
Sale of an option, where option is exercised		0.125%		*Inter-Settlement Charges (For Clients who have Demat Account with Geojit)			
Goods & Service Tax (GST)		18%		Regular Service Demat Account (RSDA)		Basic Service Demat Account (BSDA)	
*Exchange Levy		As applicable from		Electronic Communication	Physical Communication	Electronic Communication	Physical Communication
Stamp Duty		time to time		0.02% subject to a minimum of Rs.15/- and maximum of Rs.40/- per transaction.		0.05% subject to a minimum of Rs.50/- and maximum of Rs.75/- per transaction.	
*All charges are exclusive of taxes, Levies and other statutory charges				*Inter-Settlement Charges (For Clients who do not have Demat Account with Geojit)		0.05% subject to a minimum of Rs.75/- and maximum of Rs.100/- per transaction.	
				Who avail electronic communication		Who avail physical communication	
				0.02% subject to a minimum of Rs.15/- and maximum of Rs.40/- per transaction.		0.02% subject to a minimum of Rs.20/- and maximum of Rs.40/- per transaction.	

To	To	To
<b>Geojit Financial Services Ltd.</b> 34/659-P Civil Line Road Padivattom Kochi-682 024	<b>Bank Name</b>  <b>HO Address</b>	<b>DP Name</b>  <b>DP Division</b>

Sub: Power of Attorney to operate Trading Account, Bank Account and Demat Account(s)

I/We \_\_\_\_\_ (name of the Trading Account Holder in case of individual, name of Karta in case of HUF and name of Company in case of Corporate) and \_\_\_\_\_ (name of the joint Account Holder(s) is / are partaking in the trading / investment facilities offered by Geojit and pursuant to the same, I am / We are desirous of conferring a Power of Attorney on Geojit to do various acts on my / our behalf for the disposal of balances in relation to the below mentioned Trading Account, Bank Account(s) and Demat Account(s) held singly/jointly be me/us.

Sl. No.	Account Type	Account No.	With
1	Trading Account		Geojit Financial Services Ltd.
2	Bank Account No.		_____ Branch of the _____ _____ (Bank Name)
3	Demat Account No.		_____ _____ _____ (DP Name) (DP ID: _____)

Please find enclosed the said Power of Attorney in favour of Geojit.

Name of  
Account Holder : \_\_\_\_\_

Signature  (Full signature required)

Name of Joint  
Account Holder : \_\_\_\_\_

Signature  (Full signature required)

Name of Joint  
Account Holder : \_\_\_\_\_

Signature  (Full signature required)

(\* Karta in case of HUF)

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**POWER OF ATTORNEY FOR BROKING AND OTHER PRODUCTS & SERVICES**THIS **POWER OF ATTORNEY** MADE AT \_\_\_\_\_ THIS \_\_\_\_\_ DAY OF \_\_\_\_\_ 20\_\_ BY:

1. \_\_\_\_\_ (name of the Account Holder),  
aged \_\_\_\_\_ years and residing at \_\_\_\_\_
2. \_\_\_\_\_ (name of the Joint Account Holder),  
aged \_\_\_\_\_ years and residing at \_\_\_\_\_
3. \_\_\_\_\_ (name of the Joint Account Holder),  
aged \_\_\_\_\_ years and residing at \_\_\_\_\_

**IN FAVOUR OF**

**Geojit Financial Services Limited**, a company incorporated under the provisions of the Companies Act, 1956, (hereinafter referred to as "**Geojit** ") having its registered office at Civil Line Road, Padivattom, Kochi – 682024, which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include its executors, administrators, successors and assigns by way of amalgamation and/or merger and registered as a stock broker of National Stock Exchange of India Ltd. (NSE) [SEBI registration number INZ 000104737 in the Capital Market Segment with CMBP ID IN506594 & Pool account number 10000004/IN300239, 1204890000000319, NSCCL(MFSS) 1100001100017837, NSCCL (MFSS) CMBP ID IN565576], BSE Ltd. [SEBI registration number INZ000104737 in the Capital Market Segment with CMBP ID IN603287 & Pool account number 10324155/IN300239, 1204890000000283], TM/CM-Client Securities Margin Pledge Account Number 16397916/IN300239, 1204890000434790, Client Securities under Margin Funding Account Number 16401229/IN300239, 1204890000434804, CM Client Securities Margin Pledge account number 1204890000432110, of the **Second Part**.

WHEREAS I/We hold single/jointly the following accounts.

Sl. No.	Account Type	Account No.	With
1	Trading Account		Geojit Financial Services Ltd.
2	Bank Account No.		_____ Branch of the _____ _____ (Bank Name)
3	Demat Account No.		_____ _____ (DP Name) (DP ID: _____)

(hereinafter referred to as the "Designated Accounts") and wish to participate in the trading, investment and other services offered by Geojit.

 (Full signature required)  
Account Holder

 (Full signature required)  
Joint Account Holder

 (Full signature required)  
Joint Account Holder

WHEREAS as a consideration for providing various facilities and services and to facilitate proper execution of all transactions, including but not limited to, transactions for purchase, sale, investment of shares & securities, scrips, stocks, derivatives, including but not limited to, forwards, futures and options, or sale of or application for any offer or public issue of shares, and to sell securities in my/our behalf in any buy back or open offers made by the issuers of such securities or to make applications in my/our name and on my/our behalf for availing of margin trading facility, and/or for making investments (hereinafter referred to as 'purpose') I/We am/are desirous of appointing Geojit as my/our attorney and confer upon it the powers hereinafter stated.

THEREFORE, THIS POWER OF ATTORNEY WITNESSETH that I/We hereby nominate, appoint and constitute Geojit as my/our true and lawful attorney to do, execute and perform or cause to be done, executed and performed, the following acts, deeds and things or any of them for and on my/our behalf namely:

**AUTHORISATION TO Geojit:**

1. To operate, block and/or debit the Designated Accounts as per my/our instructions to Geojit furnished in any manner acceptable to Geojit to meet all my/our obligations for trading transactions done on the National Stock Exchange (NSE) and the Bombay Stock Exchange Ltd (BSE), and to give other instructions relating to the Designated Accounts for any matter concerning the above mentioned Purpose, including charges for Account Opening and availing of various services and facilities from Geojit. In the event the Bank Account which is integrated with my/our Demat Account(s) with the Depository Participant and the trading account with Geojit for carrying out transactions in connection with the Purpose is closed or transferred, for any reason whatsoever, this POA shall be deemed to extend to any subsequent change of the bank account number and/or in case an inter-branch transfer of the bank account is effected in future. Such a change/transfer shall be informed to the POA holder (Geojit) in advance by me/us.
2. To credit the Designated Accounts with monies/securities due to me/us.
3. To debit my/our Designated Accounts towards monies/securities/fees/charges etc. due to Geojit, and Depository Participant and to discharge all obligation in this regard on my/our behalf to Geojit and Depository Participant.
4. To debit/credit my/our Bank Account(s) towards monies/fees/charges etc. payable to Geojit and Depository Participant by virtue of I/We using/subscribing to any of the facilities/services provided either by Geojit, Bank and or Depository Participant.
5. To make application for investment products including but not limited to insurance policies etc., as may be instructed to be applied for me/us and to do all things necessary which are incidental availing investment products by me/us including but not limited to pledging of scrips, stocks, securities, bonds, debentures, mutual fund units, units of any collective investment scheme or any other security or financial instrument on behalf of me/us through Geojit.
6. To do all such acts, deeds and things as may be necessary for or incidental to provision of services and facilities to me/us, including giving intimations, confirmation, undertaking etc. on my/our behalf.
7. To retain all originals of documents executed by me/us.
8. To enter and to include our names in the relevant application forms, new IPOs that are being submitted for the purposes stated herein and we fully agree to such naming or making applications in our names in the requisite forms and further agree to hold Geojit or its office bearers and nominees harmless in any related queries by any authorities or Regulators and also not to raise any claim or dispute against Geojit or nominees for such filling up / applying with our names and making applications. We further agree to abide by all norms and laws of SEBI or such other regulators.
9. To sell or otherwise deal with or dispose of and to purchase, subscribe or otherwise acquire in any manner

 (Full signature required)  
Account Holder

 (Full signature required)  
Joint Account Holder

 (Full signature required)  
Joint Account Holder

from the market or under public or rights issues or otherwise and accept the transfers of any stocks, funds, shares, debentures, Government and other promissory notes, securities, bonds, debentures, annuities or other mercantile negotiable instruments which shall or may at any time belong to me or which hereafter be transferred to me, whether solely or jointly and whether in my own right or having any other interest of whatsoever nature and however arising and in any capacity whatsoever including those belonging to others with my name and for such purposes to sign, execute or endorse all instruments of transfer and other documents for any purpose whatsoever by the virtue of these present.

10. This POA is executed upon the firm understanding received from Geojit that, Geojit would return the securities or funds that would have been received by Geojit erroneously or without authority from me/us.
11. And generally to do or cause to be done every other acts, deeds, matter or things, as Geojit may deem necessary or expedient for the purpose of or in relation to these presents.

We hereby declare that all and every receipts made, executed or done for the aforesaid Products and Services by virtue of these presents shall be as good, valid and effectual to all intents and purposes whatsoever as if the same had been made, executed or done by us in our own name(s).

12. It is specifically made clear herein that this Power of Attorney shall be cancelled or revoked at any time without any advance notice from my/our side, however those obligations arising before such cancellation shall be carried out by Geojit, for which I/We shall not raise any objection or claims whatsoever.
13. It is also made clear hereby that, by virtue of me/us executing this Power of Attorney, Geojit may send a consolidated summary of my/our scrip wise buy and sell positions taken with average rates by way of an SMS/ E-mail on a daily basis, in addition to the standard documents being received from Geojit.

I/We hereby declare that all and every receipt made, executed or done for the aforesaid purposes by virtue of these presents shall be as good, valid and effectual for all intents and purposes whatsoever as if the same had been made, executed or done by me/us in my/our own name(s).

I/We hereby ratify and confirm and agree to ratify and confirm all that Geojit or any of its Officer or Officers shall do or cause to be done in or concerning the premises by virtue of these presents.

IN WITNESS WHEREOF I/We have hereunto set and subscribed our respective hands at \_\_\_\_\_

\_\_\_\_\_ on this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_

Name of Account Holder		Signature  (Full signature required)
Name of Joint Account Holder		Signature  (Full signature required)
Name of Joint Account Holder		Signature  (Full signature required)

(\* Karta in case of HUF)

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To	To	To
<b>Geojit Financial Services Ltd.</b> 34/659-P Civil Line Road Pativattom Kochi-682 024	<b>Bank Name</b>  <b>HO Address</b>	<b>DP Name</b>  <b>DP Division</b>

Sub: Power of Attorney to operate Trading Account, Bank Account and Demat Account(s)

I/We \_\_\_\_\_ (name of the Trading Account Holder in case of individual, name of Karta in case of HUF and name of Company in case of Corporate) and \_\_\_\_\_ (name of the joint Account Holder(s) is / are partaking in the trading / investment facilities offered by Geojit and pursuant to the same, I am / We are desirous of conferring a Power of Attorney on Geojit to do various acts on my / our behalf for the disposal of balances in relation to the below mentioned Trading Account, Bank Account(s) and Demat Account(s) held singly/jointly be me/us.

Sl. No.	Account Type	Account No.	With
1	Trading Account		Geojit Financial Services Ltd.
2	Bank Account No.		_____ Branch of the _____ _____ (Bank Name)
3	Demat Account No.		_____ _____ _____ (DP Name) (DP ID: _____)

Please find enclosed the said Power of Attorney in favour of Geojit.

Name of  
Account Holder : \_\_\_\_\_

Signature  (Full signature required)

Name of Joint  
Account Holder : \_\_\_\_\_

Signature  (Full signature required)

Name of Joint  
Account Holder : \_\_\_\_\_

Signature  (Full signature required)

(\* Karta in case of HUF)

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**POWER OF ATTORNEY FOR BROKING AND OTHER PRODUCTS & SERVICES**THIS **POWER OF ATTORNEY** MADE AT \_\_\_\_\_ THIS \_\_\_\_\_ DAY OF \_\_\_\_\_ 20\_\_ BY:

1. \_\_\_\_\_ (name of the Account Holder),  
aged \_\_\_\_\_ years and residing at \_\_\_\_\_  
\_\_\_\_\_
2. \_\_\_\_\_ (name of the Joint Account Holder),  
aged \_\_\_\_\_ years and residing at \_\_\_\_\_  
\_\_\_\_\_
3. \_\_\_\_\_ (name of the Joint Account Holder),  
aged \_\_\_\_\_ years and residing at \_\_\_\_\_  
\_\_\_\_\_

**IN FAVOUR OF**

**Geojit Financial Services Limited**, a company incorporated under the provisions of the Companies Act, 1956, (hereinafter referred to as "**Geojit** ") having its registered office at Civil Line Road, Padivattom, Kochi – 682024, which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include its executors, administrators, successors and assigns by way of amalgamation and/or merger and registered as a stock broker of National Stock Exchange of India Ltd. (NSE) [SEBI registration number INZ 000104737 in the Capital Market Segment with CMBP ID IN506594 & Pool account number 10000004/IN300239, 1204890000000319, NSCCL(MFSS) 1100001100017837, NSCCL (MFSS) CMBP ID IN565576], BSE Ltd. [SEBI registration number INZ000104737 in the Capital Market Segment with CMBP ID IN603287 & Pool account number 10324155/IN300239, 1204890000000283], TM/CM-Client Securities Margin Pledge Account Number 16397916/IN300239, 1204890000434790, Client Securities under Margin Funding Account Number 16401229/IN300239, 1204890000434804, CM Client Securities Margin Pledge account number 1204890000432110, of the **Second Part**.

WHEREAS I/We hold single/jointly the following accounts.

Sl. No.	Account Type	Account No.	With
1	Trading Account		Geojit Financial Services Ltd.
2	Bank Account No.		_____ Branch of the _____ _____ (Bank Name)
3	Demat Account No.		_____ _____ (DP Name) (DP ID: _____)

(hereinafter referred to as the "Designated Accounts") and wish to participate in the trading, investment and other services offered by Geojit.

 (Full signature required)  
Account Holder

 (Full signature required)  
Joint Account Holder

 (Full signature required)  
Joint Account Holder

WHEREAS as a consideration for providing various facilities and services and to facilitate proper execution of all transactions, including but not limited to, transactions for purchase, sale, investment of shares & securities, scrips, stocks, derivatives, including but not limited to, forwards, futures and options, or sale of or application for any offer or public issue of shares, and to sell securities in my/our behalf in any buy back or open offers made by the issuers of such securities or to make applications in my/our name and on my/our behalf for availing of margin trading facility, and/or for making investments (hereinafter referred to as 'purpose') I/We am/are desirous of appointing Geojit as my/our attorney and confer upon it the powers hereinafter stated.

THEREFORE, THIS POWER OF ATTORNEY WITNESSETH that I/We hereby nominate, appoint and constitute Geojit as my/our true and lawful attorney to do, execute and perform or cause to be done, executed and performed, the following acts, deeds and things or any of them for and on my/our behalf namely:

**AUTHORISATION TO Geojit:**

1. To operate, block and/or debit the Designated Accounts as per my/our instructions to Geojit furnished in any manner acceptable to Geojit to meet all my/our obligations for trading transactions done on the National Stock Exchange (NSE) and the Bombay Stock Exchange Ltd (BSE), and to give other instructions relating to the Designated Accounts for any matter concerning the above mentioned Purpose, including charges for Account Opening and availing of various services and facilities from Geojit. In the event the Bank Account which is integrated with my/our Demat Account(s) with the Depository Participant and the trading account with Geojit for carrying out transactions in connection with the Purpose is closed or transferred, for any reason whatsoever, this POA shall be deemed to extend to any subsequent change of the bank account number and/or in case an inter-branch transfer of the bank account is effected in future. Such a change/transfer shall be informed to the POA holder (Geojit) in advance by me/us.
2. To credit the Designated Accounts with monies/securities due to me/us.
3. To debit my/our Designated Accounts towards monies/securities/fees/charges etc. due to Geojit, and Depository Participant and to discharge all obligation in this regard on my/our behalf to Geojit and Depository Participant.
4. To debit/credit my/our Bank Account(s) towards monies/fees/charges etc. payable to Geojit and Depository Participant by virtue of I/We using/subscribing to any of the facilities/services provided either by Geojit, Bank and or Depository Participant.
5. To make application for investment products including but not limited to insurance policies etc., as may be instructed to be applied for me/us and to do all things necessary which are incidental availing investment products by me/us including but not limited to pledging of scrips, stocks, securities, bonds, debentures, mutual fund units, units of any collective investment scheme or any other security or financial instrument on behalf of me/us through Geojit.
6. To do all such acts, deeds and things as may be necessary for or incidental to provision of services and facilities to me/us, including giving intimations, confirmation, undertaking etc. on my/our behalf.
7. To retain all originals of documents executed by me/us.
8. To enter and to include our names in the relevant application forms, new IPOs that are being submitted for the purposes stated herein and we fully agree to such naming or making applications in our names in the requisite forms and further agree to hold Geojit or its office bearers and nominees harmless in any related queries by any authorities or Regulators and also not to raise any claim or dispute against Geojit or nominees for such filling up / applying with our names and making applications. We further agree to abide by all norms and laws of SEBI or such other regulators.
9. To sell or otherwise deal with or dispose of and to purchase, subscribe or otherwise acquire in any manner

 (Full signature required)  
Account Holder

 (Full signature required)  
Joint Account Holder

 (Full signature required)  
Joint Account Holder

from the market or under public or rights issues or otherwise and accept the transfers of any stocks, funds, shares, debentures, Government and other promissory notes, securities, bonds, debentures, annuities or other mercantile negotiable instruments which shall or may at any time belong to me or which hereafter be transferred to me, whether solely or jointly and whether in my own right or having any other interest of whatsoever nature and however arising and in any capacity whatsoever including those belonging to others with my name and for such purposes to sign, execute or endorse all instruments of transfer and other documents for any purpose whatsoever by the virtue of these present.

10. This POA is executed upon the firm understanding received from Geojit that, Geojit would return the securities or funds that would have been received by Geojit erroneously or without authority from me/us.

11. And generally to do or cause to be done every other acts, deeds, matter or things, as Geojit may deem necessary or expedient for the purpose of or in relation to these presents.

We hereby declare that all and every receipts made, executed or done for the aforesaid Products and Services by virtue of these presents shall be as good, valid and effectual to all intents and purposes whatsoever as if the same had been made, executed or done by us in our own name(s).

12. It is specifically made clear herein that this Power of Attorney shall be cancelled or revoked at any time without any advance notice from my/our side, however those obligations arising before such cancellation shall be carried out by Geojit, for which I/We shall not raise any objection or claims whatsoever.

13. It is also made clear hereby that, by virtue of me/us executing this Power of Attorney, Geojit may send a consolidated summary of my/our scrip wise buy and sell positions taken with average rates by way of an SMS/ E-mail on a daily basis, in addition to the standard documents being received from Geojit.

I/We hereby declare that all and every receipt made, executed or done for the aforesaid purposes by virtue of these presents shall be as good, valid and effectual for all intents and purposes whatsoever as if the same had been made, executed or done by me/us in my/our own name(s).

I/We hereby ratify and confirm and agree to ratify and confirm all that Geojit or any of its Officer or Officers shall do or cause to be done in or concerning the premises by virtue of these presents.

IN WITNESS WHEREOF I/We have hereunto set and subscribed our respective hands at \_\_\_\_\_

\_\_\_\_\_ on this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_

Name of Account Holder		Signature  (Full signature required)
Name of Joint Account Holder		Signature  (Full signature required)
Name of Joint Account Holder		Signature  (Full signature required)

(\* Karta in case of HUF)

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## DECLARATION

The terms and conditions pertaining to the Online Trading Account, Bank Account & Demat Account that is in force now, have been read by me/us. I/We have understood the same and I/We agree to abide by and to be bound by the rules as are in force from time to time for such accounts.

I/We also declare that the particulars given by me/us are true to the best of my/our knowledge as on the date of making such application. I/We further agree that any false /misleading information given by me/us or suppression of any material fact will render my/our account liable for termination and further action.

I/We agree to pay the charges as per the Schedule of Charges attached to the Form and any revision thereof from time to time and understand that my/our opening of the Online Trading Account is subject to the payment of these charges. I/We confirm that First holder is the sole signatory or authorised to act alone where the accounts are in the joint names. I/We understand that in case the Demat Account is closed during the year, no pro-rata refund of annual charges will be made. I/We authorize the Bank/DP to receive credits automatically into my/our Bank/Demat Account(s).

I/We agree and confirm that I/We have read the terms and conditions of the account facility, and the terms and conditions pertaining to usage of channels for access of the said account facility and am/are aware of and will adhere to all the terms/conditions of opening/maintaining of the said account and usage of the channels with/by the Bank as may be in force from time to time.

I/We further declare that I/We have read and am/are aware of and will adhere to the rules of the Depository in relation to maintenance and operation of the account.

I/We understand that certain particulars given by me/us are required by the operational guidelines governing the respective companies.

We, the joint applicants hereby confirm that we have instructed and authorised the Online Trading Account holder to view/access that information on the said account for and on behalf of all of the undersigned and under our specific instructions as stated in this letter. We hereby state that should we wish to revoke the above authorisation, we shall duly issue a letter of revocation to the Bank and to Geojit Financial Services Ltd. in this regard. We hereby agree that until ten days after the Bank and Geojit Financial Services Ltd. receives such letter revoking the above mandate, the authorisation as afore stated shall hold good (Applicable in case of Joint Applicants).

### **I/We declare, confirm and agree:**

- a. that all the particulars and information given in the Application form are true, correct, complete and up to date in all respects and I/We have not withheld any information.
- b. that I/We confirm that I/We have had no insolvency initiated against me/us nor have I/We ever been adjudicated insolvent.
- c. that I/We have read the application form and brochures and am/are aware of all the terms and conditions of availing the said services from the Bank and Geojit Financial Services Ltd. and its Group Companies.
- d. that Geojit Financial Services Ltd., the Bank and its Group Companies reserve the right to reject any application without providing any reason.
- e. I/We declare and confirm that I/We are not member(s) of the National Stock Exchange of India Ltd or Bombay Stock Exchange. I/We undertakes that we shall not execute trades through Geojit Financial Services Ltd. on NSE or BSE if I/We become members of the respective stock exchange(s)

### **I/We agree, undertake and authorise:**

- a. Geojit Financial Services Ltd., Bank and its Group companies or their agents to make references and enquires relative to information in this application which Geojit Financial Services Ltd., Bank and its Group Companies or their agents consider necessary.
- b. to inform Geojit Financial Services Ltd., Bank and its Group Companies regarding change in my/our residence/employment and to provide any further information that Geojit Financial Services Ltd., Bank and its Group Companies may require from time to time.
- c. I/We agree and hereby authorise Geojit Financial Services Ltd / Bank Ltd /its Group Companies and their agents to exchange, share or part with all the information, data or documents relating to my/our application and

transaction information to other Group Companies/Banks/Financial institutions/Credit Bureaus/ Agencies / Statutory Bodies / such other persons as Geojit Financial Services Ltd / Bank / its Group Companies may deem necessary and / or appropriate as may be required for use or processing of the said information / data by such person/s or furnishing of the processed information / data / products thereof to other Banks / Financial Institutions / credit providers / agencies / users registered with such persons and I/We shall not hold Geojit Financial Services Ltd / Bank / its Group Companies and other persons to whom such information etc is disclosed liable for the disclosure or use of such information.

I/We hereby confirm this Bank account will be operated singly and in case of joint account operated by either or survivor.

I/We confirm that the Bank account to be opened with Online Trading Account be used for the purpose of all cash corporate actions.






I/We, the joint holder/s, hereby authorise the Online Trading Account holder, to access the internet Banking, Phone Banking and Mobile Banking channels as provided for viewing of and transaction from the Accounts and the Online Trading account holder confirms the said appointment. I/We, the joint holder/s, hereby state that should I/ We, joint holder/s wish to revoke the above authorisation, I/We joint holder/s, shall duly issue a letter of revocation ("the revocation letter") to the Bank and to Geojit Financial Services Ltd. in this regard.

The rules and regulations of the Depository and Depository Participants, pertaining to an account which are in force now have been read by me/us and I/We have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/We also declare that the particulars given by me/us are true to the best of my/our knowledge as on the date of making such applications. I/We further agree that any false/misleading information given by me/us or suppression of any material fact will render my account liable for termination and further action.

I/We agree and understand that I/We have to complete further applications for specific liability products/services from (Bank Name)/its Group Companies, as prescribed from time to time, and that such further applicants shall be regarded as an integral part of this application (and vice versa), and that unless otherwise disclosed in such further forms as prescribed, the particulars and information set forth herein as well as the documents referred or provided herewith are true, correct, complete and up to date in all respects. I/We agree and understand that such further applications will require incorporation of the application form number, and/or such details as the Bank may prescribe, to facilitate data management.

"I/We understand that as on date, Geojit Financial Services Ltd. does clientele business only and there is no proprietary trading except on a few occasions to test its system functionalities".

Note: Please sign in Black ink within the box.

	Name(s) of holders	Signature(s)
Online Trading Account Holder (Applicant)		 (Full signature required)
<b>FOR BANK ACCOUNT</b>		
Joint Holder A		 (Full signature required)
Joint Holder B		 (Full signature required)
<b>FOR DEMAT ACCOUNT</b> (To be used if the Cc-Holders are different from that of Bank Account)		
Co-holder A		 (Full signature required)
Co-holder B		 (Full signature required)

## LETTER OF CONFIRMATION

To,

Geojit Financial Services Limited  
34/659-P, Civil Line Road, Padivattom, Kochi - 682 024, Kerala.

..... (Bank Name)

..... (Address)

.....

Dear Sirs,

Sub: Opening of a CLIENT Online Trading Account for investments and trading in securities and derivatives.

I/We refer to my/our application for opening of a CLIENT Online Trading Account ("CLIENT Account") with Geojit Financial Services Limited (hereinafter called "Geojit") and receipt of the Rights & Obligations and additional Rights & Obligations documents for broking and other products/services as prescribed by SEBI and duly acknowledged vide the Declaration executed with us (hereinafter 'CLIENT Declaration') in connection therewith.

Further, I/We here by agree and confirm that:

1. I/we (hereinafter referred to as "the CLIENT") shall be entitled to transact in such Securities and Derivative products as are introduced by Geojit on the online trading portal. These transactions shall include but shall not be limited to transactions for the purchase or sale or an order for the purchase or sale of or an application for any offer or public issue of shares, scrips, stocks, securities, bonds, debentures, Financial instrument, derivatives or contracts in derivatives admitted for trading on the Derivative Market Segment of the Exchange or services that Geojit may in its absolute discretion introduce or offer from time to time (hereinafter referred to as "Investment Products").
2. The CLIENT shall ensure that the transactions through Geojit are executed in accordance with the applicable laws, byelaws, rules and regulations governing the specific Investment Products. Geojit may from time to time impose and vary limits on the orders which the CLIENT/s may place, including exposure limits, turnover limits, limits as to numbers etc. The CLIENT/s agree that Geojit shall not be responsible for any variation or reduction that may be deemed necessary by Geojit based on its risk perception and other relevant factors.
3. The CLIENT agrees that Geojit is entitled to disclose to a third party, all such information pertaining to the CLIENT as may be required from time to time, for the CLIENT to be able to apply/avail of any or all of the Investment Products mentioned above and/or for the purpose of applying / availing Credit Facility in terms of Clause 2 above.
4. The CLIENT expressly authorises Geojit/Bank to block the amount required to settle the obligation of the CLIENT against the desired limits and in case of the execution of the order, either in part or in full debit the CLIENT's Investment/Bank Account to the extent necessary to settle the obligations and credit Geojit's Account. The CLIENT agrees that CLIENT shall not be permitted to withdraw, issue a cheque or otherwise use the blocked and/or allocated funds in his Investment / Bank Account. The Bank reserves all its right to dishonour their instruction / Cheque that may be issued against the blocked amount. The CLIENT also understands and agrees that blocking of funds against their order will be given priority over all other instructions or cheques given by either the CLIENT or his authorised representative.
5. The CLIENT agrees that Geojit and the Bank may enforce any of the rights, duties and obligation arising under this Letter or any related document including the Power of Attorney either joints or independently, and nothing in this Letter shall be construed in a manner so as to restrict the right of Geojit and the Bank to initiate any action jointly.
6. The CLIENT agrees that in case the CLIENT has applied for shares in an Initial Public Offer / Public Offer through Geojit, the CLIENT shall not, without prior intimation and acknowledgment of Geojit, liaise with the

Registrar for the Initial Public Offer/Public Offer to change the details of the Demat Account, bank account and the Address on the Application Form provided to the Registrar by Geojit. The CLIENT further authorized Geojit to give standing instructions to the Registrar to reject such requests from the CLIENT. In event of any change in the details of the Demat Account, bank Account, Address of the CLIENT, etc., the CLIENT shall first update such changes with Geojit who shall liaise with the Registrar to update such changes and accordingly the refunds/allotments on the Applications shall be made. The CLIENT agrees that Geojit is hereby authorized to give instructions to the Depository Participant of the CLIENT to reject any request received from the CLIENT for changing the Bank Account details or updating any change relating to the Demat Account. The CLIENT further agrees that the CLIENT shall not close the Demat Account/Bank Account without prior notification to Geojit where an Application for initial Public Offer / Public Offer has been made on behalf of the CLIENT through Geojit and the CLIENT agrees that Geojit may Instruct the Depository Participant/Bank of the CLIENT to reject any such request received from the CLIENT.

In case an application is made for Initial Public Offer/Public Offer through Geojit, the CLIENT authorizes Geojit to collect on Client's behalf, the refund amount, if any, from the Company/Registrar and subsequently credit the same to CLIENT's Bank Account after set-off/adjustment of dues payable by the CLIENT on account of obligations incurred in connection with the application.

The CLIENT further agrees that Geojit shall be held responsible for non allotment of securities either fully or partly to the CLIENT, for any reason whatsoever Geojit shall not be held responsible in case due to some reason the bid/application/revision instruction sent by the CLIENT is not received by it, or if the bid/application/revision could not be uploaded to the Stock Exchange, or could not be sent to the Banker/Registrar to the issue Geojit shall not be held responsible for non receipt or delay in the correct receipt of refunds, if any, from the Registrar / Company. Geojit shall not be held responsible for incorrect Tax deduction at Source (TDS) by the Registrar / Company, if applicable, or for non receipt or delay in/incorrect receipt of TDS certificate, if any, from the Registrar/Company.

The CLIENT agrees that the aforesaid Power of Attorney executed by the CLIENT in favour of Geojit and the instructions provided by the CLIENT shall be treated as extending to making of the application for Initial Public Offer / Public Offer on behalf of the CLIENT, and further that Geojit may furnish certified copy of the Power of Attorney and other documents on behalf of the CLIENT to the Company / Registrar / any third party.

1. The CLIENT hereby opts to receive the contract notes for the trades executed for him/her, in an electronic form i.e. digitally signed contract notes. If the CLIENT does not wish to receive the contract notes in electronic format in future he/she will confirm the same in writing to the trading member.
2. Geojit shall cause to be displayed on the Website, the Terms and Conditions governing the purchase, sale or any other transactions in each of the Investment Products as and when they are introduced. Provided that Geojit shall be entitled to modify/alter the said Terms and Conditions and such a change shall be displayed on the Website so as to intimate such modifications / alteration to the CLIENT. The continued use of the Website by the CLIENT shall be deemed to be an acceptance by the CLIENT of the modified / altered Terms and Conditions.
3. The CLIENT hereby agrees to indemnify Geojit and the bank against any loss (actual or notional), costs, expenses etc, which may be suffered by Geojit and/or the Bank and their Group Companies, or against by claim, demand, action or proceeding that may be initiated against Geojit and/or the Bank, in connection with this Letter or non compliance of any applicable rules and regulations or arising out of or in connection with due to a breach of any of the CLIENT obligations under the CLIENT Declaration and/or this Letter.
4. Geojit and or the Bank may at any time amend this Letter of confirmation, by modifying or rescinding any of the existing provisions or conditions or by adding any new provision or condition, by conspicuously posting notice of such amendment or the amended text of the letter of Confirmation on the Website or by providing notice to CLIENT in writing or by an email. The continued use of Geojit's services after such notice shall constitute acknowledgment and acceptance of such amendment. Certain policies, and/or procedures may be further outlined on the Geojit's Website, if any, and by the CLIENT's use of the Website and services, the CLIENT agrees to be bound by any and all such postings.
5. The CLIENT shall not assign any right and obligations hereunder without first obtaining the prior written consent by an authorized officer of Geojit. Geojit and the Bank, may, however, assign their rights and obligations to any third person without the prior consent of the CLIENT.

6. The CLIENT agrees that the CLIENT would be able to exercise the right to close/freeze any of the accounts with Geojit only if there is no obligation pending to be met by the CLIENT in favour of either Geojit or towards any other third party through Geojit in any form.
7. The invalidity or unenforceability of any provisions of this Letter in any jurisdiction shall not affect the validity, legality or enforceability of the remainder of this Letter in such jurisdiction or the validity, legality or enforcement of this Letter, including any such provision, in any other jurisdiction, it being intended that a rights and obligations of the Parties hereunder shall be enforceable to the fullest extent permitted by law.
8. The CLIENT agrees that Geojit and/or the Bank may forthwith terminate this Letter of Confirmation by giving a notice to the CLIENT or posting the notice on the Website.
9. The CLIENT agrees that in event the CLIENT desires to terminate this letter of confirmation executed by the CLIENT in favour of Geojit and the Bank, the CLIENT shall give written notice to Geojit and the Bank of its intention to so do, at least 30 (thirty) days in advance and shall obtain written acknowledgment of the receipt of the notice from Geojit and the Bank. Such termination shall not have any effect on the transactions executed before the date of such notice of termination and the parties shall enjoy the same rights and shall have the obligations in respect of such transactions.
10. Any legal action or proceedings arising out of this Letter shall be brought in the courts or tribunals at Kochi in India and the CLIENT irrevocably submits to the exclusive jurisdiction of such courts and tribunals Geojit and/or Bank may, however, in their absolute discretion, commence any legal action or proceedings arising out of these terms and conditions in any other court, tribunal or other appropriate forum, and the CLIENT hereby consents to that jurisdiction.

I/We further confirm that the above testimonies are in addition to those confirmations given by me/us in the account opening form for opening the CLIENT account.

Place:.....

Date:.....

 (Full signature required)

In confirmation of the above

## RUNNING ACCOUNT AUTHORISATION

I maintaining a trading account with Geojit Financial Services Ltd. hereby authorise Geojit Financial Services Ltd. 34/659 – P, Civil Line Road, Padivattom, Kochi – 682 024 to operate my account on Running account basis.

I hereby authorise Geojit for the following with regard to my trading account for transactions in the Commodities/Securities markets that I have opted for and where Geojit continues holding membership.

1. To effect transfer of my credit balances in one exchange segment to the ledger or the credit of same and/or other exchange as may be applicable to meet the margin and/or settlement obligations on my accounts as necessitated.

I hereby declare that I have read and understood the general guidelines issued by exchanges to members on releasing funds and collateral payouts. However, being fully aware of the same, I have authorised Geojit to retain / utilise credits as mentioned above, for operational convenience.

2. To retain settlement credits in my account to settle/ release the credits or any such amount only on receipt of specific advice/instruction that can either be oral or in writing. The above is applicable to funds and collateral. On request, geojit shall transfer funds lying in credit with geojit within one working day, and collateral within three working days.
3. To retain and utilise the financial ledger credits (amounts) towards my obligations arising of trades executed through Geojit at any exchange – segment in my account. To retain and utilise the collateral towards my trading limits and margin obligations arising of trades executed through Geojit at any Exchange segment in my account. I understand herein that Geojit shall retain the absolute discretion on the acceptable list / mode of collaterals alongside the applicable haircut on them.
4. I understand that in respect of any derivative market transaction, apart from margin liability as on the date

of settlement, trading member may retain additional margins (maximum upto the percentage prescribed under the prevailing guidelines as per Exchanges / SEBI) to take care of any margin obligation arising in next days.

5. I authorise Geojit to retain a sum of Rs.10000 (net amount across segment and across stock exchanges) to address the administrative / operational difficulties in settling my account. In case there is no trading transaction during the month or quarter, as the case may be, funds will be fully settled.
6. I have opted to have settlement of funds and collaterals on a periodic basis and not to have a contract wise / bill wise / settlement wise transfer of funds between me and Geojit.
7. I am aware of my account is maintained on a Running account basis. The actual settlement of funds and collateral shall however be done by Geojit, at least once at such periodicity as prescribed by the Exchanges / SEBI.
8. This authorisation will be valid until it is revoked by me. I understand that the revocation of authorization shall be applicable immediately on receipt of request by Geojit at Head Office. It is understood that my account would be operated on a contract wise / bill wise / settlement wise basis and all rights and obligations shall be applicable accordingly, once the authorisation is revoked.
9. I we shall not make any claim whatsoever upon Geojit for Geojit standing guided by this authorisation in favour of maintaining my account on Running Account basis.
10. I shall prefer settlement of funds/collateral once in a calendar quarter ☐ or a calendar month ☐ [tick any one]. Such settlement will be done by Geojit on any day its discretion in a calendar month or quarter as the case may be.

 (Full signature required)

Name and Signature of the Client

Date.....

## NRI UNDERTAKING FOR NRE PIS ACCOUNT

To,  
Geojit Financial Services Ltd.  
34/659-P, Civil Line Road, Padivattom, Kochi-682024.

Sub: Submission of contract note to PIS Bank

Dear Sir,

I, Mr./Ms. ...., aged ....., S/D/W/  
of ....., residing at.....  
.....hereby agree and undertakes as follows:

1. Whereas I have registered with M/s. Geojit Financial Services Ltd, 34/659-P, Civil Line Road, Padivattom, Kochi-682 024, as an NRI client a per the agreement executed on ..... To be able to trade on the Indian Stock Exchanges.
2. Whereas the Securities and Exchange Board of India (SEBI) and the Reserve Bank of India (RBI) have promulgated special rules and regulations applicable to NRIs who trade on Indian Stock Exchanges.

I hereby agree and undertake the following:

3. I agree to submit the Contract notes to my Bank ..... Branch, within 24 hrs of said trades.
4. I understand and agree to abide by the SEBI/RBI rule that prohibit me from short-selling securities and netting of trades.
5. I understand and agree to abide by the RBI regulation which requires that my PIS bank account be fully pre-funded. I undertake to always ensure that my PIS bank account tied to my trading account will have clear credit balance to cover the combined value of the stock/s to be purchased brokerage and all applicable statutory charges before executing trades.
6. I undertake to abide by all other rules applicable to my trading in the Indian Stock Exchanges as an NRI, either existing or enjoined at a later date.
7. In the event of my committing a breach of any of the above described regulations, Geojit shall be at liberty to deactivate my trading account and I shall not raise any claim or dispute against Geojit Financial Services Ltd., for the said action.

Place.....

 (Full signature required)

Date.....

(Name & Signature of the Client / Authorised Signatory)

**FOR NRO NON-PIS CLIENTS****NRI UNDERTAKING - INVESTING UNDER NON - REPATRIATION BASIS**

To,  
 Geojit Financial Services Ltd.  
 34/659-P Civil Line Road, Padivattom  
 Kochi - 682024.

Sub: Undertaking as an NRI trading under NRO status

Dear Sir

I, Mr./Ms. .... aged .....

S/D/W of ..... residing at .....

here by agree and undertake as follows:

1. Whereas, I have registered with M/s Geojit Financial Services Ltd., 34/659-P, Civil Line Road, Padivattom, Kochi -682024 as an NRI Client under NRO status(Non – Repatriation basis)as per the KYC Terms and Conditions & Rights and Obligations executed on ..... to trade on the Stock Exchanges in India.
2. Whereas, the Securities and Exchange Board of India (SEBI) and Reserve Bank of India (RBI) have promulgated special rules and regulations applicable to NRIs who trade on Indian Stock Exchanges.
3. I affirm and agree to abide by the SEBI/RBI rules that prohibit short -selling securities and netting of trades.
4. I affirm and agree that the Sale / Maturity proceeds of the securities or units acquired shall be credited to my NRO account irrespective of the type of account from which the considerations for acquisition were paid.
5. I affirm and agree that the amount invested under this scheme and the capital appreciation thereon shall not be allowed to be repatriated abroad under any circumstances.
6. I affirm and agree that Geojit shall calculate and deduct the applicable taxes as per the prevailing tax norms in India and shall pay only the net amount after taxes to my NRO account for which TDS certificate shall be issued.
7. I shall intimate Geojit and give a suitable declaration of the cost and date of purchase of the securities held by me.
8. Further, I shall intimate Geojit about any change in the status of security holdings on account of corporate actions or otherwise (IPO/FPO, Rights, Buy back, ESOPs, off market transfers etc) to facilitate proper capital gains computations.
9. I shall, on demand, provide the proof of cost and date of acquisition of the shares so declared. Geojit shall have the right to disallow selling of shares for which I have not given complete declaration.
10. I understand and agree that Geojit can outsource the tax calculations and other related activities to a third party who may have access to my account/transactions besides levy service charges for providing such services.
11. I undertake and agree that I shall be entirely liable for any tax liabilities that arise on account of the transactions executed through Geojit and that I shall cooperate with Geojit in this regard.
12. I undertake and agree to pay in full all the dues, losses, liabilities, charges, taxes, fees, interest, penalty, fine, etc. that may arise on account of my trading activities with Geojit.
13. I undertake to abide by all the applicable rules, regulations, laws, notifications, circulars under FEMA, RBI, SEBI, Income Tax, government, ministries, etc.for NRO trading in the Stock Exchanges in India as an NRI, existing or as announced from time to time.
14. In the event of my committing a breach of any of the above described regulations, Geojit shall be at liberty to deactivate my NRO trading account and I shall not raise any claim or dispute against Geojit , for the said action.
15. I undertake and agree that in case I do not opt for receiving contract notes and other communications via email or in case where I have opted for receiving contract notes and other communication by email but Geojit is unable to send the same by email ( where the reason is beyond Geojits control) the additional charges applicable for sending contract notes/other communication in physical form, additional Demat AMC charges as well as any other related charges will be applied to my account.

Place: .....

 (Full signature required)

(Name & Signature of the Client/ Authorised Signatory)

Date: .....

# DECLARATION NON-REPATRIATION BASIS NRO SHARES

Sr. No.	Name of Co	ISIN	Date of acquisition	No of shares	Face Value	Acquisition Price	Total Cost	Mode of Acquisition (IPO,Bonus/Split / Amalgamation/De merger/ Secondary Market)
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								
11								
12								
13								
14								
15								
16								
17								
18								
19								
20								
21								
22								
23								
24								
25								

Name:

Date:

Signature:  (Full signature required)

## EQUITY SIP

### Terms and Conditions

'Equity SIP' - a facility offered by Geojit, through its website [www.geojit.com](http://www.geojit.com) and through branches, whereby a CLIENT can plan a systematic investment on equity stocks of his/her/its choice selected from the SIP Stock list, in a Stock Exchange of his/her/its choice i.e. National Stock Exchange of India Ltd (NSE) or Bombay Stock Exchange Ltd (BSE), on a pre-specified date, for a pre-specified amount or a pre-specified quantity at regular intervals over a period of time as selected by the CLIENT, or through branches upon CLIENT's instruction.

The terms and conditions set forth herein are in addition to and in *pari passu* and not in prejudice to the terms and conditions set forth in the Rights & Obligations and Additional Rights & Obligations documents for broking and other products / services as prescribed by SEBI and the receipt of which was duly acknowledged vide the Declaration which the CLIENT has executed with Geojit.

1. 'Equity SIP Request' - Instruction placed by the CLIENT on Geojit's website / or through branch authorizing Geojit to place buy orders in the CLIENT's account as per the necessary details i.e. the scrip, stock exchange, amount / quantity to be invested, frequency of investment, total time period vide the Equity SIP request, time of placing order, etc. submitted by the CLIENT or through the branch.
2. 'SIP Type' The CLIENT shall select either 'Amount based Equity SIP' or 'Quantity based Equity SIP' at the time of placing the Equity sip request.

'Amount based Equity SIP' is a SIP type wherein presupposed amount (or approximately the same) is invested in the CLIENTS desired scrip. The amount specified/instructed by the CLIENT as the case may be should be equal to or above the minimum amount defined by Geojit.

'Quantity based Equity SIP' is a SIP type wherein presupposed quantity of shares of CLIENT's desired scrip is purchased. In case of Quantity based S.P., the quantity would be as specified by the CLIENT. The quantity / instructed by the CLIENT as the case may be should be equal to or above the minimum amount defined by Geojit.

3. By opting for this facility, the CLIENT hereby authorizes Geojit to process / execute the Equity SIP Requests placed / instructed by the CLIENT.
4. 'Equity SIP Order'- After the CLIENT have provided the necessary detail's i.e. the scrip, stock exchange, amount / quantity to be invested, frequency of investment, total time period vide the Equity SIP request, subject to the terms and conditions, Geojit Shall place CLIENT's Equity SIP buy order in accordance with the details specified by the CLIENT. The order placed by Geojit as per the CLIENT's authorization vide the Equity SIP Request are called 'Equity SIP order'.

At the time of placement of CLIENT's Equity SIP Order, since quantity of shares has to be specified, in the case of 'Amount based Equity SIP' the same will be calculated by dividing the SIP amount specified by the CLIENT with the prevailing market price of the scrip (including upfront brokerage) at the time of Equity Order placement as per the Equity SIP Request.

5. In order to have smooth and uninterrupted execution of Equity SIP Orders, Geojit will provide Electronic Clearance Service (ECS) facility to be Clients through a vendor arrangement. The CLIENT shall according to his/her/it will and desire avail such facility for convenience and Geojit shall under no circumstance be liable to Clients for any failure of deficiency caused with respect to availing thereof.
6. Frequency means the time interval, after the start date of the 'Equity SIP', with which the CLIENT wish SIP orders to be placed in the CLIENT's account depending on the frequency specified by the CLIENT, Geojit shall place Equity SIP Orders at the defined intervals after the start date for the total period specified by the CLIENT. The First order will be placed on the start date specified by the CLIENT and thereafter orders would be placed at the frequency for the total period as per CLIENT's Equity SIP Request.
7. The CLIENT agrees to maintain sufficient balance in his Trading Account to meet the payment obligations of Geojit arising due to the execution of Equity SIP. In case there is no sufficient balance in the trading account orders will be placed to the extent of buying power, which at times may result in partial execution of SIP orders.
8. The CLIENT can place 'Equity SIP Request' at any time during the day and even post market hours. The CLIENT when placing the Equity SIP request shall specify a "start date" from when Equity SIP order placement will



Signature of CLIENT

commence. Geojit shall place the Equity SIP Order from the start date specified by the CLIENT. The orders would be placed on the basis of the 'frequency' and the total period chosen by the CLIENT in the Equity SIP Request. The orders would be placed on the start date and frequency dates specified by the CLIENT provided they are trading days.

If the 'start date' and the 'Equity SIP Request' dates are the same, the Order would be placed on the next trading day, if the Request is not placed by the CLIENT during the Normal Trading Hours. In case the start date fall or frequency dates fall on Trading holidays, then the orders would be placed by Geojit on the subsequent trading day. During a SIP order placement date, the time of order placement will be within the normal prescribed trading hours, the time of placement of orders being at the discretion of Geojit but within the time slot specified in the Equity SIP request and the CLIENT shall not raise any claim or complaint on the said execution time. The details of Equity SIP Order would be displayed on the site for the CLIENT's reference.

9. CLIENT can place multiple Equity SIP Requests in a day for different scrips or for the same scrip irrespective of whether the SIP requests are Amount based or Quantity based. There is no restriction on the number of scrips that the CLIENT can choose for Equity SIP request provided the scrips are enabled under the SIP stock list. However, separate Equity SIP requests must be placed for each scrip. The CLIENT can choose both, Quantity as well as Amount based Equity SIP request simultaneously for different scrips or the same scrip. The CLIENT will have to place two different SIP requests for each SIP type in each Scrip.
10. Geojit is merely the CLIENT's agent for facilitating placing of orders as per the instructions given by the CLIENT under the facility. Geojit does not have any role to play in the execution of trades after the Equity SIP Orders have been placed. Trade execution takes place at the Stock Exchange platform as per the order matching rules of the exchange. Geojit is not responsible for non execution and partial execution of orders. If the scrip has hit the ceiling limits on the Equity Order placement date the Order shall be treated as sent to the Stock Exchange but not executed.
11. Geojit may give portfolio based recommendations under this product based on its analysis. CLIENT shall have to take due diligence and caution before investing in those portfolios. Any loss or damage caused due to reliance thereon for which, Geojit shall be under no circumstance be responsible or liable.
12. Geojit may from time to time instigate changes in the recommended portfolio which will be informed to the CLIENT over email. CLIENT shall also have to make respective changes in their portfolio.
13. Equity SIP orders would be market orders and would be executed at the price prevailing in the market at the time of order placement.
14. Brokerage rates and applicable charges for Equity SIP transactions would be the same as those applied to delivery transactions in the Cash Market Segment.
15. Settlement of Equity SIP transactions would be done in the same manner as in the case of transaction in Cash Market segment.
16. The CLIENT has the option to cancel the 'Equity SIP Request' with at any time before Geojit has initiated Equity SIP Order placement on the order placement date. Once the Equity SIP Request for a given scrip has been cancelled all future. Orders to be placed against the Equity SIP Request would stand cancelled. Cancellation can be done by either logging to the site or by instructing the branch concerned.
17. Equity SIP shall continue until cancelled or completed irrespective of any number of installments of Equity SIP Order failing for insufficient buying power.

Shares brought in the Equity SIP are at par with the ones bought by the CLIENT in Cash Market Segment. The CLIENT has the right to sell / deal with the shares brought through Equity SIP as per the CLIENT's requirement. If the shares brought through Equity SIP are sold on the same day of Equity SIP Order placement the trade shall be treated to be an intra-day trade.

I have read and understood the relevant Terms and Conditions for Equity SIP.



Signature of CLIENT

Name .....

Place.....

Date.....

### Disclosures

1. In line with industry standards & practice and our business requirements, our employees are incentivized, financially or otherwise, for the business generated through various financial products & services offered. However, we do not have an incentive structure that encourages sale of products that are in conflict with your interests. Earnest efforts have been made to introduce the most comprehensive products & services, keeping our client's best interest in mind. This disclosure is being made voluntarily, towards our initiative to eliminate conflict of interest situations.
2. We do not offer any products with guaranteed returns.
3. Geojit disclose herewith that it currently does not undertake proprietary trading.

### FOR HO USE ONLY

### CLIENT DUE DILIGENCE CHECKLIST

1. Confirmed that the Client has been verified against the SEBI debarred list.
2. Confirmed that the Client has been verified against the UN Sanctions list.
3. The identity of the client does not match with those in the SEBI debarred list or the UN Sanctions list.  
☐ Does not Match    ☐ Does Match (tick whichever is applicable)
4. Action taken if the name is found matching

.....  
.....  
.....

### In case of FPI Clients Only

- a) IOSCO database verified. Confirmed that client is a resident of a country whose Securities Market Regulator is an Appendix- A signatory to IOSCO's Multilateral Memorandum of Understanding (MMOU) (tick whichever is applicable)    ☐ Yes    ☐ No

OR

- b) Confirmed that the client is a resident of a country who is a signatory to bilateral Memorandum of Understanding with SEBI (tick whichever is applicable)    ☐ Yes    ☐ No
- c) Checked the High Risk and Non-cooperative jurisdictions of the FATF Public Statements and confirmed that the client is not resident in a country falling within the High Risk and Non-cooperative jurisdictions of the FATF Statement (tick whichever is applicable)    ☐ Yes    ☐ No

(Notes: (i) If either (a) & (b) above or (c) above indicates "No", the account shall not be opened)

Name of Verifying Employee : .....

Employee Code : .....

Date Verified : .....

Signature : .....

**TRADING - CLIENT AUTHORIZATION TO THIRD PARTY**

(Minor cannot be appointed)

Non-mandatory

To  
 Geojit Financial Services Limited  
 34/659-P, Civil Line Road, Padivattom, Kochi-682024

I/We \_\_\_\_\_ Indian Resident/NRI, aged \_\_\_\_\_ years, S/o /D/o \_\_\_\_\_ residing at \_\_\_\_\_

being a client of Geojit Financial Services Ltd. with Trade Code \_\_\_\_\_ do hereby nominate, appoint and authorize Mr./Mrs./Ms. \_\_\_\_\_ aged \_\_\_\_\_ years S/o / d/o \_\_\_\_\_ residing at \_\_\_\_\_

\_\_\_\_\_ hereinafter referred to as "Authorised Person" whose signature is appended below, to act for me, as my attorney, in my name and on my behalf to do, execute and perform or caused to be done all or any of the acts or things as envisaged in the Agreements executed by me with Geojit Financial Services Ltd. and such things, hereinafter specifically mentioned.

1. To do transactions on my behalf in shares, securities, derivative contract and all other Products and/or services offered by Geojit.
2. To present cheques to meet the payment obligations arising out of the transactions done on my behalf and in my account.
3. To receive cheques on my behalf with regard to this.
4. To subscribe / unsubscribe to the Products and/or services introduced or offered by Geojit from time to time.

I request Geojit to act on the instructions of the Authorised Person. I agree, and undertake that Geojit shall not be held responsible / liable for actions / inactions arising out of the said instructions.

I shall indemnify Geojit for any costs, losses, expenses, penalties and outgoings including legal fees and expenses incurred or suffered by Geojit due to such authorization.

I agree and understand that Geojit does not have any means such as biometric passwords, etc. to confirm / authenticate the authorized person acting under this Authorization.

I agree and confirm that the said authorization shall be cancelled or revoked only upon furnishing an advance written notice of 30 (thirty) days to Geojit which notice shall bear an acknowledgement of receipt by Geojit in writing specifically addressed to me.

I hereby ratify and confirm and agree to ratify and confirm all acts, deeds or the trades done or cause to be done by the Authorised Person under this authority and shall be construed as acts, deeds or trades done by me.

Name of the Authorized Person (Self Certified Proof of Identity of the Authorized person to be submitted alongwith the said Authorization)

(Signature of authorised person)

(Full signature required)

Address of the authorised person :  
 Landline number of authorised person :  
 Mobile number of authorised person :  
 Email ID of authorised person :  
 PAN of the authorised person :  
 Date of birth of the authorised person : DD MM YYYY

Photo of the  
 Authorized person  
 Signature of the  
 Authorized person across  
 the photo

Any one of the following documents may be submitted as Proof of Identity:  
 Passport Copy  
 Driving License  
 Pan Copy

Place:

Date:

Name:

 (full signature required)  
 Signature of the Client

**DECLARATION CUM UNDERTAKING FOR MOBILE NUMBER**

To,  
 Geojit Financial Services Ltd.  
 34/659-P Civil Line Road, Padivattom  
 Kochi - 682024.

Dear Sirs,

**Sub : Mobile Number Declaration & Registration**

**Trading Account No:** \_\_\_\_\_

**DP ID and Client ID:** \_\_\_\_\_

I do hereby confirm and declare that my mobile number(s) is/are follows:

Mobile No.									
------------	--	--	--	--	--	--	--	--	--

I authorize GFSL to provide me any Information / Alert / SMS / Call pertaining to my Trading & Demat account maintained with GFSL or pertaining to the Financial markets in general, even if this number is registered by me with NDNC List / NCPR / DND list of the service provider (s).

- I understand and agree that the above includes communication about orders & trades, margins, ledger balances, funds movement & balances, payment notice / bill outstanding, market session timings, service & utilities linked to my account, research advice and updates based on technical and fundamentals, including economic / market developments & announcements.
- I understand and agree that all the above shall be considered as Transaction Messages with regard to my account.

In case of my account being enabled in the commodities segment, then I understand that messages may continue till midnight given that the markets remain open till then.

I further undertake to keep you informed about the changes in the mobile number, and non-receipt of such updation from my end may be construed that the above given mobile number is valid and subsisting.

I also understand and agree that in the event of me not continuing an account with GFSL or keep my account dormant or ever request to temporarily suspend the account, the Research advice and updates may continue, unless I give in writing to GFSL to that extent to stop such communications.

Yours truly,

 (full signature required)

Signature

Date:

Disclaimer: The research calls are based on technical and fundamental analysis and does not in any manner assure or guarantee any profits out of the trades based on the same. GFSL herein insist upon the client to kindly read through the RDD carefully before dealing in securities and commodities market.

## ACKNOWLEDGEMENT

### Geojit Financial Services Limited

34/659-P, Civil Line Road, Padivattom, Kochi-682024

Dear Sir,

I hereby acknowledge receipt of the standard KYC documents (Mandatory and Non-mandatory) set from you:-

1. Rights and Obligations of Stock Broker, Sub-brokers and Clients
2. Rights and Obligations of Member, Authorised Person and Clients
3. Risk Disclosure Document (RDD) of securities and commodity market
4. Rights & Obligation of Depository Participants & Beneficial Owner
5. Rights and Obligations of Stock Broker & Clients For Margin Trading Facility (MTF)
6. Guidance note on securities market- Do's and Don'ts for investors
7. Guidance note on commodity market- Do's and Don'ts for investors
8. Geojit Policies and Procedures
9. Additional Rights and Obligations of Stock-broker/Member/Sub-broker/Authorised Person and Client.
10. Authorisation to debit funds from client designated bank account to meeting fund or systematic SIPs.

I state that I have read and understood all above documents and these documents are binding upon me.

I also acknowledge receipt of following document.

1. Customer awareness document on PMLA

Thanking you,

Signature of the Client :  (Full signature required)

Date: .....

Note: The above mentioned standard set of KYC documents, which are part of the Stock broking, commodity and depository account opening kit is made available in our website [www.geojit.com](http://www.geojit.com) in 15 regional languages for your ease reference.

### Disclosures

1. In line with industry standards & practice and our business requirements, our employees are incentivized, financially or otherwise, for the business generated through various financial products & services offered. However, we do not have an incentive structure that encourages sale of products that are in conflict with your interests. Earnest efforts have been made to introduce the most comprehensive products & services, keeping our client's best interest in mind. This disclosure is being made voluntarily, towards our initiative to eliminate conflict of interest situations.
2. We do not offer any products with guaranteed returns.
3. Geojit disclose herewith that it currently does not undertake proprietary trading.


## CASH RECEIPTS & PAYMENTS STRICTLY NOT ALLOWED

Clients are requested to make payments to "Geojit Financial Services Ltd." by Cheques/Account transfers. In case of Demand Drafts / Pay-Orders, client to substantiate that the same is drawn favouring Geojit Financial Services Ltd. with his/her/their permission and knowledge. The Demand Drafts/Payorders must be accompanied by DD Slip or Bank Letter or Bank Statement etc. clearly showing that DD is issued from Client's Bank account only.

– Intentionally left blank –

**NACH Important Instructions:**

1. This mandate is an authorization to debit funds from your designated Bank account. Please ensure that it is signed by the respective account holder(s) of the Bank.
2. Signature(s) on the mandate should be as it appears in the Bank records of the Client(s). All holders as appearing in the Bank records would be required to sign the mandate.
3. Though it is signed, it's not necessary that mandate gets registered at Banks end as it all depends on the respective Bank's inclusion in NACH list. Also the Bank may reject the mandate based on their validations.
4. This mandate can be linked only to the Bank account Registered in your Trading account with us.
5. This mandate can take a maximum time of 20 days to register at Bank's end, so any requirement of funds during this period should be taken care of.
6. At any time you have the option to cancel this mandate.
7. The amount mentioned here is the maximum limit Geojit can request to draw from your Bank account. Please ensure that the funds remain in the Bank account at the time of collection.
8. This is for the use of Equity and Mutual Fund SIPs, Margin payments ,collecting of MTM debit for derivative trades and for collecting charges on depository services.
9. Write the maximum amount to be used for all your SIPs.

Debit mandate form NACH / ECS / DIRECT DEBIT									
		UMRN						Date	
		Sponsor Bank Code						Utility Code	
Tick (✓) <input checked="" type="checkbox"/> CREATE <input type="checkbox"/> MODIFY <input type="checkbox"/> CANCEL		I/We hereby authorize <b>Geojit Financial Services Ltd</b>		to debit (tickV)		<input type="checkbox"/> SB /CA /CC /SB-NRE /SB-NRO /Other			
		Bank a/c number							
with Bank				IFSC				or MICR	
an amount of Rupees								₹	
FREQUENCY		<input checked="" type="checkbox"/> Mthly <input checked="" type="checkbox"/> Qtly <input checked="" type="checkbox"/> H-Yrly <input checked="" type="checkbox"/> Yrly <input checked="" type="checkbox"/> As & when presented		DEBIT TYPE		<input checked="" type="checkbox"/> Fixed Amount <input checked="" type="checkbox"/> Maximum Amount			
Reference 1				Phone No.					
Reference 2				Email ID					
I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank.									
PERIOD		From <table border="1" style="display: inline-table; width: 100px; height: 20px;"></table> To <table border="1" style="display: inline-table; width: 100px; height: 20px;"></table> Or <input type="checkbox"/> Until Cancelled		1. _____ 2. _____ 3. _____					

\* This is to confirm that the declaration has been carefully read, understood & made by me/ us. I am authorizing the User entity / corporate to debit my account.

\* I have understood that I am authorized to cancel / amend this mandate by appropriately communicating the cancellation / amendment request to the User entity / corporate or the bank where I have authorized the debit.

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For more details, please contact:  
Toll Free: 1800 425 5501 / 1800 103 5501  
Paid Line: +91 484 411 4306

[www.geojit.com](http://www.geojit.com)



# Individual Client Relationship Form

<b>Client Type</b>	<input type="checkbox"/> <b>PNB Bank Client</b>	<input type="checkbox"/> <b>Other Bank Alliance Client</b>
<b>Account Type</b>	<input type="checkbox"/> <b>Online Account</b>	<input type="checkbox"/> <b>Offline Account</b>
<b>Client's Risk Assessment Profile</b>	<input type="checkbox"/> <b>Low</b>	<input type="checkbox"/> <b>Medium</b> <input type="checkbox"/> <b>High</b>

[illegible][illegible][illegible][illegible]

<b>Bank Name</b>		<b>Drawn On</b>	
<b>Account No.</b>		<b>Date of cheque Deposit</b>	
<b>CMS Deposit Slip No.</b>			

<b>Source/FOS/Agent/Business Associate Code</b>	
<b>FOS/Agent/BA Name</b>	
<b>Relationship Manager Name</b>	
<b>Relationship Manager Employee Code</b>	

## INDEX OF DOCUMENTS

### MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

Sr. No.	Document Name	Brief significance of the document	Page No
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent. B. Document captures the additional information about the constituent relevant to trading account and DP.	1 to 7
2	Rights & Obligations	A. Document stating the Rights and Obligations of stock broker/trading member, sub-broker/A.P. and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading). B. NSDL-DP-Rights & Obligations of Beneficial Owner & Depository Participant	Separate copy provided to client. Also made available at <a href="http://www.idbicapital.com">www.idbicapital.com</a>
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
4	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
5	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) including tariff for DP Services.	
6	FATCA/CRS Form	Information required from Client pursuant to 1 GA signed by government of India to implement FATCA and under common reporting standards of G20.	8 - 9
7	Policies and Procedures	Document describing significant policies and procedures of IDBI Capital.	10 - 11
			12 - 14

### VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

1	Voluntary Terms & Conditions	Document captures Additional Voluntary Terms & Conditions specific to IDBI Capital for operational efficiency	15 to 27
2	Running Account Letter	Authorisation from Client for maintaining account on running account basis	27
3	Terms & Conditions for Trading products	The document details the terms and conditions applicable when clients select a specific product/facility offered by IDBI Capital	28
4	Demat debit and pledge instructions	Execution of Demat Debit and Pledge Instruction( DDPI) for transfer of securities towards deliveries / settlement obligations and pledging / repledging of securities	28 - 29
5	Mandate Holder (Bank Mandate)	Addition of Mandate holder in respect of existing Bank Account.	31 - 33

### IDBI Capital Markets & Securities Ltd.

SEBI Registration No.		Registered / Correspondence office address
BSE	INZ000007237 DATED 29-4-2015	6th Floor, IDBI Tower, WTC Complex, Cuffe Parade, Colaba, Mumbai - 400 005. Tel : 022-22171700 FAX : 22151787 Website : <a href="http://www.idbicapital.com">www.idbicapital.com</a> Trading Portal : <a href="http://www.idbidirect.in">www.idbidirect.in</a>
NSE	INZ000007237 DATED 29-4-2015	
NSDL	IN-DP-676-2022	









For any Grievance/Dispute please contact IDBI Capital Markets & Securities Ltd. at 6th Floor, IDBI Tower, WTC Complex, Cuffe Parade, Colaba, Mumbai - 400 005. Telephone : 022-3913 5001, E-mail ID : [redressal@idbicapital.com](mailto:redressal@idbicapital.com)

	Name	Telephone	EMAIL ID
Compliance Officer	Ms. Christina D'souza	022-22171700	<a href="mailto:compliance@idbicapital.com">compliance@idbicapital.com</a>
MD & CEO	Mr. Kamal Kant Upadhyay	022-22171700	<a href="mailto:md@idbicapital.com">md@idbicapital.com</a>

In case not satisfied with the response, please contact the concerned Stock Exchanges

	Email	Telephone	FAX
BSE	<a href="mailto:is@bseindia.com">is@bseindia.com</a>	91-22-2272 8097	91-22-2272 3677
NSE	<a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a>	91-22-2659 8190	91-22-2659 8191

## IMPORTANT NOTE

 <b>FH</b> Signature of Client / First Holder	 <b>SH</b> Signature of Second Holder	 <b>TH</b> Signature of Third Holder	 Signature of Introducer
 <b>G</b> Signature of Guardian	 Authorised Signatory of Member	 Signature of First Witness	 Signature of Second Witness

## IMPORTANT INSTRUCTIONS

1. All details to be filled in Capital Block letters in Black / Blue Ink Only.
2. Email ID & Mobile number is mandatory for account related passwords and transaction details.
3. Corrections in the KYC form should be counter signed. Do not use whitener anywhere in the form.
4. Strike off whichever option in the account opening form is not applicable.
5. All Originals to be produced for physical verification.
6. Name & address of the applicant mentioned on the KYC form should match with the documentary proof submitted.
7. If correspondence & permanent address are different, then proofs for both have to be submitted.
8. NRI resident of United States of America are not permitted to open a trading account.

## KYC CHECKLIST ( PLEASE TICK WHEREVER APPROPRIATE - COPIES OF ALL DOCUMENTS SHOULD BE SELF ATTESTED )

<b>Important Points</b>	1. Self attested copy of PAN card is mandatory	
	2. One colored front face photo (passport size)	
	3. Any POI or POA is in regional language, then translation into English is required	
	4. Sole proprietor must make the application in his individual name & capacity	
<b>Proof of Identity (POI)</b> (Any One)	1. Unique identification number (UID) (Aadhaar)	
	2. Valid Passport (Name, Address & Photo page)	
	3. Voter ID (front and back)	
	4. Valid Driving License (Name, Address & Photo page)	
	5. PAN Card	
	6. Other (Pls. Specify) _____	
<b>Proof of Address (POA)</b> (Any One)  Permanent / Correspondence	1. Valid Passport (Name, Address & Photo page)	
	2. Voter ID (front and back)	
	3. Valid Driving License (Name, Address & Photo page)	
	4. Unique identification number (UID) (Aadhaar)	
	5. Electricity Bill (not more than 3 months old)	
	6. Resident Landline Tel. Bill (not more than 3 months old)	
	7. Registered Flat Sale Agreement of Residence	
	8. Registered Lease/Leave & License Agreement	
	9. Ration Card      12. Other (Pls. Specify) _____	
<b>Bank Proof With MICR / IFSC Code</b> ( First Holder Only )	1. Bank Statement / Bank Passbook with cheque leaf (not more than 3 months old)	
	2. Banker's Certificate on letter head of the Bank (ORIGINAL)	
	3. Original Cancelled Personalized Cheque leaf	
<b>Demat Proof</b> (Any One) ( First Holder Only)	1. Client Master (CML copy duly attested by DP)	
	2. DP Statement / Transaction cum Holding Statement	
<b>Proof of Income</b> (Any One)  Mandatory for F&O and Currency Segments ( First Holder Only )	1. Copy of ITR Acknowledgement	
	2. In case of salary income - Salary Slip ( not more than 2 months old )	
	3. Net-worth certificate (Not more than 1 year old)	
	4. Copy of Demat Account Holding Statement	
	5. Bank Account Statement for last 6 months reflecting income	
	6. Annual Accounts	
	7. Any other relevant documents      8. Self declaration with Proof	



## KNOW YOUR CLIENT (KYC) | APPLICATION FORM (FOR INDIVIDUALS ONLY)

Application No. :

Please fill in ENGLISH &amp; in BLOCK LETTERS with black/blue ink &amp; tick the appropriate options

## A. PERSONAL DETAILS

1. Name of Applicant	FIRST NAME	MIDDLE NAME	LAST NAME
2. Maiden Name	FOR MARRIED WOMEN ONLY		
3. Father's / Spouse Name	FIRST NAME	MIDDLE NAME	LAST NAME
4. Mother Name			
5. a. Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender		
b. Date of birth	DD / MM / YYYY	c. Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others
6. Nationality	<input type="checkbox"/> Indian	7. Status	<input type="checkbox"/> Resident Individual
	<input type="checkbox"/> Other		<input type="checkbox"/> Non Resident
	Please specify,		<input type="checkbox"/> Foreign National
8. PAN	FORM - 60		

9. Specify the proof of identity submitted :

## B. ADDRESS DETAILS

1. Residence / Permanent Address			
City/Town/Village	District		
Pin Code	State	Country	
2. Contact/Mobile No	Tel (Res.)		
Tel (Off.)	Email id		
3. Specify the proof of address submitted for Residence / Permanent Address:			
4. Current/ Correspondence Address (if difference from above mandatory. For Non-resident applicant mandatory to specify overseas address)			
City/Town/Village	District		
Pin Code	State	Country	

## 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.

Place		Signature of Applicant	FH 2/33
Date	DD / MM / YYYY		

## FOR OFFICE USE ONLY

I hereby declare that I have met the client personally and verified the person with the photo provided in account opening form (In Person Verification) and have verified all the proofs with original (OSV). I am aware of Civil and Criminal liability that may devolve upon me (irrespective of whether I remain in employment or not) as per law and Company Policies, in the event if false declaration to this effect.

I hereby declare that I have made the client aware of 'Policy & Procedures', Tariff Sheet, 'Rights & Obligations', RDD, Guidance Note and all the non-mandatory documents. Any change in the 'Policy & Procedures', 'Rights & Obligations', RDD and Guidance Note would be made available on our website [www.idbicapital.com](http://www.idbicapital.com), for the information of the clients.

Details of Employee	Documents verified with Originals	Client Interviewed By & In-Person Verification done by	
Name & E Code			
Designation			
Date	DD / MM / YYYY	DD / MM / YYYY	
Signature			

UCC Code allotted to the Client \_\_\_\_\_

Signature of Authorised Signatory



IDBI Capital Markets &amp; Securities Ltd.

SECOND HOLDER

1 - PART - A



\* K Y C 2 \*



## KNOW YOUR CLIENT (KYC) | APPLICATION FORM (FOR INDIVIDUALS ONLY)

Please fill in ENGLISH &amp; in BLOCK LETTERS with black/blue ink &amp; tick the appropriate options

Application No. :

## A. PERSONAL DETAILS

1. Name of Applicant	FIRST NAME	MIDDLE NAME	LAST NAME
2. Maiden Name	FOR MARRIED WOMEN ONLY		
3. Father's / Spouse Name	FIRST NAME	MIDDLE NAME	LAST NAME
4. Mother Name			
5. a. Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender		
b. Date of birth	DD / MM / YYYY	c. Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others
6. Nationality	<input type="checkbox"/> Indian	7. Status	<input type="checkbox"/> Resident Individual
	<input type="checkbox"/> Other		<input type="checkbox"/> Non Resident
	Please specify		<input type="checkbox"/> Foreign National
8. PAN	FORM - 60		

## PHOTOGRAPH

Please affix your recent passport and sign across it

9. Specify the proof of identity submitted :

## B. ADDRESS DETAILS

1. Residence / Permanent Address			
City/Town/Village	District		
Pin Code	State	Country	
2. Contact/Mobile No	Tel (Res.)		
Tel (Off.)	Email id		
3. Specify the proof of address submitted for Residence / Permanent Address:			
4. Current/ Correspondence Address (if difference from above mandatory. For Non-resident applicant mandatory to specify overseas address)			
City/Town/Village	District		
Pin Code	State	Country	

## 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.

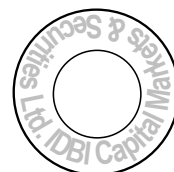
Place		Signature of Applicant
Date	DD / MM / YYYY	

## FOR OFFICE USE ONLY

I hereby declare that I have met the client personally and verified the person with the photo provided in account opening form (In Person Verification) and have verified all the proofs with original (OSV). I am aware of Civil and Criminal liability that may devolve upon me (irrespective of whether I remain in employment or not) as per law and Company Policies, in the event if false declaration to this effect.

I hereby declare that I have made the client aware of 'Policy & Procedures', Tariff Sheet, 'Rights & Obligations', RDD, Guidance Note and all the non-mandatory documents. Any change in the 'Policy & Procedures', 'Rights & Obligations', RDD and Guidance Note would be made available on our website [www.idbicapital.com](http://www.idbicapital.com), for the information of the clients.

Details of Employee	Documents verified with Originals	Client Interviewed By & In-Person Verification done by
Name & E Code		
Designation		
Date	DD / MM / YYYY	DD / MM / YYYY
Signature		



# 1 - PART - B

## A.DETAILS OF ACCOUNT HOLDER(S)

Account holder(s)	Sole / First Holder	Second Holder	Third Holder
Name			
Occupation	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Forex Dealer	<input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Please specify; _____) <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Forex Dealer	<input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Please specify; _____) <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Forex Dealer

## B.TYPE OF ACCOUNT

☐ Ordinary Resident      ☐ NRI-Repatriable      ☐ Foreign National      ☐ NRI-Non Repatriable      ☐ Promoter  
☐ Qualified Foreign Investor      ☐ Margin      ☐ Others (Please specify) \_\_\_\_\_

## C. IN CASE OF NRIs/ FOREIGN NATIONALS

RBI Approval Reference Number		RBI Approval date	DD / MM / YYYY
-------------------------------	--	-------------------	----------------

## D. BANK ACCOUNT DETAILS (BANK 1 WILL BE CONSIDERED FOR PAYOUT OF FUNDS)

Bank 1 Details		Bank 2 Details ( Additional Bank Details )
Bank Name		
Bank Address		
Account No.		
City/Town /Pincode		
Account Type	Savings/Current/Others in case of NRE/NRO	Savings/Current/Others in case of NRE/NRO
MICR Code		
IFSC Code		
UPI Code		

## E. DEPOSITORY ACCOUNT DETAILS

	DP 1 Details	DP 2 Details
Depository	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL
DP Name		
Client Name		
DP ID	IN300079	
BO ID		

## F. TRADING PREFERENCES

Exchange	Segment	Signature of the Applicant
NSE	Cash	FH 3/33
NSE	F&O	FH 4/33
NSE	Currency Derivatives	FH 5/33
BSE	Cash	FH 6/33
BSE	F&O	FH 7/33
BSE	BSE Star Mutual Fund/ Distribution	FH 8/33

In case of allowing a client for trading on any other Exchange at a later date, which is not selected now, a separate consent letter is required to be obtained by the Member from client and to be kept as enclosure with this document

**G. INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002**

Gross Annual Income	<input type="checkbox"/> Below 1 lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> >25 Lacs				
	Net Worth in ₹ <small>(*Net worth should not be older than 1 year)</small> as on date DD / MM / YYYY				
Is the Client Politically Exposed Person (PEP) or Related to a PEP <input type="checkbox"/> Yes <input type="checkbox"/> No					

**H. INVESTMENT / TRADING EXPERIENCE**

Number of years of investment / trading experience      Years

**I. EDUCATIONAL QUALIFICATION**


☐ UNDER GRADUATE    ☐ GRADUATE    ☐ POST GRADUATE    ☐ PROFESSIONAL    ☐ Others \_\_\_\_\_ ( Please Specify )

**J. PAST ACTIONS**

Details of any action / proceedings initiated / pending / taken by SEBI / Stock Exchange / Security Exchange / any other authority against the client during the last 3 years:

☐ No    ☐ Yes    If yes, please specify

**K. INTRODUCER**

Status of Introducer	<input type="checkbox"/> Employee <input type="checkbox"/> Existing Client <input type="checkbox"/> Others (Specify):
Introducer Name:	Emp/Client Code:
Address:	
Mobile No:	Signature of the Introducer 

**L. DEALING THROUGH AUTHORISED PERSON (AP) / OTHER STOCK BROKERS**

If Yes, please specify:

Name of Stock Broker	Client Code (as given by other broker)
Name of Exchange	

Details of disputes/dues pending from / to such stock broker:

Whether you are a Member / AP of any Exchange

If yes, please provide SEBI/Exchange registration no.

**M. STANDING INSTRUCTIONS**

Whether you wish to receive Physical Contract Note (PCN) or Electronic Contract Note (ECN)		<input type="checkbox"/> Electronic <input type="checkbox"/> Physical
Whether you wish to avail of the facility of internet trading/wireless technology		<input type="checkbox"/> Yes <input type="checkbox"/> No
* SMS Alert facility: (mandatory)	First Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No
	Second Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No
	Third Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No
Mode of receiving Statement of Account/ Retention Statement		<input type="checkbox"/> Electronic <input type="checkbox"/> Physical
I hereby declare that the mobile no. or email id provided by me belong to	Me	My family - Relationship
	<input type="checkbox"/> Mobile <input type="checkbox"/> Email ID <input type="checkbox"/> Both	<input type="checkbox"/> Spouse <input type="checkbox"/> Dependent children <input type="checkbox"/> Dependent parents <input type="checkbox"/> Mobile <input type="checkbox"/> Email ID <input type="checkbox"/> Both

**N. GST REGISTRATION DETAILS ( IF AVAILABLE )**

Registration No :	Name of the State :
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**GUARDIAN DETAILS ( WHERE SOLE HOLDER IS MINOR ):**

[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]

Guardian Name	PAN Card
Relationship of guardian with minor	
Address:	
	Mobile No:

## NOMINATION OPTION

- ☐ I/We wish to make a nomination.  
[ Details are provided in Nomination Form Prescribed by SEBI ]
- ☐ I/We do not wish to opt out of make a nomination.  
[ Declaration Form opting out of nomination as prescribed by SEBI ]

## MODE OF OPERATIONS FOR JOINT ACCOUNTS

- ☐ Jointly
- ☐ Anyone of the holder or survivor(s)

If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operations such as transfer of securities including Inter-Depository Transfer, pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and / or securities and / or specific number of securities will be permitted.

## DECLARATION

1. The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts.
2. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we 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 / we are aware that I/we may be held liable for it.
3. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations.
4. I/We further confirm having read & understood the contents of the 'Policies & Procedure', 'Rights & Obligations' document(s), 'Risk Disclosure Document & Do's & Don'ts - Guidance note. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on member's designated website i.e www.idbicapital.com

### Notes:

1. All communication shall be sent at the address of the Sole/First holder only.
2. Thumb impressions must be attested by witness or a Magistrate or a Notary Public or a Special Executive Magistrate
3. Signatures other than English or Hindi or any of the other language not contained in the 8<sup>th</sup> Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
4. The nomination and Declaration form may be signed using e-Sign facility or wet signature and in these cases, witness will not be required.
5. For receiving Statement of Account in electronic form:
  - I. Client must ensure the confidentiality of the password of the email account.
  - II. Client must promptly inform the Participant if the email address has changed.
  - III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
6. In case of joint account, on death of any of the joint account holders, the surviving account holder(s) has to inform Participant about the death of account holder(s) with required documents within one year of the date of demise.
7. In case if 'first holder' is selected, the communication will be sent as per the preference mentioned at Sr. No. 4. In case 'All joint account holders' is opted, communication to first holder will be sent as per the preference mentioned at Sr. No. 4 and communication to other holders will be in electronic mode. The default option will be communication to 'first holder', if no option selected.
8. Strike off whichever is not applicable.

FH  
9/33

(First/Sole Holder Signature)

SH  
3/9

(Second Holder Signature)

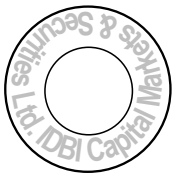
TH  
1/7

(Third Holder Signature)

## FOR OFFICE USE ONLY

I hereby declare that I have met the client personally and verified the person with the photo provided in account opening form (In Person Verification) and have verified all the proofs with original (OSV). I am aware of Civil and Criminal liability that may devolve upon me (irrespective of whether I remain in employment or not) as per law and Company Policies, in the event if false declaration to this effect.

I hereby declare that I have made the client aware of 'Policy & Procedures', Tariff Sheet, 'Rights & Obligations', RDD, Guidance Note and all the non-mandatory documents. Any change in the 'Policy & Procedures', 'Rights & Obligations', RDD and Guidance Note would be made available on our website www.idbicapital.com, for the information of the clients.

Details of Employee	Documents verified with Originals	Client Interviewed By & In-Person Verification done by	
Name & E Code			
Designation			
Date	DD / MM / YYYY	DD / MM / YYYY	
Signature			

IDBI Capital Markets & Securities Ltd., 5<sup>th</sup> &  
6<sup>th</sup> Floor, IDBI Tower, Cuffe Parade, Mumbai  
– 400 005

**FORM FOR NOMINATION**

(To be filled in by individual applying singly or jointly)

Date	D	D	M	M	Y	Y	Y	Y	DP ID	I	N							Client ID										
------	---	---	---	---	---	---	---	---	-------	---	---	--	--	--	--	--	--	-----------	--	--	--	--	--	--	--	--	--	--

UCC / (10 digit) Trading client code

I/We wish to make a nomination. [As per details given below]

**Nomination Details**

I/We wish to make a nomination and do hereby nominate the following person (s) who shall receive all the assets held in my / our account in the event of my / our death.

Nomination can be made upto three nominees in the account.		Details of 1 <sup>st</sup> Nominee		Details of 2 <sup>nd</sup> Nominee		Details of 3 <sup>rd</sup> Nominee	
1	Name of the nominee(s) (Mr./Ms.)						
2	Share of each Nominee Equally <small>[If not equally, please specify percentage]</small>	%		%		%	
Any odd lot after division shall be transferred to the first nominee mentioned in the form.							
3	Relationship With the Applicant ( If Any)						
4	Address of Nominee(s) City / Place: State & Country: PIN Code						
5	Mobile / Telephone No. of nominee(s)						
6	Email ID of nominee(s)						
7	Nominee Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID						

Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:

8	Date of Birth {in case of minor nominee(s)}						
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}						
10	Address of Guardian(s) City / Place: State & Country: PIN Code						
11	Mobile/ Telephone no. of Guardian						
12	Email ID of Guardian						
13	Relationship of Guardian with nominee						
14	Guardian Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID						

Name(s) of holder(s)		Signature(s) of holder*
Sole / First Holder (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

\* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

Note:

This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

<b>To</b>  <b>IDBI Capital Markets &amp; Securities Ltd. 5<sup>th</sup> &amp; 6<sup>th</sup></b> <b>Floor, IDBI Tower,</b> <b>Cuffe Parade, Mumbai -400 005</b>	Date	D	D	M	M	Y	Y	Y	Y
UCC / (10 digit) Trading Client Code <div style="border: 1px solid black; width: 100px; height: 20px; margin-top: 5px;"></div>									
DP ID	I	N							
Client ID (only for Demat account)									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.									
<b>Name and Signature of Holder(s)*</b>									
1. _____ 2. _____ 3. _____									

\* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

## CARD RATE - TARIFF SHEET

Account Opening Charges	Rs. 500
Delivery Brokerage (per leg)	0.50%
Square-off Brokerage (Per leg)	0.05%
Futures Brokerage (Per leg)	0.05%
Options Brokerage (Per lot Per leg)	Rs. 100
Currency Derivatives Options Delivery Brokerage (Per lot Per leg)	Rs. 20
Currency Derivatives Futures Delivery Brokerage (Per lot Per leg)	Rs. 20
Currency Derivatives Options Square-off Brokerage (Per lot Per leg)	Rs. 10
Currency Derivatives Futures Square-off Brokerage (Per lot Per leg)	Rs. 10
Delivery/Intraday Transactions upto Rs 1000/-	2.5%

## MARGIN PLAN - TARIFF SHEET (w.e.f 16-06-2016)

Slab Selected ( Please Tick )	Account Opening Charges	Expected Brokerage (Rs.)	Margin	Delivery	Sq. off	Futures	Options ( per Lot per Leg )
<input type="checkbox"/>	NIL	50000/-	1000000	0.10%	0.01%	0.01%	Rs. 10/-
<input type="checkbox"/>	NIL	30000/-	500000	0.20%	0.02%	0.02%	Rs. 20/-
<input type="checkbox"/>	NIL	20000/-	300000	0.25%	0.03%	0.03%	Rs.25/-
<input type="checkbox"/>	NIL	10000/-	100000	0.30%	0.03%	0.03%	Rs. 30/-
<input type="checkbox"/>	NIL	6000/-	50000	0.35%	0.04%	0.04%	Rs. 50/-
<input type="checkbox"/>	NIL	7000/-	25000	0.40%	0.04%	0.04%	Rs. 60/-

## DEPOSITORY FEE STRUCTURE (With Effect from May 1, 2012)

Nature of Service	DP charges
Annual Maintenance Charges	Free for the First Year, AMC Rs.350/- from 2nd year onwards
Transaction charges for DP – Debit Transaction (For Online as well as Offline clients)	Rs.10/- per scrip
Market/Off-market/Inter-depository – Debit Transaction (Physical DIS submitted to IDBI Capital)	Rs.30/- or 0.04% of Market Value whichever is higher (Maximum Rs.500/- per scrip)
Dematerialisation	Rs. 3 per certificate
Postage for Dematerialisation	Rs. 50/- per Remat Request
Rematerialisation	
Pledge Creation	0.05% of Market Value Or Rs.25/- per transaction whichever Higher (Maximum Rs.500/- per scrip)
Pledge Closure	
Pledge Invocation	0.15% of Market Value Or Rs.25/- per transaction whichever Higher (Maximum Rs.500/- per scrip)

### **Notes:**

- 1) Concessional brokerage rates as mentioned above would be applicable from activation of Plan after receipt of margin amount.
- 2) The Concessional brokerage shall be initially applicable for a period of 12 months only.
- 3) On expiry of the each 12 month period, if minimum brokerage for last 12 months period exceeds brokerage given in the table above, the discounted rate of brokerage would continue for a further period of 12 months.
- 4) If minimum brokerage as given in the table above is not achieved in a 12 month period, Card Rate Plan shall be applicable after a 12 months of activation of the Plan or the last 12 month period as opted by you or in case of interim withdrawal of margin.
- 5) Upgradation of Plan is permitted only if the client deposits the entire margin amount upfront.

- 6) Card Rate Plan shall be the default Plan. Any concessions offered by way of the Margin Plan are limited to the validity of the Plan and subject to terms and conditions stated herein.
- 7) Minimum brokerage/charges for scrips priced upto Rs 10/- : Rs. 0.04 per share.
- 8) Minimum brokerage/charges Rs. 25/- per exchange per segment \*
- \* Subject to maximum brokerage limits specified by SEBI from time to time.
- 9) The above mentioned rates of brokerage will be applicable to all trades of the client. Brokerage rates for trades shall be ascertained product-wise. Square off brokerage will be charged for contra legs of the same product type on the same Exchange on the same trading day. In case of Contra trades on a particular trading day across different products or across Exchanges, Delivery Brokerage shall be applicable. In case of Open positions of prior trading days within the same product, accounting shall be on FIFO basis and Delivery Brokerage shall be applicable.
- 10) Service Tax, STT, Stamp Duty and other Statutory/Exchange charges, as applicable, will be charged in addition to the brokerage rates mentioned above.
- 11) IDBI Capital Markets & Securities Limited reserves the rights to withdraw/modify the plan at its sole discretion with 15 days prior notice published on our website.
- 12) Brokerage @ 1% shall be applicable on trades executed in Encash Product (on permissible Exchanges).
- 13) KRA Charges : Rs. 100/-
- 14) Service tax and other statutory charges if applicable will be levied separately.
- 15) Charges/Service standards are subject to revision at IDBI Capital's sole discretion and as informed by circulars sent by ordinary post. (which will be intimated to the client 30days prior to the date of effect ) .
- 16) Transactions charges will be payable monthly. Charges quoted above are for the services listed above. Any service not quoted above will be charged separately.
- 17) In case of non-payment or delay in payment of the charges in time, IDBI Capital reserves the rights to close or discontinue the depository services for the account.
- 18) All the holders must sign operating instructions for the joint accounts.
- 19) IDBI Capital must receive all instructions for transfer at least one day prior to the pay-in date latest by 4.00 PM.
- 20) Late instructions for transfer will be executed at the account holder's own risk on best effort basis.
- 21) In order to settle the dues in time, we have organized for ECS debit facility where your bill amounts would be directly debited from your bank account. ECS mandate forms may therefore be submitted to enable us to serve you better and avoid unnecessary reminders being issued. Kindly ignore if the same has been already submitted.
- 22) Clients must ensure that the instruction booklets issued to them are pre stamped with the client ID.
- 23) Please ensure that the securities are available in demat mode before submitting a dematerialisation request form (DRF). The physical certificates submitted along with the DRF must be defaced with the words "Surrendered for Dematerialisation".

#### **Confirmation with regard to KRA**

- ☐ I wish to register with KRA (One time charge, payable at the time of Account Opening).
- ☐ I Do not wish to register with KRA as I am already registered with KRA agency & if this information is found incorrect, I authorize IDBI Capital to debit Rs.100/- from my account towards KRA charges.(KRA Registered Copy of acknowledgement to be submitted)

I/We wish to avail the abovementioned Tariff Plan. I/We have understood the Plan details and the Terms & Conditions and accept the same.

FH  
11/33

(First/Sole Holder Signature)

SH  
5/9

(Second Holder Signature)

TH  
3/7

(Third Holder Signature)

Date: DD / MM / YYYY

Place :



EOF

**PART I - FATCA / CRS DECLARATION FORM FOR INDIVIDUAL****FIRST / SOLE APPLICANT / GUARDIAN**

Name										
Gender	M	F	O		PAN		Occupation Type	Service	Business	Other
Father's Name										
Cust ID/ Folio No.										

Address of tax residence would be taken as available in KRA database. In case of any change please approach KRA &amp; notify the changes

Type of address given at KRA	<input type="checkbox"/> Residential or Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	
Permissible documents are	<input type="checkbox"/> Passport	<input type="checkbox"/> Election ID Card	<input type="checkbox"/> PAN Card	<input type="checkbox"/> Govt. ID Card	<input type="checkbox"/> Driving license
	<input type="checkbox"/> UIDAI Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others		

Date of Birth		Place of Birth	
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Nationality	
-------------	--

Are you a tax resident of any country other than India ?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
--	------------------------------	-----------------------------

If yes, please indicate all countries in which you are resident for tax purposes and the associated tax ID Number below.

Country	Tax Identification Number	Identification Type ( TIN or Other, please specify )

\* To also include USA, where the individual is a citizen/ green card holder of the USA

% In case tax identification Number is not available, kindly provide its functional equivalent \$

**SECOND APPLICANT**

Name										
Gender	M	F	O		PAN		Occupation Type	Service	Business	Other
Father's Name										
Cust ID/ Folio No.										

Address of tax residence would be taken as available in KRA database. In case of any change please approach KRA &amp; notify the changes

Type of address given at KRA	<input type="checkbox"/> Residential or Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	
Permissible documents are	<input type="checkbox"/> Passport	<input type="checkbox"/> Election ID Card	<input type="checkbox"/> PAN Card	<input type="checkbox"/> Govt. ID Card	<input type="checkbox"/> Driving license
	<input type="checkbox"/> UIDAI Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others		

Date of Birth		Place of Birth	
---------------	--	----------------	--

Nationality	
-------------	--

Are you a tax resident of any country other than India ?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
--	------------------------------	-----------------------------

If yes, please indicate all countries in which you are resident for tax purposes and the associated tax ID Number below.

Country	Tax Identification Number	Identification Type ( TIN or Other, please specify )

\* To also include USA, where the individual is a citizen/ green card holder of the USA

% In case tax identification Number is not available, kindly provide its functional equivalent \$

**THIRD APPLICANT**

Name										
Gender	M	F	O		PAN		Occupation Type	Service	Business	Other
Father's Name										
Cust ID/ Folio No.										

Address of tax residence would be taken as available in KRA database. In case of any change please approach KRA &amp; notify the changes

Type of address given at KRA	<input type="checkbox"/> Residential or Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	
Permissible documents are	<input type="checkbox"/> Passport	<input type="checkbox"/> Election ID Card	<input type="checkbox"/> PAN Card	<input type="checkbox"/> Govt. ID Card	<input type="checkbox"/> Driving license
	<input type="checkbox"/> UIDAI Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others		

Date of Birth		Place of Birth	
---------------	--	----------------	--

Nationality	
-------------	--

Are you a tax resident of any country other than India ?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
--	------------------------------	-----------------------------

If yes, please indicate all countries in which you are resident for tax purposes and the associated tax ID Number below.

Country	Tax Identification Number	Identification Type ( TIN or Other, please specify )

\* To also include USA, where the individual is a citizen/ green card holder of the USA

% In case tax identification Number is not available, kindly provide its functional equivalent \$

### CERTIFICATION

I / We have understood the information requirements of this Form ( read along with the FATCA & CRS Instructions ) and hereby confirm that the information provided by me/us in this Form is true, correct, and complete. I / We also confirm that I/ We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

FH  
12/33

(First/Sole Holder Signature)

SH  
6/9

(Second Holder Signature)

TH  
4/7

(Third Holder Signature)

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

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

### FATCA & CRS TERMS & CONDITIONS

Details under FATCA & CRS : The central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-Tax Rules, 1962, which Rules require Indian Financial Institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with (insert FI's name) or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

**NOTE** : FOR MORE DETAILS ON FATCA/CRS DECLARATION REFER TO WEBSITE : [www.idbicapital.com](http://www.idbicapital.com)

## 1. REFUSAL OF ORDERS FOR PENNY STOCKS

IDBI Capital may at its discretion restrict trading in penny stocks by the clients. "Penny Stocks" for this purpose shall mean those stocks which are highly illiquid and have a low market capitalization due to unsound fundamentals or stocks which have high chances of price manipulations.

The Exchanges from time to time provide a list of such securities categorized as "Illiquid Securities". IDBI Capital may at its discretion or based on directives of the Exchanges also restrict trading in such illiquid securities from time to time. Clients shall not trade in securities placed in the Z group (as notified from time to time by the Exchanges/Regulators). Further Intraday trading in securities in the T, TS, BE or such other group as notified by Exchanges/IDBI Capital from time to time shall be prohibited.

In addition to the penny stocks, restricted securities/deemed penny stocks specified by Exchanges from time to time IDBI Capital may at its discretion, prohibit trading in penny stocks and other securities based on market conditions and internal policies from time to time.

IDBI Capital may for this purpose, introduce online blocks to prevent the client from placing orders in such penny stocks/restricted securities/other securities through the Online Trading Platform of IDBI Capital. Dealers/sub brokers/ Authorised Persons of IDBI Capital may refuse to execute orders of the clients for trading in penny stocks/restricted securities/other securities. Further in case the client is able to place an order for penny stocks/restricted securities/other securities through the Online Trading Platform or otherwise, IDBI Capital may at any time cancel any such order before execution on the Exchanges.

IDBI Capital shall not be liable for any refusal/cancellation of orders for trading in penny stocks/other securities and the Client shall indemnify IDBI Capital in respect of any loss/damages caused to IDBI Capital by virtue of the Client trading in such securities.

## 2. SETTING UP OF CLIENT'S EXPOSURE LIMITS

IDBI Capital may for the purpose of risk management set exposure limits subject to which the Client may trade in securities/take positions in the futures and options segment. Such exposure limits may be set upto a pre-determined number of times of the Margin (the "Multiple") and the quantum of the Multiple shall be decided at the sole option or discretion of IDBI Capital. Such Multiple may be changed at the discretion of IDBI Capital from client to client depending on various factors which inter alia include factors like market conditions, client profile and financial status of the client.

Client shall abide by the exposure limits, if any, set by IDBI Capital or by the Exchange or Clearing Corporation or SEBI from time to time. The exposure limits set by IDBI Capital do not create any right to the Client and are liable to be withdrawn at any time without notice and the client shall bear the loss on account of withdrawal of such limits. The client agrees to

compensate IDBI Capital in the event of IDBI Capital suffering any loss, harm or injury on account of exposure given and/or withdrawn. Exposure may (at the discretion of IDBI Capital and to the extent decided by IDBI Capital from time to time) be inter alia provided on the following:

- Cash balance in the ledger to the credit of the Client (after deduction of all withdrawals by the Client)
- Any Online funds transfer or hold amount through bank gateway
- Collateral holdings (after deduction of applicable haircuts)
- DP free stock (after deduction of applicable haircuts)
- Credit received against sale of securities
- Margin amount

In case of limit for sale of Securities, such sale may at the discretion of IDBI Capital be allowed only to the extent of the availability of securities in the account of the client [DP free Stock, DP lien/ hold marked securities, Client Unpaid Securities Account ("CUSA") and Client Margin Trading Securities Account ("CMTSA")]. Further as may be decided by IDBI Capital from time to time, the credit received against sale may be used for further purchases to such extent as may be decided by IDBI Capital from time to time.

Limits/Exposure provided shall vary based on the intraday profit /loss made by the client and prevailing market conditions.

Exposure limits shall be only against approved securities as decided by the Exchanges/IDBI Capital from time to time and subject to such haircuts and valuations as may be decided by IDBI Capital from time to time. IDBI Capital may from time to time change the applicable hair cut or apply haircuts higher than that specified by the Regulators/Exchanges. In case of derivatives, Clients shall be allowed to trade only upto the applicable client-wise position limits set by the Exchanges/Regulators from time to time.

No further exposure shall be provided to the client in the event of debit in the client's account on a consolidated basis exceeds 5 (five) trading days from the date of payout.

## 3. RIGHT TO SELL CLIENTS SECURITIES OR CLOSE CLIENT'S POSITIONS, WITHOUT GIVING NOTICE TO THE CLIENT ON ACCOUNT OF NON PAYMENT OF DUES.

The Client agrees that IDBI Capital would have the discretion to square off the positions of the Client, with no obligation of communicating the same to the Client, in the following circumstances:

- a. In all other cases where the margin or security placed by the Client(s) falls short of the requirement or the limits given to the Client(s) have been breached.
- b. where the Client(s) have defaulted on their existing obligation/ failed to make payments/deliver securities to IDBI Capital within the stipulated time.
- c. On the 6th trading day from the date of settlement where the client has failed to pay the dues towards the

securities bought within 5 day from the day of settlement (N day in case of Margin Trading)

The CLIENT accepts to comply with IDBI CAPITAL's requirement of payment of Margin/settlement obligations of the Client immediately, failing which IDBI CAPITAL may sell, dispose, transfer or deal in any other manner the securities already placed with it as Margin/lying in the Client Unpaid Securities account and Client Margin Trading Securities Account of IDBI Capital or square-off all or some of the outstanding F&O positions of the CLIENT as it deems fit at its sole discretion without further reference to the CLIENT and any resultant or associated losses that may occur due to such square-off/sale shall be borne by the CLIENT and IDBI CAPITAL shall be fully indemnified and held harmless by the CLIENT in such matter at all times. Any reference in these terms to sale or transfer of securities by IDBI CAPITAL shall be deemed to include sale of securities which form part of the Margin maintained by the CLIENT with IDBI CAPITAL.

In exercise of IDBI CAPITAL's right to sell securities, the CLIENT agrees that the choice of specific securities to be sold shall be solely at IDBI CAPITAL's discretion. The resultant or associated losses that may occur due to such squaring-off/ closing out of position or sale of securities shall be borne by the CLIENT, and IDBI CAPITAL shall be fully indemnified and held harmless by the CLIENT in such matter. Such liquidation or close out of positions shall apply to any segment/ exchange in which the CLIENT does business with IDBI CAPITAL.

The provisions specified herein do not confer any liability on IDBI Capital to square off the clients positions. It shall be the responsibility of the client to pay to IDBI Capital any amount due and payable to IDBI Capital irrespective of whether IDBI Capital exercises its right to square off the positions of the client in accordance with the provisions given herein above except as specified by the Regulators from time to time.

#### **4. SHORTAGES IN OBLIGATIONS ARISING OUT OF NETTING OF TRADES**

##### **Internal Shortage Policy**

If the client defaults on its existing obligation and in the event the trade has been internally netted off by IDBI Capital, IDBI Capital shall have the right to square off the position of the client to make good the shortages arising thereof.

The buyer client may not receive shares on T+2 in case there is an internal shortage situation within IDBI Capital, i.e. the buyer and seller are both IDBI Capital's clients and the seller defaults in delivery due to which the buyer may not receive the shares. IDBI Capital may buy-in the required quantity in the seller's account and deliver the shares to the Buying Client or IDBI Capital may levy charges on the defaulting seller in either of the following ways:

- i. In case of an internal shortage, where buy trade and sell trade match, the defaulting seller would be debited with a close rate of auction settlement day + Penal rate upto a maximum of 20% on the close rate of auction settlement day as would be applicable to the client and

the same would be credited to the buyer client.

- ii. In case of partial Exchange Shortage and Partial Internal Shortage, in case of Internal Shortage the defaulting seller would be charged proportionately at the rate being the Auction Rate as charged by the Exchange + Statutory Charges + penal charges as may be decided by IDBI Capital from time to time and the same would be credited to the buyer client.

IDBI Capital shall not be responsible for losses to the Client on account of such square off. All losses to the client on this account shall be borne solely by the client and the Client shall indemnify IDBI Capital in this respect.

#### **5. CONDITIONS UNDER WHICH CLIENT IS NOT ALLOWED TO TAKE FURTHER POSITIONS OR BROKER MAY CLOSE EXISTING POSITIONS**

IDBI Capital shall have the right to refuse to execute trades/ allow the client to take further positions in the following circumstances:

- technical failure
- dealing in securities breaching the limits specified by the Exchanges/ regulators from time to time
- securities submitted in physical form for settlement
- regulatory restrictions/directives
- Other conditions as deemed fit by IDBI Capital from time to time in view of market conditions, regulatory requirements, internal policies etc.
- Failure to pay outstanding dues within time their specified by IDBI Capital/ Regulators.

IDBI Capital shall also have a right to close existing positions of the clients in the above mentioned circumstances. IDBI Capital shall not be responsible for any loss incurred and the client shall indemnify IDBI Capital in this regard.

#### **6. TEMPORARILY SUSPENDING OR CLOSING OF CLIENT'S ACCOUNT AT THE CLIENT'S REQUEST**

IDBI Capital may at any time, temporarily suspend the account of the client based on a request on writing obtained from the client. Trades in the account of the client during the period of such temporary suspension shall not be permitted. The account shall be reactivated only on a request for reactivation by the client either in writing/ email/ telephonic/ electronic request or may be specified by IDBI Capital from time to time. IDBI Capital may at any time, at its sole discretion and without prior notice to the CLIENT, prohibit or restrict or block the

CLIENT's access to the web site or related services and the CLIENT's ability to trade due to regulatory requirements, prevention of money laundering, market conditions, internal policies, etc.

#### **7. DEREGISTRATION OF A CLIENT**

Deregistration of the client/ termination shall be after giving minimum 30 days notice by either party. Such deregistration/ termination shall not affect the rights and liabilities of

the parties in respect of the transactions executed before the date of such deregistration/ termination.

In addition IDBI Capital may interalia terminate trading

facilities due to regulatory requirements, prevention of money laundering, etc. with immediate effect.

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(First/Sole Holder Signature)

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(Second Holder Signature)

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(Third Holder Signature)

## DECLARATIONS AND CONSENTS

### 1. DECLARATION FOR MOBILE NO.

I, hereby designate my mobile number mentioned in the account opening form for giving me any information/ alert/ sms/ call. I further authorise IDBI Capital Markets & Securities Limited to send any information/ alert/ sms/ call at the said mobile number including but not limited to fundamental trading research data, trading calls and promotional messages and calls.

I further declare the above mentioned statement is true and correct.

### 2. CONSENT TO RECEIVE THE STATEMENTS/ CONTRACT NOTE BY EMAIL

I/We hereby consent to receive from IDBI Capital Markets & Securities Ltd (IDBI Capital), the digital contract notes, ledgers, transaction statements, Demat Statement of account/holding statement(s) and such other correspondence, documents, records by what ever name called (herein after referred to as "statement(s)") in electronic form duly authenticated by means of a digital signature as specified in the Information Technology Act, 2000 and the rules made there under, at the email id provided by me/us to IDBI Capital from time to time.

I/We further hereby agree that IDBI Capital shall fulfil the legal obligation, if the above Statement(s) are sent electronically to the email id provided by me from time to time.

In this regard, I/We further agree that:

1. Email sent on the email id provided by me/us, which have not bounced back, shall be deemed to be duly delivered to me/us.
2. In the event of email sent by IDBI Capital bounces back

due to insufficient space in my/our inbox or in the event any network problem occurs, IDBI Capital shall in no way be responsible for the same.

3. IDBI Capital shall not take cognizance of out-of-office/ out-of-station auto replies and I/We shall be deemed to have received such electronic mails/notifications.
4. Such Statements shall be deemed to have been delivered on the day when the email is sent by IDBI Capital.
5. IDBI Capital shall not be liable or responsible for any Statement received from frauds or impostors or any consequences thereof.
6. IDBI Capital shall not be liable for any problem, which arises at my/our computer network/systems because of my/our receiving any statements from IDBI Capital.
7. In case of any change in my email id, I/We undertake to communicate the same to IDBI Capital through a letter in writing or (through secured access if any by way of specific user id and password provided to me/us by IDBI Capital incase of the online clients).
8. I/We undertake to check the Statement and bring the discrepancies to the notice of IDBI Capital within the time period as specified. My/Our non-verification or not accessing the statement on regular basis shall not be a reason for disputing the same at any point of time.

I/We further agree that IDBI Capital will not be responsible for non-receipt of documents sent via electronic delivery due to change in/ incorrect e-mail address/ correspondence address as mentioned or any other reason which inter-alia include technical reasons or malfunction of my/our computer system/ server/ internet connection etc.

I/We further agree that IDBI Capital may at its sole discretion also provide such Statement in physical form.

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(Second Holder Signature)

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(Third Holder Signature)

# VOLUNTARY TERMS AND CONDITIONS

These Terms and Conditions are applicable to Clients availing Stock Broking Services from IDBI Capital Markets & Securities Limited ("IDBI Capital") for Trading on BSE Limited, National Stock Exchange of India Limited and/or other Stock Exchange on which IDBI Capital may be registered at any time and as may be availed of by the Client.

These Terms and Conditions ensure smooth operations and enhance transparency in services offered by IDBI Capital, hence are applicable in addition to the Rights and Obligations of Stock Broker, Authorised Persons and Clients. The following Terms and Conditions shall apply to Online and Offline Trading services, except if specifically mentioned to the contrary herein.

## 1. ELIGIBILITY CRITERIA:

The Client shall be eligible to avail services offered by IDBI Capital after completing the registration formalities and fulfilling conditions as prescribed by IDBI Capital from time to time including, inter alia as follows:

- a) Client is of sound mind and has the financial/legal capacity to undertake contractual/other liability.
- b) Existence/opening of a bank account and a depository account by the client.
- c) Execution of a Power of Attorney in favor of IDBI Capital for limited purpose use of the Designated Bank / DP accounts (voluntary).
- d) Execution of such other documents and furnishing of particulars as may be required by IDBI Capital from time to time (Voluntary).

On satisfactory verification by IDBI Capital of the information provided by the Client and fulfilment of all requirements as stated in sub clauses (a) to (d) above by the Client, IDBI Capital, shall register the Client for availing the services and open its account with IDBI CAPITAL.

## 2. EXECUTION OF ORDERS:

- a) The CLIENT understands that placing an order with IDBI Capital including a market order, does not guarantee execution of the order. IDBI CAPITAL has the absolute right to reject any order that may be placed by the CLIENT, for any reason whatsoever including for breach of the requirement of maintaining prescribed Margin in the CLIENT Account or the Bank account.
- b) The Exchanges may cancel the trade suo moto without giving any reason thereof. IDBI CAPITAL shall not be liable for any losses, damage or claims on account of such rejection or cancellation of any trade for any reason whatsoever. Further, IDBI CAPITAL may, at its sole discretion, subject any order made by the CLIENT to manual review and entry which may cause delays in the execution of the CLIENT's orders. In the event of any Exchange levying any monetary fine/penalty/ charges to IDBI CAPITAL on account of execution of trades as per the CLIENT's instructions, for any reason, the CLIENT agrees to pay-up such fine/penalty and costs, charges and expenses incurred, if any, to IDBI CAPITAL.
- c) IDBI Capital will not be responsible for partial execution of orders placed by the Client. The Client also agrees

that all orders placed by the Client shall be treated as orders for that particular session only. In case the Client wants the orders to be carried forward or extended for the day the Client shall communicate the same to IDBI Capital.

- d) The Client hereby agrees to execute all orders around market prices. The Client agrees to ensure that there will be no attempt at price distortion and price rigging made through any means.

## 3. MODE OF PLACING ORDERS:

Orders shall be placed only by the Client or the Authorised representative of the Client.

All orders / instructions shall be placed by the client himself or by an authorized representative duly authorised vide a specific authorization in writing. The instructions issued by an authorized representatives, if any, of the CLIENT shall be binding on the CLIENT in accordance with the communication authorizing the said representative to deal on behalf of the said CLIENT. In the event of authorized representative being replaced or any authority revoked, it shall be the responsibility of the CLIENT to inform IDBI Capital of the change, in writing, failing which the CLIENT shall be responsible for the trade obligations arising out of the actions of both the old representative as well as the new representative. If any transaction(s) under this arrangement with IDBI Capital or under any other agreement or otherwise with IDBI Capital, has/have been placed/executed on behalf of the CLIENT by any other person, not mentioned above and the same has / have been accepted by CLIENT from time to time on the basis of the contract note(s) / bills / any other correspondence dispatched / communicated to the CLIENT by IDBI Capital and / or by part or full settlement of the said transaction(s) by the CLIENT, then such transaction(s) shall be deemed to be executed by the person authorised by the CLIENT and the CLIENT hereby agrees to ratify and accept all such or other actions of such persons and undertakes to meet all obligations arising from these transaction(s). Every order that is given by the client or its authorized representative or entered by the CLIENT through the use of the allotted user name and the security code(s) shall be deemed to be a valid order for which the CLIENT shall be fully responsible.

## 4. ONLINE TRADING

SECURITY CODES, SECURITY PRECAUTIONS AND INFRASTRUCTURE:

### a) Use of CLIENT-ID and Password:

The CLIENT agrees that it will be the sole authorised user of the Username, Password/s, Customer User Identification Number, Telephone Personal Identification Number (T PIN) or other identification or security code (by whatever name called) given to it by IDBI CAPITAL to access the online portal, or service through IDBI Capital website, over the telephone or in such other manner as may be permitted by IDBI CAPITAL for availing of the service. The CLIENT accepts sole responsibility for use, confidentiality and protection of the Username, Password/s, Customer User Identification Number, T-PIN, or other security code(s) as issued by IDBI CAPITAL to the CLIENT from time to time (hereinafter referred to as

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"Security codes ) as well as for all orders and information changes entered into the CLIENT's account using such security codes, the CLIENT shall ensure that such security code(s) is/are not to be revealed to any third party or recorded in any written or electronic form. If the CLIENT forgets the security code(s), a request for change of such Security code(s) should be sent to IDBI Capital in writing. On receipt of such a request, IDBI Capital shall discontinue the use of the old security code(s) and shall generate and communicate a new Security code(s) for the CLIENT. However, the CLIENT shall be responsible and liable for all transactions that are carried out by the use of the old Security code(s). Neither IDBI CAPITAL nor any of its officers, directors, employees, agents or group companies will have any responsibility or liability to the CLIENT or to any other person whose claim may arise through the CLIENT with respect to any of the circumstances described above.

**b) Recording of Password:**

The CLIENT shall memorise the Security code(s) and shall not record it in written or electronic form. In the event that the CLIENT does record the Security code(s) in written or electronic form, he/ she/it shall do so at his/her/its sole risk and responsibility.

**c) Responsibility for Use of Security Code(s):**

Any order entered using the CLIENT's security code(s) either through the web site or through telephone or otherwise is deemed to be that of the CLIENT. If third parties gain access to IDBI CAPITAL's services through the use of the CLIENT's security code(s), the CLIENT will be deemed to be responsible for the same and the CLIENT hereby holds harmless and agrees to indemnify IDBI CAPITAL against any liability, costs/losses or damages arising out of claims or suits by or against such third parties based upon or relating to such access and use, since the responsibility for such transactions shall be that of the CLIENT. The use and storage of any information including, without limitation, the Password, Portfolio information, transaction activity, account balances and any other information or orders on the CLIENT's personal computer, mobile & any other electronic device are at the CLIENT's own risk and is the CLIENT's sole responsibility.

**d) Communication Equipment of the CLIENT:**

The CLIENT is responsible for installing and maintaining the communication equipment (including personal computers and modems) and telephone or alternative services required at the CLIENT's end and connectivity required for accessing and using the web site or related services. All communication costs, service charges, levies and fees incurred by the CLIENT in accessing the web site or related services will be borne by the CLIENT.

**e) CLIENT's Infrastructure / Software Applications:**

For the purposes of these Terms, it is presumed that the CLIENT has the necessary and compatible infrastructure ready at its end for the purpose of accessing the web site of IDBI CAPITAL or contacting the Trade Over Phone Desk of IDBI CAPITAL prior to accessing the services provided pursuant to these Terms. IDBI CAPITAL will not and shall not be under any obligation to assist the CLIENT in installing the required infrastructure or obtaining the necessary equipment/ software applications, permits and clearances to establish

connectivity or linkages to the web site of IDBI CAPITAL.

**f) Prevention of Unauthorised Use:**

The CLIENT shall install the necessary built-in safeguards, firewall features and access restrictions to prevent unauthorised use of CLIENT's computer systems or the security codes and ensure that no unauthorised person can gain access to the computer systems or such security codes.

**g) Liability for Incorrect Instructions:**

The CLIENT agrees to fully indemnify and hold harmless IDBI CAPITAL for any losses arising from the execution of incorrect/ ambiguous or fraudulent instructions that are entered through the system at the CLIENT's end. The client shall be solely responsible for placing orders at unrealistic prices, if so considered by Stock Exchange and liable for all consequences such as penalty/fine etc levied by the stock exchange for such transactions.

**5. RECONFIRMATION OF CERTAIN ORDERS:**

IDBI CAPITAL reserves the right to reject any order based on its risk perceptions or for any other reason which it is under no obligation to disclose to the client.

**6. PRICE OF SECURITIES:**

The CLIENT understands that with respect to any order, the CLIENT will get the price at which the order was actually executed in the market, price of which may be different from the price at which the security was trading when the CLIENT's order was placed/entered into IDBI CAPITAL's system.

**7. CANCELLATION OR MODIFICATION OF ORDERS:**

a) The execution of order, cancellations or modifications thereof is not guaranteed. Cancellation of orders is possible only if the original order remained pending at the Exchanges. Market orders are prone to immediate execution. The CLIENT shall not presume that an order has been executed or cancelled or modified and the CLIENT is required to verify the status of the/its orders.

b) Unless otherwise specified by IDBI CAPITAL, any order not executed at the end of the day shall stand cancelled/ terminated.

c) Where the Exchange cancels trade(s) suo moto, all such trades including the trade(s) done on behalf of the CLIENT shall ipso facto stand cancelled and IDBI CAPITAL shall be entitled to cancel the respective contract(s) with the CLIENT.

d) The trade(s) may also be cancelled on account of following reasons:

- i. There may be insufficient bids or offers or suspension of trading due to price limits or circuit breakers.
- ii. The electronic trading systems either at the exchange or in IDBI CAPITAL's offices are vulnerable to temporary disruptions or failures for technical / systematic reasons.

e) In the event of trade cancellation due to such events or vulnerabilities, IDBI CAPITAL shall be entitled to cancel relative contract(s) with the CLIENT. At times, due to unforeseen circumstances IDBI CAPITAL may not be able to execute the desired transactions (either the CLIENT's own

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transactions or transactions for enforcing margins as provided in these terms and conditions) on a timely basis. IDBI CAPITAL does not accept responsibility for any losses that the CLIENT may incur on account of such eventualities beyond the control of IDBI CAPITAL.

## 8. MARGINS

The CLIENT shall make available the prescribed margins in the form of funds and / or in the form of securities (the "Margin") with IDBI CAPITAL simultaneously with the opening of the account and prior to commencement of trading. The CLIENT shall be permitted to trade upto a pre-determined number of times of the MARGIN (the "Multiple") and the quantum of the Multiple on the margin shall be decided at sole option or discretion of IDBI CAPITAL who shall have their revocable right to set-off a part or whole of the Margin i.e. by way of appropriation of the relevant amount of funds or by sale or transfer of all or some of the securities which form part of the margin, against any dues of the CLIENT to meet any of its obligations under these Terms. Any reference in these terms to sale or transfer of securities by IDBI CAPITAL shall be deemed to include sale of securities which form part of the Margin maintained by the CLIENT with IDBI CAPITAL. In exercise of IDBI CAPITAL's right to sell securities under the terms and conditions, the CLIENT agrees that the choice of specific securities to be sold shall be solely at IDBI CAPITAL's discretion. IDBI CAPITAL is permitted in its sole and absolute discretion to collect additional margins (even though not imposed by the Exchange, the Clearing House or SEBI) and the CLIENT shall be obliged to pay such margins within the time limit stipulated by IDBI Capital and in the form stipulated by IDBI Capital. In case of Derivatives Contracts, the CLIENT is liable to pay (or receive) daily margins depending on whether the price of the Derivatives contract moves for or against the position undertaken. The CLIENT may also be liable to pay with holding margins, special margins or such other margins as are considered necessary by IDBI CAPITAL or the Exchange from time to time. The client has understood that derivative contracts are margin centric. If the cumulative Mark to Market (MTM) margin falls short of the margin available in the CLIENT's account, the CLIENT agrees to heed to IDBI CAPITAL's additional margin calls and agrees to recoup the shortfall/deficit. The CLIENT will ensure that margins are adequate at all times and will immediately make good any shortfall that IDBI CAPITAL communicates.

### Payment through Cheque:

In case where the payment by the CLIENT towards the margin is made through a cheque issued in favour of IDBI CAPITAL, any trade(s) would be executed by IDBI CAPITAL only upon the realisation of the funds of the said cheque or at the discretion of IDBI CAPITAL. The CLIENT agrees to mention his CLIENT code along with his name on the reverse of any instrument through which he makes the payment to IDBI CAPITAL.

### Margin in form of Securities:

The CLIENT may place margin with IDBI CAPITAL in the form of securities as approved by IDBI CAPITAL. Such securities may at the discretion of IDBI CAPITAL be marked as lien in favour of IDBI CAPITAL from the depository account of the CLIENT or such securities may be placed in a separate depository account of IDBI CAPITAL.

The CLIENT may place / deposit only those securities, which are acceptable to IDBI CAPITAL. If at any time, a particular security ceases to be on the list of approved securities, the CLIENT shall provide other securities as may be required in place of such security forth with. The CLIENT agrees and authorises IDBI CAPITAL to determine the market value of securities placed as Margin after applying a haircut that IDBI CAPITAL deems appropriate. The CLIENT's positions are valued at the latest market price available ('marked to market') on a continuous basis by IDBI CAPITAL. The CLIENT undertakes to monitor the adequacy of the collateral and the market value of such securities on a continuous basis. If due to price fluctuations, there is erosion in the value of the margins, the CLIENT agrees to replenish/ recoup any shortfall/ deficit in the value of the Margins immediately, whether or not IDBI CAPITAL intimates such shortfall.

### Type of Margin:

IDBI CAPITAL may at its sole discretion prescribe the payment of Margin in the form of funds instead of securities. The CLIENT accepts to comply with IDBI CAPITAL's requirement of payment of Margin in the form of funds immediately failing which IDBI CAPITAL may sell, dispose, transfer or deal in any other approved manner the securities already placed with it as Margin or square-off all or some of the outstanding F&O positions of the CLIENT as it deems fit at its sole discretion without further reference to the CLIENT and any resultant or associated losses that may occur due to such square-off/sale shall be borne by the CLIENT, and IDBI CAPITAL shall be fully indemnified and held harmless by the CLIENT in this behalf at all times.

### Shortfall in margins and other provisions:

- i) If payment/securities towards the Margin or shortfall in Margin is not received instantaneously to enable restoration of sufficient Margin in the CLIENT's account, all or some of the F&O positions of the CLIENT as well as the securities of the CLIENT in the possession or control of IDBI CAPITAL may be liquidated by IDBI CAPITAL at its sole discretion, without any reference or prior notice to the CLIENT. The resultant or associated losses that may occur due to such squaring -off or sale of such securities shall be borne by the CLIENT, and IDBI CAPITAL shall be fully indemnified and held harmless by the CLIENT in this behalf. Such liquidation or close out of positions shall apply to any segment/exchange in which the CLIENT does business with IDBI CAPITAL.
- ii) The CLIENT is responsible for all orders, including any orders that may be executed without the required Margin in the CLIENT's account. If the CLIENT's order is executed despite a shortfall in the available Margin, the CLIENT shall, whether or not IDBI CAPITAL intimates such shortfall in Margin to the CLIENT, instantaneously pay and make up the shortfall either through delivery of shares in the event of a sale, or credit the required funds in the Bank account via wire transfer or personal cheque, cashier's banker's cheque or account transfer or any other approved mode as may be required by IDBI CAPITAL.

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## AMENDMENT IN MARGINS

(Any amendment in the percentage of margins as required to be maintained, shall be intimated by IDBI CAPITAL to the CLIENT over the telephone and in writing and by posting the details on its website). The CLIENT is required to make payment/ replenish the shortfall in such margins, if any, on demand of the same by IDBI CAPITAL or otherwise immediately.

## 9. EXPOSURE LIMITS

The CLIENT agrees to abide by the exposure limits, if any, set by IDBI Capital or by the Exchange or Clearing Corporation or SEBI from time to time. Such limits do not create any right and are liable to be withdrawn at any time without notice and the client shall bear the loss on account of withdrawal of such limits. The client agrees to compensate IDBI Capital in the event of IDBI Capital suffering any loss, harm or injury on account of exposure given and/or withdrawn.

## 10. CLOSE OUT:

### a) In case of Purchases:

Notwithstanding the margin position in case of purchase on behalf of CLIENT, the CLIENT authorises IDBI CAPITAL to close out the transactions by selling the securities, in case the CLIENT fails to make full payment to IDBI CAPITAL for the execution of the contract within two days of trade execution or before pay-in-day (as fixed by stock exchange for the concerned settlement period, whichever is earlier, unless the CLIENT already has an equivalent credit with IDBI CAPITAL. The loss incurred in this regard, if any, will be met from the margin money of the CLIENT. The CLIENT agrees to make good the shortfall, if any, immediately on being intimated of the shortfall by IDBI CAPITAL.

### b) In case of Sale:

Notwithstanding the margin position in case of sales on behalf of CLIENT, the CLIENT authorises IDBI CAPITAL to close out the contract by effecting purchases/ effecting close out at IDBI Capitals discretion. If the CLIENT fails to deliver the securities sold with valid transfer documents within 24 hours of the trade execution or before delivery day (as fixed by stock exchange authorities for concerned settlement period or such other date as agreed to by the Client and IDBI Capital in accordance with the extent of regulations and statutory provisions, whichever is earlier. Loss on transaction, if any, will be deductible from the margin money of the CLIENT. The CLIENT agrees to make good the shortfall, if any, immediately on being intimated of the shortfall by IDBI CAPITAL.

### c) Non-payment of margin and other amounts :

Without prejudice to IDBI CAPITAL's other rights (including the right to refer a matter to arbitration), IDBI CAPITAL shall be entitled to liquidate/ close out all or any of the CLIENT's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust/set off/appropriate the proceeds of such liquidation / close out, if any, against the CLIENT's liabilities / obligations. Any and all losses and financial charges on account of such liquidation / closing out shall be charged to and borne by the CLIENT.

### d) Client(s) agree that IDBI Capital has full and complete discretion to square off/ liquidate the purchase/ sale intra day,

overnight or any other position of the client(s). The client,(s) agrees, confirms and admits that the CLIENT shall be aware and in the know of all its positions at all times.

### e) Lien on Client's Account:

All investment products now or hereafter held, carried or maintained by IDBI Capital in their possession or control, for any purpose, in or for the benefit of any of clients accounts, now or hereafter opened, including any accounts in which client may have an interest, shall be subject to a lien in favour of IDBI Capital for the discharge of all indebtedness and client's other obligation to IDBI Capital which are held by IDBI Capital as security for the payment of any liability or indebtedness of client's to IDBI Capital in any of said accounts. Client authorizes IDBI Capital to transfer the investment products and other securities so held from or to any of the client's account with IDBI Capital whenever, in the judgment of IDBI Capital, it is considered that such transfer is necessary for the protection of IDBI Capital. In enforcing IDBI Capital's lien, IDBI Capital shall have the right and discretion to determine which investment product and securities are to be sold and which contracts position are to be closed. In the event of a breach or default by Client under these Terms and Conditions, IDBI Capital shall have all rights and remedies available to a secured credit or under all applicable laws in addition to the rights, recourse and remedies provided herein.

## 11. CORPORATE BENEFITS SETTLEMENT CYCLES:

The CLIENT accepts responsibility of knowing the status of all corporate benefits like rights and bonus issues, dividends and stock splits of shares that he/it intends to trade or which are held in his/it account. The CLIENT accepts responsibility knowing the correct ISIN Numbers of the shares in his /its account and the eligibility/validity/genuineness of the shares to meet share pay in obligations to the Exchange/ Clearing Corporation whether received by way of purchase, rights, bonuses, stock split, off market transfers or otherwise.

## 12. TRADE CONFIRMATION:

IDBI CAPITAL shall send the trade confirmation to the CLIENT, in the form of contract note cum bill/ Electronic Contract Note or otherwise via mail, e-mail, fax, courier, Registered A.D., SMS or otherwise at the postal address, telephone / fax nos., e-mail addresses intimated by the CLIENT to IDBI CAPITAL. The CLIENT understands that it is client's responsibility to review or check/ verify the trade confirmations, the details in the contract notes, the bills or statements of account immediately upon their receipt, all information, particulars, trades contained therein shall be binding upon the CLIENT, if the CLIENT does not object in writing to any of the contents preferably within 30 days from receipt of monthly / quarterly statement & Contract Note cum bill / Electronic Contract Note. In all cases, IDBI CAPITAL reserves the right to determine the validity of the CLIENT's objection to the transaction. The CLIENT agrees that IDBI CAPITAL will not be responsible for the non-receipt of the trade confirmation due to any change in the details/correspondence address of the CLIENT not intimated to IDBI CAPITAL in writing. Further the Client understands that in case of any non-compliance of the Bye-Laws, rules and regulations, as laid down by SEBI/ Exchanges and/or the Depository, and for any other matter,

Client Signature



that may be decided by IDBI Capital from time to time, IDBI Capital may charge penalty to the Client. Such penalty amount shall be directly debited to the Client's account. The Client authorizes IDBI Capital to debit his/her trading account for the amount of penalty charged in his/her account registered with IDBI Capital.

### 13. DELAYED REPORTING OF TRANSACTIONS:

- i) If trades or transactions are reported late to IDBI CAPITAL on account of any problems at the Exchange or for any reason, the CLIENT in turn will be subject to late reporting of transactions and any other action dependent on the same.
- ii) In addition, any errors reported whatsoever to the CLIENT for any reason whatsoever will stand subsequently corrected to reflect the transaction that was effected in the market.

### 14. PAY-IN/PAY-OUT OF SECURITIES / FUNDS:

- A. The CLIENT agrees that IDBI CAPITAL shall not be obliged to deliver any securities or pay any money to the CLIENT unless and until the same has been received by IDBI CAPITAL from the Exchange, the Clearing Corporation / House or the concerned Mutual Fund or other company or entity liable to make the payment. Unless IDBI CAPITAL otherwise determines, and subject to IDBI CAPITAL's rights to set off and other rights as mentioned in these Terms and Conditions, and other documents executed by the Client with IDBI Capital, the securities to be delivered by IDBI CAPITAL to the CLIENT pursuant to the CLIENT's purchase transactions shall be credited to the designated depository account of the CLIENT and the sale proceeds to be paid by IDBI Capital to the CLIENT shall be deposited to the designated Bank account of the CLIENT.
- B. In case of purchase of securities by the CLIENT, at times IDBI CAPITAL may be unable to deliver the securities to the said purchaser on the pay-out day due to non-receipt of the securities from the stock exchange (s) or in case of non-receipt of the said securities from another CLIENT of IDBI CAPITAL who has sold the securities against the said purchase transaction. In cases of such short delivery, the securities shall be delivered to the purchaser as per the policy of the Company as amended from time to time.

Client hereby authorizes IDBI Capital, to move/ transfer funds from any/all its accounts and/ or payouts resulting on account of sale of securities and/ or payouts due to settlement/ closing of contracts and/ or margin refunds from cash/capital market and/ or F&O of BSE and/ or NSE and/ or any other Exchanges adjust, transfer, set-off and appropriate the same towards debit balances in the Client's accounts of cash/capital market and/ or F&O segment of BSE and/ or NSE and debit balances in depository account and/ or any other debits and/ or payments. Further, the Client authorizes IDBI Capital to carry out the transfer, either by passing a journal entry (backed by actual fund transfer) in its books of accounts of the respective section/ department and/ or physical exchange of cheques/electronic transfer.

- C. At all times, the CLIENT agrees to make the payment of

funds only in the name of IDBI CAPITAL titled "IDBI Capital Markets & Securities Limited" vide fund transfer/ account payee cheques / demand drafts, if permitted or by any other permitted modes, with details of the CLIENT code and the name of the CLIENT mentioned on the reverse of the instrument.

- D. At all times, the CLIENT agrees to transfer the securities only to the designated depository account of IDBI CAPITAL.
- E. The CLIENT agrees that IDBI CAPITAL shall not be responsible for any loss, damages in respect of any funds/ securities which are deposited/ transferred to any account other than that of IDBI CAPITAL's designated account under these Terms and Conditions.
- F. In the eventuality of the CLIENT receiving shares in his demat account by mistake or for any reason (which he/ she/it is supposed to have not received) the Client is liable to return such securities and / or compensate IDBI CAPITAL.

### 15. DELAYED PAYMENT:

Notwithstanding anything contained in these presents, in case of any amounts which are overdue from the CLIENT towards trading either in the cash or derivative segments including all types of margins, pay-in obligations or dues on account of any other reason to IDBI CAPITAL, the client will be charged delayed payment charges on the amount outstanding at the rate of 0.06% per day (calculated on 365 days basis) or such other rate as may be determined by IDBI CAPITAL with reasonable notice and mutual consent by the client in writing. The CLIENT hereby authorizes IDBI CAPITAL to directly debit the same to the account of the client on a daily basis or as agreed to with the CLIENT from time to time. The CLIENT also agrees that any amount overdue from the CLIENT (including the interest on delayed payment) shall be adjusted by IDBI CAPITAL from dues owed to the CLIENT. The client undertakes to make payment of such delayed payment charges charged without delay.

### 16. INFORMATION OF DEFAULT IN PAYMENT / DELIVERY:

Information of default in payment /delivery and related aspects by a CLIENT shall be brought to the notice of the relevant stock exchange(s). In case where defaulting CLIENT is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of director(s) / promoter(s) /partner(s) /proprietor as the case may be, shall also be communicated to the relevant stock exchange(s).

### 17. CONDITIONS FOR F&O TRANSACTIONS

- a. The Client understands and is aware of risks in F&O trading which carry a significant risk of substantial loss. Further, the client is aware that given the leverage involved, the losses can occur and multiply rapidly, potentially exceeding client funds (including securities deposited) deposited and collaterals, credit balance, if any, for margins or for any other purpose or earmarked as risk capital.
- b. The client is forewarned that IDBI Capital does not and cannot guarantee that risks associated with his/her/their trading in F&O Segment can be limited, minimized or

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eliminated. IDBI Capital in no way assumes any responsibility for monitoring his/her/their exposure, open positions, margins, deposits, losses or changes in his/her/their net worth.

- c. The client undertakes that the Client shall ensure that he/ she/they receive contract notes, bills and ledger account etc. documents regularly from IDBI Capital. Further the CLIENT shall ensure and confirm that he/ she/they will read, understand and verify the contents of these and other documents relating to F&O transactions carried out in his/her/ their names and code (s) promptly and on a daily basis. Client shall remain proactive, vigilant, watchful and careful with regard to all aspects of F&O trading and payments of margins, mark to market losses and debit balances in the ledger account, verification thereof and other dues and prompt in bringing his/her/their grievances, if any to the attention of, IDBI Capital. The CLIENT agrees, confirms and admits that in no situation the client shall hold IDBI Capital and its directors, employees and/or its representatives/associates responsible, liable and accountable for anything and IDBI Capital and its directors, employees and/or its representatives/associates before any authority, court, etc. shall always stand absolved from any liability, claim, loss, harm, injury, counterclaim, damages and claim of such nature except for any fraud or malafide on account of IDBI Capital.
- d. Client shall daily keep track of his/her/their F&O positions, exposure, movement in prices intraday, margins, mark to market losses / profits, collaterals values, etc. working when live trading sessions are on or otherwise also and at no time blame IDBI Capital for not communicating to the client any information or not making any call to the client in any situation ordinary or extra - ordinary. Client understands that time and full payments of mark to market losses/margins are the essence of F&O transactions settlement. Client accepts full responsibility for his/her/their decisions to trade in F&O Segment and all consequences thereof in all scenarios and at all times.
- e. Client understand that in the event of IDBI Capital granting any accommodation in any manner in the matter of clients dues, margin, collaterals, carry forward/ rollover, etc. the client shall not raise a ground/objection of such favours availed by client in any proceeding (civil and/or criminal) between client and IDBI Capital.
- f. Client is made aware of all F & O transactions working (including margin / mark to market losses) and documentation and client understands the documents including contract notes, bills, margin related documents, ledger account etc, Client clearly knows that in case of deficit / shortfall in margin, mark to market losses, debit balances etc. dues at any point of time in clients account, IDBI Capital shall be entitled to square - off /close - out / liquidate clients outstanding F & O positions without even informing client (as client has voluntarily undertaken to keep track of his/her/their F & O positions and obligations thereof as aforesaid) at any time at their sole discretion. Client undertakes, assures and promises IDBI Capital to pay - up all his/her/their dues, losses, debit balances in time and when called upon which are accounted in clients account, the Client

shall fully indemnify IDBI Capital and hold it harmless at all times.

## 18. STOCK BROKER CLIENT COMMUNICATION:

### a. Form of Communication

Documents which may be sent by physical/electronic delivery between the parties may be in the form of personal delivery, courier, post, an electronic mail (including any auto replies from the system of IDBI CAPITAL), an electronic mail attachment or in the form of an available download from the web site. IDBI CAPITAL shall be deemed to have fulfilled any legal obligation to deliver to the CLIENT any such document if sent via personal delivery, courier, post, electronic delivery or any other approved mode.

### b. Communication of Documents

- (i) IDBI CAPITAL shall send to the CLIENT by personal delivery, courier, post, electronic means or any other approved mode the contract note/trade confirmations of the trades executed, bills and account statements or such other data relating to the CLIENT's trading account with IDBI CAPITAL. IDBI CAPITAL will not be responsible for non-receipt of documents sent via courier, post, electronic delivery or any other approved mode due to change in the address of the CLIENT which is not intimated to IDBI CAPITAL.
- (ii) IDBI CAPITAL may at any time amend the margin requirements, the list of approved securities accepted as margin etc. by modifying or rescinding any of the existing provisions or conditions or by adding any new provision or condition on its web site. IDBI CAPITAL shall not be required to communicate any modification or rescission individually to the Client either through physical or electronic form, and any separate notice of amendment or modification is deemed to be waived by the Client. The continued use of the services of IDBI CAPITAL after such notice will constitute acknowledgment and acceptance of such amendment.
- (iii) The Client here by agrees that the Ledger Statements in respect of transactions entered into on the Cash & F&O Segment of the Exchanges will be combined for the purpose of convenience and the payments received and paid by IDBI Capital will be appropriated as may be deemed necessary.

### c. Terms and Conditions for receipt of documents by the Clients in electronic form

- (i) IDBI Capital shall send the documents, contract notes, transaction statements etc. to the e-mail ID as provided by the client. The Client agrees to provide IDBI Capital with his/her/its correct e-mail ID in the account opening documents or subsequently vide permitted mode. IDBI Capital shall not be responsible for e-mails sent to any wrong e-mail ID provided by the client and such documents, contract notes, transaction statements etc. shall be deemed to be received if sent to the e-mail ID provided by the Client.
- (ii) The CLIENT understands that it is his/ her/ its responsibility to open and review all communication sent by IDBI Capital to the email ID provided by the CLIENT. All information contained there in shall be binding upon the CLIENT, if the CLIENT does not object either in writing or via electronic mail, in all cases, IDBI CAPITAL

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reserves the right to determine the validity of the Client's objection to the transaction. Non verification by the Client or not accessing the documents on a regular basis shall not be a reason for disputing the same at a later date.

- (iii) Should the Client experience any difficulty in opening a document electronically delivered by IDBI Capital, IDBI Capital may, on receipt of intimation from the Client in that regard, make the required delivery by any other electronic means (e-mail, fax, electronic mail attachment, or in the form of an available download from the website) or in paper format. Failure to advise IDBI CAPITAL of such difficulty preferably within 24 hours from the date of execution of the trade shall serve as an affirmation that Client was able to receive and open the said document.
- (iv) In the event the client opts to receive contract notes in electronic form, the Client agrees not to receive the contract notes in paper form from IDBI Capital. Provided however that in case when IDBI CAPITAL is not able to provide the Contract Note to its Clients through (web based) electronic medium due to any unforeseen problems, IDBI Capital shall ensure that the contract note reaches to the Client in physical form as per the time schedule stipulated in the Bye-Laws, Rules and Regulations of the Exchanges.
- (v) IDBI Capital agrees that in case of receipt of bounced back notification from the e-mail ids provided by the CLIENT, IDBI Capital shall make the required delivery in paper based format immediately thereafter.
- (vi) The Client agrees that IDBI Capital will not be responsible for non-receipt of documents due to change in/ incorrect email id provided by the Client for the purpose or for any reason which inter alia include insufficient space in the inbox of the Client, technical reasons or malfunction of the Client's computer system/ server/ internet connection etc. It shall be the responsibility of the Client to intimate IDBI Capital of any change in the Client's e-mail id.
- (vii) IDBI Capital shall not be liable or responsible for any statement received from frauds or impostors or any consequences thereof. The Client is also aware that IDBI Capital duly posts the contract notes/other documents (as decided by IDBI Capital) of the respective clients on the website also and that the same can be accessed by the Client on the website with the help of the security code given to the Client by IDBI Capital.

**d. Change of Address**

Unless the CLIENT informs IDBI CAPITAL of the change of address for communication in writing along with the address proof, all notices, circulars, communication or mail sent to the existing address shall be deemed to have been received by the CLIENT.

**e. Notices/ Policies**

Certain policies and/or procedures may be further outlined on IDBI CAPITAL's web site and material/ literature and frequently asked questions (FAQ's) provided to the CLIENT through IDBI CAPITAL's web site and services. The CLIENT agrees to be bound by any and all such notices, policies (including password policy) and terms of doing business.

**19. POWER OF ATTORNEY**

A client may execute a Power of Attorney for operations in the form provided to the client from time to time which would be in accordance with the guidelines prescribed by SEBI/Exchanges.

**20. INACTIVE AND DORMANT ACCOUNTS**

The CLIENT agrees that if there are no debit transactions in its account for the continuous period of 1 years, it will be treated as an inactive/ dormant account. It may be activated in accordance with the policy of IDBI Capital.

**21. ARRANGEMENT WITH ALLIANCE BANKS:**

IDBI CAPITAL has alliance with one or more banks (the "Alliance Banks"). The web site of IDBI CAPITAL has a payment window through a link to the web site of the Alliance Banks. In such a case, the CLIENT could make the payment for securities purchased by him/her/it by crediting the purchase amount (along with the indicated brokerage amount/ other charges) directly to the account of IDBI CAPITAL with the Alliance Bank by means of a fund transfer. Similarly in the case where the CLIENT makes an order for sale of securities IDBI CAPITAL would credit the account of the CLIENT with the Alliance Bank by means of a fund transfer on the pay-out date of the relevant Exchange on which the sale transaction is carried out. IDBI CAPITAL expressly states that the payment gateway mechanism is a service offered by the Banks with whom IDBI CAPITAL has established alliances for facilitating the transfer of funds between the CLIENT's account and IDBI CAPITAL's account. IDBI CAPITAL expressly excludes liability for consequential loss or damage or loss of profit, business, revenue, good will or anticipated savings which may arise in respect of (i) the payment gateway services offered by such Banks; or (ii) the Payment Mechanism

**22. CONDITIONS GOVERNING AVAILMENT OF OTHER SERVICES PROVIDED BY IDBI CAPITAL FOR TRADING/INVESTING IN SECURITIES OTHER THAN ON THE FLOOR OF THE STOCK EXCHANGE:**

- a) The Client shall authorize IDBI Capital by executing a Power of Attorney in favour of IDBI Capital to execute instructions of the Client or its authorized representative with regard to the transactions. All instructions given by the Client/ its authorized representative shall be binding on the Client. IDBI Capital may furnish certified copy of the Power of Attorney and other documents on behalf of the Client to the Company / Registrar / Mutual Fund or any third party.
- b) The Client agrees that the instructions with regard to the transactions may be in the Client's sole name or in the name of the Client jointly with other persons.
- c) The CLIENT undertakes to read and understand all therelevant offer documents and addenda there to and terms and conditions of all schemes of all mutual funds, other securities including Initial Public Offerings, Rights Issue, Buy Back Offers, etc. offered through IDBI Capital website before entering into any transactions through IDBI Capital and agrees to abide by the terms, conditions, rules and regulations as applicable from time to time. IDBI Capital will not be held responsible for any of the information contained/ omitted from any related documents.
- d) IDBI Capital or the concerned Mutual Fund / Issuer or

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their respective Registrars shall entertain ONLINE transactions requests and / or requests made through telephone in the manner provided under these Terms and Conditions.

- e) IDBI Capital may refuse to act on any instructions unless they are given in the manner and form acceptable to IDBI Capital. However, IDBI Capital shall have no responsibility to determine the authenticity of any instructions given or purported to be given by the Client. The Client shall not hold IDBI Capital liable on account of IDBI Capital acting in good faith on instructions given by the Client or its authorized representatives.
- f) IDBI Capital may decide at its discretion not to carry out the Client's instruction when IDBI Capital has reasons to believe (which discretion of IDBI Capital the Client shall not question or dispute) that the instructions are not genuine or are otherwise improper / unclear / raise a doubt. IDBI Capital shall not be liable if any instructions are not carried /partly carried out for any reason, whatsoever.
- g) In case of Mutual Funds, the Client agrees and acknowledges that IDBI Capital shall provide the facilities as provided in these Terms and Conditions only in respect of the select Mutual Funds, with whom IDBI Capital has entered into a separate arrangement.
- h) The Client shall ensure that the transactions through IDBI Capital are executed in accordance with the applicable laws, bye laws, rules and regulations governing the specific investment product. IDBI Capital may, from time to time, impose and vary limits on the orders which the Client may place, including but not limited to exposure limits, turn over limits and limits as to numbers. The Client agrees that IDBI Capital shall not be responsible for any variation or reduction that may be deemed necessary by IDBI Capital based on its risk perception and other relevant factors.
- i) The Client agrees and understands that the folio number of the Client in respect of the Mutual Fund schemes shall be received by IDBI Capital from the Asset Management Company.
- j) The Client agrees that the Client shall not, without prior intimation & acknowledgement of IDBI Capital, deal/ liaise with the issuer company/ mutual fund/ asset management company or its respective registrar in respect of the services availed under this arrangement.
- k) For change of address and personal details of the CLIENT, the CLIENT shall send a letter or fax to IDBI Capital signed by all the co-holders, if any.
- l) The CLIENT is requested to check up the personal and bank related details provided by him. Neither IDBI Capital nor any of the Mutual Funds /Issuers chosen shall accept any liability which may arise as a consequence of the erroneous information provided by the CLIENT.
- m) Further, any change in the details of the Client including but not limited to the Demat account, Bank Account, Address, shall be first intimated to IDBI Capital who may in turn liaise with the Issuer Company / Mutual Fund/Asset Management Company or its respective Registrars to update such changes. The Issuer Company /Mutual Fund/ Asset Management Company or its respective Registrars may reject such requests and in such an event IDBI Capital shall not be liable for any such rejection.

- n) The Client further agrees that the Client shall not close/ change the details of the Demat account / Bank account without prior notification to IDBI Capital and the Client agrees that IDBI Capital may instruct the Depository Participant /Bank of the Client to reject any such request received from the Client.
- o) The Client acknowledges that the purchase / application instructions shall be processed by IDBI Capital only after sufficient funds to cover the purchase / application price and other costs and charges are received by the IDBI Capital.
- p) If after execution of any transaction it is for any reason found that IDBI Capital has not been provided with sufficient funds by the Client, the Client shall pay the deficient amount to IDBI Capital forth with on demand, failing which IDBI Capital may (but shall not be bound to) square up the transaction at any time at the Client's sole risk and cost. Any loss arising on such squaring up will be borne solely by the Client and the Client shall pay to IDBI Capital the additional amount that may be payable by the Client, IDBI Capital's demand being conclusive.
- q) The Client declares and confirms that the amount being invested by the Client either directly or through its Authorized Representative, in any schemes of all mutual funds or other securities including but not limited to Initial Public Offerings /Public Offers, Rights issue and Buy Back offers is obtained through legitimate sources and is not held or designed for the purpose of contravention of the provisions of any Act, Rules and Regulations or any statute or legislation or any other applicable Laws or any Notifications, directions issued by any Governmental or Statutory Authority from time to time.
- r) In case the Client is a Non-resident Indian, the Client confirms that the funds are remitted from abroad through approved banking channels or from the NRE / NRO/ FCNR account.
- s) In case of Mutual Fund, the units of schemes shall be allotted, redeemed or switched, as the case may be, at the Net Asset Value prevalent on the date of the application, if the application for purchase, redemption or switch is received by the Fund before the cut-off time as specified on the website and consistent with terms of the Scheme. IDBI Capital shall take all necessary action to ensure that the NAV allotted is the NAV applicable on the date of the transaction. However IDBI Capital shall not be liable for any loss that may arise to the CLIENT as a result of the correct NAV not being allotted to the CLIENT's transactions on the web site. Any request falling due on holiday would be processed on the next business day and respective NAV would be applicable as per the Mutual Fund s offer documents.
- t) In case of other securities, the order for purchase, sell, offer under Buy Back etc. shall be accepted by IDBI Capital only if the same is received by the cut off time/ date as indicated on the website and consistent with the terms of the offer.
- u) The CLIENT can access and view his/her /its transactions on the web site and take printouts of relevant documents. The physical copy of the transactions statement or the account statement shall be sent only on request to the CLIENT.

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- v) The Client agrees and acknowledges that after the first purchase transaction in any Mutual Fund, the Client may not be permitted to transact till the folio number is allotted.
- w) IDBI Capital does not accept any liability for delay in processing time at the Mutual Fund's/ Issuer or Registrars' end.
- x) It is explicitly stated herein that the services offered in respect of Mutual Fund schemes/ Offer Documents/ other schemes by IDBI Capital, should not be considered to have been recommended by IDBI Capital.
- y) The Client further agrees that IDBI Capital shall not be held responsible for non-allotment of securities either fully or partly to the Client, for any reason whatsoever. IDBI Capital shall not be held responsible in case due to some reason the bid/ application/ revision instructions sent by the Client is not received by it, or if the bid / application / revision could not be uploaded to the Stock Exchange, or could not be sent to the Bankers/Registrar to the issue.
- z) IDBI Capital shall not be held responsible for non receipt/ delay in/ incorrect receipt of fund, if any, from the Registrar/ Company. IDBI Capital shall not be held responsible for incorrect Tax Deduction at Source (TDS) by the Registrar /company, if applicable, or for non-receipt or delay in / incorrect receipt of TDS Certificate, if any from the Registrar /Company/Mutual Fund.
- aa) IDBI Capital shall not be liable for any loss or damage caused by reason of failure or delay of the mutual fund to deliver any units purchased even though payment has been made for the same or failure or delay in making payment in respect of any units sold, though they may have been delivered.
- bb) For all services provided by IDBI Capital for trading in securities other than on the floor of the Stock Exchange, IDBI Capital shall act on best effort basis to process applications made by the Client. IDBI Capital shall not be liable for any loss direct or indirect caused due to delay in processing of application or any other reason whatsoever.
- cc) The Client understands that the corporate actions including but not limited to Dividends, declared by the Issuer Company/ Mutual Fund shall be directly paid by the Issuer Company/ Mutual Fund to the Client.
- dd) IDBI Capital shall also not be liable to the Client for any delay, failure or refusal of the Mutual Fund/ any Issuer Company/ Corporation or other body in registering or transferring units to the names of the Clients for any interest, dividend or other loss caused to the Client arising there from.
- ee) The Client agrees to provide IDBI Capital with any confirmation/ declaration or any other document that the concerned Issuer/Asset Management Company or any other entity may from time to time require IDBI Capital to collect from the Client in respect of the services offered under this arrangement.
- ff) IDBI Capital shall not be responsible for any changes in the data of any scheme as detailed out in the Offer document or any other documents / material issued by Asset Management company/ Issuer Company/ Mutual Fund.
- gg) Neither IDBI Capital, nor any of the Mutual Funds/ nor the Issuer shall be liable for any failure to perform its

obligations, to the extent that such performance has been delayed, hindered or prevented by system failures, network errors delay or loss of data due to above and in circumstances of acts of God, floods, epidemics, quarantine, riot or civil commotion and war.

- h) IDBI Capital shall provide its services on a best efforts basis. However IDBI Capital shall not be liable for any system/ equipment failure or for any loss, damage or other costs arising in any way out of/for
- i) System failure including failure of ancillary or associated systems, or fluctuation of power, or other acts of God/ force majeure;
- ii) Accident, transportation, neglect, misuse, errors, frauds of the CLIENT's or his/her/its agents or any third party, or
- iii) Any fault in any attachments or associated equipment of the CLIENT;
- iv) Any incidental, special or consequential damages including loss of profit.
- v) The Client hereby authorises IDBI Capital to use the balance in the Client's trading account maintained with IDBI Capital for the purpose of investments in such transactions and similarly to use the balance in such Investment Account for setting off the debits in Client's Trading Account or otherwise, on the basis of Client's instructions, from time to time.

### 23. PREVENTION OF MONEY LAUNDERING

- a) The Client confirms and understands that the trading/ demat account is opened for trading/investment in securities.
- b) The Client has read and understood the Prevention of Money Laundering Act (PMLA), 2002, Rules, Circulars made there under & IDBI Capital's Policy for Prevention of Money Laundering available on the website of IDBI Capital.
- c) The Client agrees to abide by the Prevention of Money Laundering Act, 2002, Rules, Regulations there under, circulars, press release, KYC Norms and Policy, as and when made applicable, issued by any regulatory authority as formed there under from time to time.
- d) The Client shall provide with all necessary information and details as required by IDBI Capital from time to time.
- e) The Client agrees that he/she/they are not a person of a suspicious background or having links with any known criminals and the Client is not involved or indulged knowingly or assist, directly or indirectly, in any process or activity connected with the proceeds of crime nor is a party to it.
- f) The Client agrees that he/she/they is/are neither involved nor have indulged knowingly or assisted, directly or indirectly in projecting any proceeds of crime as an untainted property.
- g) The funds utilized/proposed to be utilized for the purpose of investment have been derived through proper means and does not involve any black or hawala money in any manner.
- h) The transfer of funds/securities from the account maintained in the account shall be from known source and the Client shall provide clarification to IDBI Capital on request.
- i) The Client shall be responsible for any transactions taking place in his/her/their account.
- j) The Client shall intimate the Principal Officer of IDBI

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Capital as well as the concerned authority on knowing of any suspicious transactions or having obtained any material which may have any link with any crime or proceeds of crime.

- k) The Client shall provide to IDBI Capital, on an annual basis, income and other financial details including a copy of income tax return filed with the Income tax department or any other relevant document as required by IDBI Capital from time to time.
- l) The Client agrees, undertakes and authorizes IDBI Capital or its agents to make references and enquiries relative to information in this application which IDBI Capital or their agents consider necessary.
- m) The Client agrees and authorizes IDBI Capital and its agents to exchange, share or part with all the information, data or documents relating to his/her/their application and transaction information to other IDBI Capital Group Companies/Banks/Financial Institutions/Credit Bureaus/Agencies/Statutory Bodies/Regulatory Bodies/Auditors as IDBI Capital may deem necessary and/or appropriate as may be required for use or processing of the said information/ data by such person (s) or furnishing of the proceed information/data/products thereof to other Banks/Financial Institutions/Credit Providers/Agencies/Users registered/Regulatory Bodies/Auditors with such persons and the client shall not hold IDBI Capital to whom such information etc. is disclosed liable for the disclosure or use of such information.
- n) The Client agrees and understands that IDBI Capital reserves the right to reject any application without providing any reason. Further the Client agrees and understands that IDBI Capital reserves the right to retain the application forms, and the documents provided there with, including photographs and the same will not be returned to the Client.

#### **24. MISCELLANEOUS PROVISIONS GOVERNING THE TERMS:**

- a) The Client hereby unconditionally, absolutely and irrevocably undertakes to pay immediately any amount due and payable under these Terms and Conditions on being called upon to do so without any demur, merely on a demand in writing from IDBI CAPITAL stating that the amount claimed has become due and any such demand made on the Client shall be conclusive as regards the amount due and payable by the Client.
- b) The Client agrees that any notice served on the Client either by actual delivery thereof or sent by Registered Post /E-mail / Fax to the address of the client first mentioned herein above shall be deemed to have been duly served.
- c) One or more of the provision of these Terms and Conditions may be invoked by IDBI CAPITAL whenever there is a loss occasioned to IDBI Capital without affecting its rights to invoke these Terms and Conditions for any further loss that may devolve later.
- d) All trades, transactions and contracts are subject to the Rules, Bye-Laws and Regulations of the Exchange.
- e) The CLIENT agrees that each participating Exchange or association or agency asserts a proprietary interest in all of the market data it furnishes to parties that disseminate the said data. The CLIENT shall use real-

time quotes received on the web site of IDBI Capital only for the CLIENT's individual use and shall not furnish such data to any other person or entity. The CLIENT is authorised to use materials which are made available by IDBI CAPITAL's web site for the CLIENT's own needs only, and the CLIENT is not authorized to resell access to any such materials or to make copies of any such materials for sale or use to/ by others. The CLIENT shall not use, modify or delete any copy right or other intellectual property rights, notices from printouts of electronically accessed materials from IDBI Capital web site.

- f) In cases where the Client has Trading account as well as demat account with IDBI Capital, for the convenience of payment of all the charges, pertaining to the Client's demat account, the Client authorises IDBI Capital to debit his/her trading account with all the DP account charges, as and when the bill is raised by IDBI Capital.

#### **g) LIMITATION OF LIABILITY:**

IDBI CAPITAL does not guarantee, and shall not be deemed to have guaranteed, the timeliness, sequence, accuracy, completeness, reliability or content of market information, or messages disseminated to the CLIENT or the execution of the orders placed by the CLIENT. IDBI CAPITAL shall not be liable for any inaccuracy, error or delay in, or omissions of,

- 1) any such data, information or messages, or
- 2) the transmission or delivery of any such data, information or messages, due either to any unintentional act or omission by IDBI CAPITAL or to any "force majeure" event (e.g. flood, extraordinary weather condition, earthquake or any other act of God, fire, war, insurrection, riot, labour dispute, accident, action of government, communication failure, power failure, shut down of the systems for any reason (including on account of computer viruses equipment or software malfunction); or otherwise or any cause beyond the reasonable control of IDBI CAPITAL
- 3) Cancellation or non-execution of the order placed by the CLIENT with IDBI CAPITAL.
- h) IDBI CAPITAL shall not be liable for any inaccuracy, error, false statement, misrepresentation committed by any sales or other associates /third parties engaged by IDBI Capital to promote the services offered by it. The CLIENT agrees that he/she/it places no undue reliance on such persons and will exercise due care and diligence in relying on any statements made by any persons. Under no circumstances shall IDBI CAPITAL or anyone involved in creating, producing, delivering or managing IDBI Capital services be liable for any direct, indirect, incidental, special or consequential damages that result from the use of or inability to use the service, delay in transmission of any communication, in each case for any reason whatsoever (including on account of breakdown in systems) or otherwise.

#### **i) INTERRUPTION IN SERVICES:**

IDBI CAPITAL does not warrant that the service will be uninterrupted or error free. The service is provided on an "as is" and "as available" basis without warranties of any kind, either express or implied, including, without limitation, those of merchant ability and fitness for a particular purpose. The CLIENT agrees that IDBI Capital shall not be held responsible for any breakdown of the

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system either due to the fault of the systems of IDBI CAPITAL or of the Exchanges or otherwise for any reason whatsoever.

- j) The CLIENT undertakes that the Client has read the relevant rules and regulations and further undertakes to abide by the mat all times. It shall be the responsibility of the CLIENT to comply with all trading / settlement cycles, delivery /payment schedules, any changes therein from time to time and the procedures of the relevant stock exchanges/clearing houses as may be applicable to the CLIENT.

- k) The CLIENT is aware that IDBI CAPITAL records the conversations between the CLIENT/ CLIENT's representative and IDBI Capital, either personally or over the telephone, and hereby specifically permits IDBI CAPITAL to do so. Such recordings may be relied upon by IDBI CAPITAL and the Client for valid purposes as and when required to resolve disputes in connection with the trading transactions or for any other purpose.

**l) RESTRICTIONS ON ACCESS TO WEB SITE AND TRADING**

The CLIENT understands that IDBI CAPITAL may at any time, at its sole discretion and without prior notice to the CLIENT, prohibit or restrict the CLIENT's access to the use of the website or related services and the CLIENT's ability to trade. IDBI Capital may block the CLIENT's account at any time for any reason and without prior notice to the CLIENT. The CLIENT will bear any loss that he/she/it may be faced with due to inability to execute further trades on account of such restriction. The blocking of an account will not affect the rights and/or obligations of either IDBI Capital or the CLIENT accrued prior to the date the account is blocked.

**m) INDEMNITY**

- (i) Though orders are generally routed to the Exchange immediately after being placed by the CLIENT, on failure of execution of the order due to any link/system failure at the CLIENT/ IDBI Capital /Exchange's end or for other reasons, the CLIENT hereby specifically indemnifies and holds IDBI CAPITAL harmless from any and all claims, and agrees that IDBI Capital shall not be liable for any loss, actual or perceived, caused directly or indirectly by government restriction, exchange or market regulation, suspension of trading, war, strike, equipment failure, communication line failure, system failure, security failure on the Internet, shutdown of systems for any reason (including on account of computer viruses), unauthorized access, theft, any fraud committed by any person whether in the employment of IDBI CAPITAL or otherwise or any problem, technological or otherwise, that might prevent the CLIENT from contacting the TRADE OVER PHONE SERVICES of IDBI CAPITAL or entering IDBI CAPITAL's system for executing an order
- (ii) The Client agrees that the provision of indemnity shall continue to remain in force until IDBI CAPITAL in writing discharges of the said obligations / liabilities of the client.
- (iii) The CLIENT further agrees that he/she/it will not be compensated by IDBI CAPITAL for any "lost opportunity" viz. notional profits on buy/sell orders which could not be executed due to any reason whatsoever, including but not limited due to time lag in the execution of the order or the speed at which the system of IDBI CAPITAL or of

the Exchanges is operating, any shutting down by IDBI Capital of his/her/its system for any reason or IDBI Capital disabling the CLIENT from trading on its system for any reason whatsoever.

**n) WARRANTIES OF CLIENTS:**

- (i) The CLIENT hereby represents and warrants that the terms and conditions stated herein have been clearly understood and that the information furnished to IDBI CAPITAL is accurate and truthful. The Client agrees, confirms and admits that it shall keep IDBI Capital updated of its financial position/details from time to time.
- (ii) All actions required to be taken to ensure compliance of all the transactions, which the client may enter into pursuant to this arrangement with all applicable laws, shall be completed by the client prior to such transaction being entered into.
- (iii) If Client resides or gives any orders from outside India, Client agrees to ensure and represent that such orders will have to be given in compliance with any and all applicable law of the relevant jurisdiction from which Client orders are given and laws and regulations prevalent in India, and Client further agrees that Client shall, when, in doubt, consult or obtain legal and professional advice in or of the relevant jurisdiction. Client accepts that there may be taxes, duties, impositions or charges payable to relevant authorities in respect of Client residing or the giving of any order from outside India and the execution of such order, and Client agrees to pay such taxes, duties, impositions or charges as are applicable and authorizes IDBI Capital to make such payments on its behalf, if required by law, which shall be completely and entirely reimbursed and paid to IDBI Capital by Client. Client further agrees to indemnify IDBI Capital on demand for any claims, demands, actions, costs and expenses IDBI Capital may suffer or incur in connection with or arising from Client residing or giving of any such order from outside India.
- (iv) Client agrees to pay the charges as per the schedule of charges attached to the form and any revision thereof from time to time. Opening of the trading account is subject to the payment of these charges.
- (v) Client authorises IDBI Capital to debit all the incidental charges/ expenses and credit all the transaction proceeds automatically to its trading account with IDBI Capital for the trading activities/facilities.
- (vi) The Client confirms that no insolvency proceedings have been initiated against the Clients nor has the Client been adjudicated insolvent.
- (vii) The Client confirms that the Client is not a member of the National Stock Exchange of India Ltd or BSE Ltd., and in the event of becoming members of the respective stock exchange(s) in future the Client shall intimate IDBI Capital of the same and shall not execute trades through IDBI Capital.

**o) ASSIGNMENT**

The client agrees and acknowledges that IDBI Capital may at any time during the subsistence of the arrangement, as per applicable laws, rules and regulations, assign, transfer or otherwise alienate, by executing terms and conditions or in any other manner, all or any of its rights and/ or obligations in terms of this arrangement to any person or entity including but not limited to its affiliates, associates or sister companies

Client Signature

FH  
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and the rights and obligations of IDBI Capital under this arrangement or any amendment or modification here to shall vest and ensure in favour of such assignee without any further act or deed. The client may not assign any right or obligations here under without first obtaining the prior written consent by an authorized officer of IDBI Capital. IDBI Capital may however, assign the rights and obligations to any third person as per applicable laws, rules and regulations.

p) **SEVERABILITY:**

In case any one or more of the provisions contained in these terms and Conditions becomes invalid, illegal or unenforceable in any respect under any law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired hereto.

## 25. TERMINATION OF SERVICE

The services may be withdrawn any time by IDBI Capital provided the Client(s) are given a notice of one month under the circumstances. The closure of all accounts of the Client (s) will automatically terminate the services of IDBI Capital. IDBI Capital may suspend or terminate trading facilities without prior notice if the Client(s) has breached these terms and conditions or any document executed with IDBI Capital in respect of the services or IDBI Capital has learnt of the death, bankruptcy or lack of legal capacity of the Client(s). Cancellation/ termination shall not affect the rights and liabilities of the parties in respect of the transactions executed before the date of such notice.

## 26. DISPUTE RESOLUTION & JURISDICTION

- a) IDBI CAPITAL and the CLIENT are aware of the provisions of the Rules, Bye-laws and Regulations of the Exchanges relating to the resolution of the disputes / differences through the mechanism of arbitration provided by the Exchanges and agree to abide by the said provisions in so far as any disputes under these Terms relate to transactions that have been carried out or were to be carried out on the Exchanges.
- b) the court having jurisdiction over the area in which regional arbitration centres is situated shall have jurisdiction in respect of any procedure.
- c) This service does not constitute an offer to sell or solicitation of an offer to buy any shares, securities or other instruments to any person in any jurisdiction where it is unlawful to make such an offer or solicitation. This service is not intended to be any form of an investment advertisement, investment advice or investment information and has not been registered under any securities law of any foreign jurisdiction and is only for the information of any person in any jurisdiction where it may be lawful to offer such a service. Further, no information on the websites of IDBI Capital is to be construed as a representation with respect to shares, securities or other investments regarding the legality of an investment therein under the respective applicable investment or similar laws or regulations of any person or entity accessing [www.idbidirect.in](http://www.idbidirect.in) or any other website maintained by IDBI Capital.

## 27. PROPRIETARY TRADING:

IDBI CAPITAL discloses herewith that it undertakes

proprietary trading. The CLIENT confirms having read and understood the terms and conditions of IDBI CAPITAL and those relating to various services and products and accepts and agrees to be bound by the terms and conditions including those excluding/limiting IDBI CAPITAL's and Exchanges' liabilities.

## 28. AMENDMENT:

These terms and conditions can be altered, amended and / or modified by the parties mutually in writing. Provided however, if the rights and obligations of the parties hereto are altered by virtue of change in Rules and Regulations of SEBI or bylaws, Rules and Regulations of the Exchange, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in these terms and conditions. Such amendments shall be intimated to the CLIENT. In case the CLIENT continues to deal with IDBI Capital subsequent to the intimation of such amendments, it shall be deemed that the CLIENT is agreeable to the new clauses. However the CLIENT has the right to terminate the arrangement through communication in writing subject to the meeting of the financial and other obligations under these terms and conditions. The provisions of these terms and conditions shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchange that may be in force from time to time.

## 29. RESEARCH / TRADING RECOMMENDATION RECEIVED BY THE CLIENT:

The Client may at its discretion avail of the Research/ Trading recommendations provided by IDBI Capital from time to time. In this regard, the Client understands that IDBI Capital produces fundamental and trading research/ notes/ trading calls / technical calls, particularly on companies, industry, stock markets, and economy from time to time (collectively herein after referred to as "material"). The Client authorizes IDBI Capital to provide the Client with such material through email or by access to the website of IDBI Capital or through SMS or any other mode on a voluntary basis. The Client is aware that such material provided to the Client is only for the personal information of the Client and the Client undertakes that the same shall not be reproduced or redistributed to any other person. The Client understands that such material is not an offer or the solicitation of an offer to buy any security. By sending this material IDBI Capital or any of its officers, directors, personnel and employees shall not be liable for any loss, damage of any nature, including but not limited to direct, indirect, punitive, special, exemplary and consequential, as also any loss of profit in any way arising from the use of this material in any manner. The Client is also aware that the investments discussed in such material may not be suitable for all investors. The Client shall, therefore, before dealing and/or transacting in any of the products referred to in such material, make their own investigation, due diligence seek appropriate professional advice. The Client alone shall be fully responsible/ liable for his/ her/ its investments/ disinvestments on the basis of such material. The Client also agrees that IDBI Capital may discontinue providing such material to the Client and that it would have no responsibility to update any information provided to the Client nor does it represent that the information provided in such material is complete. Further by providing such material

Client Signature

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IDBI Capital is not acting as the Client's portfolio or financial adviser nor does it assume any fiduciary duties.

### 30. DISCLOSURE

As required by the Stock Exchange, IDBI Capital would like to make the following disclosure. The Clauses contained in the Rights and Obligations, Risk Disclosure Document and

Guidance Note are mandatory clauses prescribed by SEBI/ the Exchanges from time to time. The clauses in these terms and conditions including the clauses pertaining to internet trading are additional clauses and are voluntary at the discretion of IDBI Capital and the Client but are required for efficient provision of services by IDBI Capital.

Client Signature

FH  
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## APPENDIX A RUNNING ACCOUNT LETTERS (VOLUNTARY)

I hereby authorize IDBI Capital to maintain my account, funds with IDBI Capital on a running basis until the settlement date as given below and to consider the balances in my running funds account with IDBI Capital for the purpose of margin or any other obligations due to IDBI Capital across any segment of any Exchanges and also authorize IDBI Capital to hold my credit in anticipation of the future debits in my account, subject to the provisions contained in SEBI Circular nos. CIR/HO/MIRSD/DOP/CIR/P/2019/75 & SEBI/HO/MIRSD/DOP/CIR/P/2019/95 dated June 20, 2019 & August 29, 2019, respectively and/or any amendments thereto.

I further authorize IDBI Capital to set off/adjust any of my debits/dues in any segment of any exchanges with credits of any other segment(s) of any Exchange(s) in my account.

I/ We understand and agree that no interest will be payable to me/us on the amounts so retained with IDBI Capital. I understand that in the event of me having outstanding obligations on the settlement date, IDBI Capital may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.

I agree to bring any dispute arising from the statement of account or settlement made by IDBI Capital to the notice of IDBI Capital preferably within 7 working days from the date of receipt of funds or statements, as the case may be. I understand that such periodic settlement of running account shall not be necessary in the following cases:

- i. in case of margin trading, if available
- ii. for funds deposited by me towards collaterals/ margin in the form of bank guarantee (BG)/ Fixed Deposit receipts (FDR).

I understand that this authority for maintaining running account may be revoked by me at any time. I/We will be liable for all losses, damages and actions which may arise as consequence of your adhering to and carrying out my/ our directions given above and further agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention monies.

I hereby agree that actual settlement of funds in my account may be made at least once in a

☐ Quarterly (Please tick whichever is applicable)

☐ Monthly

Client Signature

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Demat Debit and Pledge Instruction (DDPI)		Date <b>DDMMYYYY</b>	
I/We hereby give Demat Debit and Pledge Instruction to IDBI Capital Markets & Securities Ltd (ICMS) for my/our demat accounts mentioned below:			
Demat account of the client for which this DDPI is given			
Demat account to be opened through Application / Form No:			
Client ID -		with DP ID -	PAN –
First Account holder Name Demat			
Second Account holder Name Demat			
Third Account holder Name Demat			
Details of Demat accounts of IDBI Capital Markets & Securities Ltd (ICMS) where securities can be transferred and/or pledged using below mentioned DDPI are provided under			
<b>Schedule I.</b>			
S. No.	Purpose	Signature of Client*	
		First Holder	Second Holder
1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.		
2	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.		
3	Mutual Fund transactions being executed on stock exchange order entry platforms and which shall be in compliance with SEBI circulars.		
4	Tendering shares in open offers which shall be in compliance with SEBI circular.		
* the same may be eSigned or signed physically			
Schedule I: Demat accounts where securities can be transferred / pledged /Mutual Fund transactions Tendering shares in open offers. Note : ICMS-IDBI Capital Markets & Securities Ltd. ; NSDL – National Securities Depository Ltd ; CDSL – Central Depository Services Ltd			
CM BP ID		CM NAME	
NSE – IN503854		IDBI CAPITAL MARKETS & SECURITIES LTD	
BSE – IN600846		IDBI CAPITAL MARKETS & SECURITIES LTD	

Annexure – 1 List of Demat Account of IDBI Capital Markets & Securities Ltd			
Sr. No.	Name of the Account Holder	DP Id	Client Id
1	IDBI Capital Markets & Securities Ltd (NSDL - Client unpaid Securities account)	IN300079	10812926
2	IDBI Capital Markets & Securities Ltd CDSL – CUSA A/C	13011900	00019476
3	IDBI CAPITAL MARKET & SECURITIES LTD – NSDL Pool Account – NSE	IN300079	10000004
4	IDBI CAPITAL MARKET & SECURITIES LTD – NSDL Pool Account – BSE	IN300079	10008130
5	IDBI CAPITAL MARKET & SECURITIES LTD – CSDL Pool Account – NSE	16010100	00002458
6	IDBI CAPITAL MARKET & SECURITIES LTD – CSDL Pool Account – BSE	13011900	00008531
7	IDBI CAPITAL MARKETS & SECURITIES LIMITED - TM/CM Client Securities Margin Pledge Account	IN300079	10868840
8	IDBI CAPITAL MARKETS & SECURITIES LIMITED - TM - Client Securities under Margin Funding Account	IN300079	10868858

Annexure – 2 - List of Demat Account of Clients			
Sr. No.	Name of the Account Holder	DP Id	Client Id

<input type="checkbox"/>	We accept IDBI Capital Markets & Securities Ltd (Stock Broker)	
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## TRADING PRODUCTS/FACILITIES –TERMS AND CONDITIONS

The following products/facilities/modes of trade are available to all clients.

### EN-CASH :

1. This facility enables the clients to receive sale proceeds on Trade day (T-day) as against the normal T+2 settlement.
2. The facility is available only in respect of Sell transactions in the Cash Market on BSE
3. The facility is available only to Resident Indian clients.
4. Funds shall be transferred to the client's account at the end of day only if the securities sold are received by IDBI Capital.
5. The stock sold should be available in the client's demat account registered with IDBI Capital.
6. Funds will be transferred to client's account after accounting for all other obligations due from the client to IDBI Capital.
7. A flat brokerage rate of 1% shall be charged to the client for EnCash transactions.
8. In case of trades executed under this facility on a day which is a Bank or Clearing holiday, settlement shall be made on the immediate following trade day/Bank working day.
9. Orders placed under other products/ facilities cannot be converted to ENCASH, similarly ENCASH orders cannot be converted to other products/facilities.

### E-MARGIN (T+7) :

1. The E-margin product/facility enables clients to buy stocks today & pay upto 5 days from the date of settlement of the trade.
2. Margins will be levied in line with the Exchange requirements; MTM loss will also be charged to margin and are subject to change based on market conditions, internal and external regulations.
3. Interest will be charged @ 0.06% (on 365 days basis)
4. Client position may be Converted to Delivery or Squared off by IDBI Capital at any time on account of risk considerations.
5. On or before, T+7 trading day E-Margin positions should be Converted to Delivery or Squared off by the client before 14:30 hours failing which these may be squared off by IDBI Capital. All losses incurred/ profits booked upon such square off shall be to the client's account and the client will not be allowed to buy scrips being sold off on the same day.
6. No further exposure will be granted if a position remains open beyond T+7 days from the day of original trade, only delivery to square off the debits will be allowed.
7. In case of short delivery on the settlement of the trade, the short delivered quantity will be treated as Convert to Delivery (C to D), while the balance quantity will be continued under E-Margin.
8. Convert to delivery for E Margin trades is based on FIFO method and brokerage shall be charged accordingly.
9. Brokerage for E-Margin trades is also calculated on FIFO method. Delivery brokerage will be charged on open positions converted to delivery. Fresh purchases of the same scrip on the same day as Converted to Delivery will be also charged delivery brokerage and will not be netted off

10. This facility is restricted to such scrips as may be decided by IDBI Capital from time to time.

11. The facility is available only to Resident Indian clients.

12. E-Margin positions will be continued until

- The client/ IDBI Capital exercises the Convert to Delivery options.
- Positions remain open till T+7 day from the trade date.

### COLLATERAL SELL :

1. Under this facility Clients have the option to sell their securities marked as Collateral in favour of IDBI Capital.
2. This facility can be availed by the client subject to availability of adequate unencumbered stock/ collateral in the client's accounts.
3. This facility is available only to clients having a DP account with a Depository Participant who is an Alliance Partner of IDBI Capital and as permitted by IDBI Capital from time to time.
4. The facility is available only to Resident Indian clients.

### EQUITY SIP :

1. This facility permits the clients to invest systematically at specified intervals in securities on BSE by stating the scrips and number/ amount to be invested.
2. An initial set up charge of Rs. 100/- per equity SIP will be levied.
3. The client must ensure and provide for sufficient funds for execution of the SIP on the respective dates.
4. A maximum of 10 scrips can be included in each SIP.
5. Clients are required to sign a separate Enrolment Form/ online Login for each new SIP.

### General :

Upon selection of the said product at the time of trade, the client agrees that the above terms and conditions of the respective product/ facility shall be applicable.

Additionally the client may also trade in equities under cash and carry (CNC) and the derivatives segments as per the options selected by the client at the time of account opening or thereafter.

The above terms and conditions are supplemental to the Additional Terms and Conditions specific to IDBI Capital Markets & Securities Limited agreed to by the client at the time of account opening.

**Note :** Square off brokerage will be charged for two contralegs of the same product type on the same Exchange on the same trading day. In case of Contra trades on a particular trading day across different products or across Exchanges, Delivery Brokerage shall be applicable.

### Note (applicable to all products)

No further exposure shall be provided to the client in the event debit in the client's account on a consolidated basis exceeds 5(five) trading days from the date of payout.

Client Signature

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This document is voluntary. However, this would facilitate seamless trading platform with integrated bank account, demat account and broking account.

**Addition of Mandate Holder (Bank Mandate)**

To,

\_\_\_\_\_  
(Name of Bank)

**Sub: Request to add a mandate holder**

**Reference: Addition of mandate holder in respect of existing \_\_\_\_\_ Bank Account Number**

Dear Sir/Madam,

I am desirous of appointing IDBI Capital Markets & Securities Ltd (IDBI Capital) as a mandate holder in respect of Bank Account with \_\_\_\_\_ Bank Ltd, the details of which are as follows:

Date:	
Place:	
Name of Sole/First Holder:	
Name of the Second Holder:	
Name of the Third Holder:	
Account Number:	
Customer ID:	

I/We wish to participate in the trading, investment and other services and products offered by IDBI Capital. In order to facilitate proper execution of all transactions, including but not limited to, transactions for purchase (including margin trading), investment in shares & securities, scrips, stocks, bonds debentures, mutual fund units, or derivatives, including but not limited to, Equity Derivatives, Currency Derivatives application for any offer or public issue of shares, open offers made by the issuers, right issues made by issuers, transactions for Securities lending & borrowing system (hereinafter referred to as "Purpose"), I/We am/are hereby appointing IDBI Capital as my/our mandate holder and authorize IDBI Capital for the following:

To operate, block and /or debit the above mentioned Bank Account as per my instructions to IDBI Capital furnished in any manner acceptable to IDBI Capital, to meet all my obligations in terms of the rights and obligation document for transactions done on National Stock Exchange of India Limited (NSE) & Bombay Stock Exchange Limited (BSE), or any other recognized Stock Exchange by transferring the funds to designated bank accounts of IDBI Capital as mentioned in Annexures or any other bank account/s of IDBI Capital as may be notified by IDBI Capital on its website to me from time to time on my instructions and to give other instructions relating to the Bank Account(s), for any matter concerning the above mentioned purpose, including charges for account opening and availing of various services and facilities from IDBI Capital.

To credit/debit the Bank Account(s) with monies received from/delivered by IDBI Capital erroneously on my/our behalf.

To debit my/our Bank Account(s) towards monies/fees/charges etc. due to IDBI Capital, IDBI Bank and to discharge all obligation in this regard on my/our behalf to IDBI Capital, IDBI Bank.

To debit/credit my/our Bank Account(s) towards monies/fees/charges etc. payable to IDBI Capital, IDBI Bank and/or to a Third Party Product/Service Provider or to any of the affiliates/subsidiaries of IDBI Capital/IDBI Bank by virtue of I/We using/subscribing to any of the facilities/services provided either by IDBI Capital, IDBI Bank, or by a Third Party Product/Service Provider or by any of the affiliates/subsidiaries of IDBI Capital/IDBI Bank.

To receive my/our Bank transaction statements, either in a physical copy format or a format which can be uploaded in system, from time to time.

To create the first and paramount of lien on the Bank Account to exercise such lien in the event of any loss suffered/costs incurred on account of any transaction done/executed as per my/our instructions or as per terms and conditions of the products/services availed of by me/us.

I/We hereby agree and confirm that this mandate letter shall be cancelled or revoked by furnishing a written intimation of the cancellation/revocation request to IDBI Capital and due intimation to \_\_\_\_\_ Bank, which request shall bear an acknowledgement. I/We further agree and confirm that this mandate letter will be revoked/cancelled only after fulfillment of my/our obligation pertaining to unsettled transactions and outstanding dues payable to IDBI Capital/\_\_\_\_\_ Bank Ltd and/or to a Third Party Product/Service provider or to any of their affiliates/subsidiaries as per the terms and conditions of the services/products availed by me/us.

Customer Signature(s) (To be signed by all account Holders)

Signature to be as per Bank records:

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Notes: Signatures of all account holders are mandatory for mandate addition.

CC: IDBI Capital Markets & Securities Ltd

Annexure 1 – Accounts of IDBI Capital Markets & Securities Ltd – Bank Accounts

#### Client Bank Account

Sr. No	Name of the Account holder	Bank Name	Bank account no.
1.	IDBI Capital Markets & Securities Ltd.- Client account - CLIENT A/c	IDBI BANK LTD.	004102000023579
2.	IDBI Capital Markets & Securities Ltd.- Offline Broking -Client account	IDBI BANK LTD.	004102000035732

#### B - Settlement Bank Account –

Sr. No	Name of the Account holder	Bank Name	Bank account no.
1.	IDBI Capital Markets & Securities Ltd.- Settlement account - NSE CM SETTLEMENT A/c	IDBI BANK LTD.	004102000030126
2.	IDBI Capital Markets & Securities Ltd.- Settlement account - BSE CM SETTLEMENT A/C	IDBI BANK LTD.	004102000030117
3.	IDBI Capital Markets & Securities Ltd.- Settlement account – NSE DERIVATIVE SETTLEMENT A/C	IDBI BANK LTD.	004102000030108
4.	IDBI Capital Markets & Securities Ltd.- Settlement account – NSE CD SETTLEMENT A/C	IDBI BANK LTD.	004102000038085



Open Savings & Demat Account With PNB. And Trading Account With IDBI Capital Markets & Securities Ltd.



# Open 3-in-1 Account with us



## Offers 3-in-1 Account

**Savings Cum Demat & Trading Account**

**One Account with Flexible  
Investment Options**

For more details, call us on:

**1800 22 33 66**

Open Savings & Demat Account With PUNJAB NATIONAL BANK.  
And Trading Account With IDBI Capital Markets & Securities Ltd.

Contact Your Nearest PUNJAB NATIONAL BANK  
Or Call us on : 022 3913 5001 / 1800 22 33 66

IDBI Capital Markets & Securities Ltd. 6th Floor, IDBI TOWER,  
WTC Complex, Cuffe Parade. Mumbai-400 005

S.No.: **E-PNB**

Version **3.7**

Online  
Trading



Online  
Depository



Online  
Banking



# Client Registration Form

Individual / HUF / Firms / Corporate

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

Client Code \_\_\_\_\_

PNB SB A/c No. \_\_\_\_\_

PNB DP A/c No. \_\_\_\_\_

STAMP OF SUB BROKER/ BRANCH WITH NAME & ADDRESS

Group 2

Group 3



Moneywise. Be wise.



**smc**  
**online**

## GENERAL INSTRUCTIONS TO FILL THE FORM

<b>A. FILL IN BLOCK LETTERS WITH BLACK/BLUE PEN.</b> ✎ All correction / overwriting should be counter signed by client.	<input type="checkbox"/>
<b>B. PROVIDE ALL NECESSARY DOCUMENTARY PROOFS (AS PER DOCUMENT CHECKLIST)</b> ✎ Name of client on all documents should match with name in KYC Form on page A1/A3 - (For minor difference, fill declaration on page C12)	<input type="checkbox"/>
<b>C. CLIENT SIGNATURES</b>	
	<input type="checkbox"/>
On Documentary Proofs	<input type="checkbox"/>
On KYC Form: marked as ⊗ Sole / First Holder ⊗ Second Holder ⊗ Third Holder	<input type="checkbox"/>
INDIVIDUAL All documentary proofs should be <b>self-attested</b> (signed) by Individual. Individual should sign at 19 places	NON-INDIVIDUAL All documentary proofs should be signed by authorised signatory(ies) / Karta / Partner with rubber stamp Karta / Partners / All authorised signatory(ies) should sign with rubber stamp
✎ Client signatures should match with sign on PAN card / DL / Passport (in case of individual) OR account opening payment cheque. ✎ In case of any mismatch provide declaration on page C12	<input type="checkbox"/>
<b>D. WITNESS SIGNATURES</b> with name & address required at 2 places (marked as ⊖-⊖ on pages A7*, C3) * Two witnesses are required on page A7	<input type="checkbox"/>
<b>E. REGISTERED Sub-Broker / AP/ RM signature with stamp</b>	
INDIVIDUAL / NON INDIVIDUAL	<input type="checkbox"/>
In Person Verification (IPV) on Page A2	<input type="checkbox"/>
On all copies of client documents	<input type="checkbox"/>
Introducer details and signature on Page A6	<input type="checkbox"/>
<b>F. Fill Brokerage and choose ANYONE account opening scheme from Tariff Sheet on Page A9</b> Approval is provided (if required)	<input type="checkbox"/>
<b>G. Provide unique Email ID &amp; Mobile Number on Page A1/A3</b> Note: E-mail ID & Mobile Number is mandatory. Provide your mobile number & E-mail ID to receive information of your transactions directly from Exchange & Depository on your mobile / E-mail at the end of the day. If Mobile No. is of Spouse/Dependent Children or Parents, please sign declaration on Page C12	<input type="checkbox"/>

### Proof of Identity

Copy of PAN Card

### Proof of Address (Anyone)

<b>For Individuals</b> (Client / Karta / Partners / Directors / Promoters / Trustee / Authorised signatory)	Aadhaar / Passport / Voters ID Card/ Driving License (Documents having an expiry date should be valid on the date of submission)
<b>For Non Individuals</b> (Corporate / Partnership / Trust etc.)	Telephone Bill (only land line) / Electricity bill / Gas bill / Bank Account Statement (Not more than 3 months old) Registered Lease or Sale Agreement

### Bank Account Proof (Anyone)

Copy of cancelled cheque leaf with pre-printed name / pass book / Latest bank statement specifying name of the constituent, MICR Code and IFSC of the bank should be submitted

### Additional documents in case of trading in derivatives segments (Anyone)

Copy of latest Income Tax Return	Latest Net worth certificate
Last month Salary Slip or Copy of Form 16 (for salaried persons)	Copy of demat account holding statement with value
Bank account statement for last 6 months	Copy of Annual Accounts

### Demat Account Proof (For clients having demat account outside SMC)

Demat client master or recent holding statement issued by DP bearing name & PAN of the client

## DOCUMENTS REQUIRED - CHECKLIST

### FOR INDIVIDUAL

#### DOCUMENTS OF INDIVIDUAL

- ☐ Pol ☐ PoA ☐ Bank & MICR/IFSC Proof ☐ Income Proof ☐ Proof of Demat A/c  
 (Provide any one proof of each, as per table)
- ☐ Photograph pasted on page A1 & signed across

#### DOCUMENTS OF NOMINEE (required, if nomination facility is chosen)

- ☐ Photograph pasted on page A7

### FOR HUF

#### DOCUMENTS OF HUF

- ☐ Pol ☐ PoA ☐ Bank & MICR/IFSC Proof ☐ Income Proof ☐ Proof of Demat A/c  
 (Provide any one proof of each, as per table)

#### DOCUMENTS OF KARTA (Individual member in whose name HUF is formed)

- ☐ Photograph pasted on page A4
- ☐ Pol ☐ PoA (Provide any one proof of each, as per table)

#### SIGNATURES OF ALL COPARCENERS (family members other than Karta)

- ☐ Signatures on page A8 / Deed of declaration of HUF (any one)
- ☐ Signatures of all major coparceners on Power of Attorney on page C3

### FOR CORPORATE

#### DOCUMENTS OF CORPORATE

- ☐ Pol ☐ PoA ☐ Bank & MICR/IFSC Proof ☐ Income Proof ☐ Proof of Demat A/c  
 (Provide any one proof of each, as per table)
- ☐ Board Resolution for investment in securities market with name of authorised signatory(ies) and mode of operations (jointly or severally)
  - ☞ On Letter head of Company and should be certified by two directors
  - ☞ download format from [www.smctradeonline.com/download.aspx](http://www.smctradeonline.com/download.aspx)
- ☐ Articles & Memorandum of Association (Along with Certificate of Incorporation)
- ☐ Latest shareholding pattern
  - ☞ Including list of all those holding control, either directly or indirectly, in the company in terms of SEBI Takeover Regulations, duly certified by the company secretary / WTD / MD (to be submitted every year)
  - ☞ In case corporate shareholder holding more than 25% shares, shareholding pattern of that corporate is also required
- ☐ Balance Sheets for last 2 financial years (to be submitted every year)

#### DOCUMENTS OF ALL WHOLE TIME DIRECTORS (WTD) / TWO DIRECTORS IN CHARGE OF DAY TO DAY OPERATION

- ☐ Photograph pasted on page A4
- ☐ Pol ☐ PoA (Provide any one proof of each, as per table)

#### DOCUMENTS / SIGN OF ALL AUTHORISED SIGNATORY(IES)

- ☐ Photographs on page A8 / on letterhead of company
- ☐ Signatures on page A8 / on letterhead of company

#### DOCUMENTS OF ALL INDIVIDUAL PROMOTERS HOLDING CONTROL EITHER DIRECTLY OR INDIRECTLY

- ☐ Photograph pasted on page A4
- ☐ Pol ☐ PoA (Provide any one proof of each, as per table)

### FOR PARTNERSHIP FIRM

#### DOCUMENTS OF PARTNERSHIP FIRM

- ☐ Pol ☐ PoA ☐ Bank & MICR/IFSC Proof ☐ Income Proof ☐ Proof of Demat A/c  
 (Provide any one proof of each, as per table)
- ☐ Certificate of Registration (in case of registered Partnership Firms Only)
- ☐ Partnership Deed
- ☐ Authority letter (☞ download format from [www.smctradeonline.com/download.aspx](http://www.smctradeonline.com/download.aspx))
- ☐ Balance Sheet for last 2 financial years (to be submitted every year)

#### DOCUMENTS OF ALL PARTNERS

- ☐ KYC of all partners (Download from [www.smctradeonline.com/download.aspx](http://www.smctradeonline.com/download.aspx))
  - ☞ Demat A/c will be opened in the name of partners
- ☐ Photograph pasted on page A4
- ☐ Pol ☐ PoA (Provide any one proof of each, as per table)

#### DOCUMENTS & SIGN OF ALL AUTHORISED SIGNATORY(IES)

- ☐ Photographs on page A8

### SOLE PROPRIETOR

- ☐ Sole Proprietor must make the application in his INDIVIDUAL name & capacity only
  - ☞ If you are submitting bank details of Proprietorship firm as bank / income proof, please provide letter from bank certifying name of individual proprietor

#### Please ensure

1. Proof of Identity (Pol)	<ul style="list-style-type: none"> <li>● If Name/Photo/Signature on PAN Card is not clear, then submit additional Pol</li> <li>● Copy of PAN Card is mandatory for all applicants (except for applicants residing in state of Sikkim)</li> </ul>
2. Proof of Address (PoA)	<ul style="list-style-type: none"> <li>● If correspondence &amp; permanent addresses are different, then proofs for both should be submitted</li> <li>● Address in proof should match with address in KYC form</li> <li>● Office/Business/Shop Address if not acceptable as permanent address in case of individual</li> </ul>
3. Bank + MICR/IFS Code Proof	<ul style="list-style-type: none"> <li>● Proof should contain IFS Code (11 digits) / MICR Code (9 digits) of Bank</li> <li>● If name is not pre-printed on cheque - then submit additional proof containing the Bank A/c number and Name of Client</li> </ul>
4. Income Proof	<ul style="list-style-type: none"> <li>● Mandatory if you wish to trade in Derivatives (F&amp;O/Currency) segments</li> </ul>
5. Demat A/c Proof	<ul style="list-style-type: none"> <li>● Latest client master or Transaction / Holding statement (with name, PAN, DP &amp; client ID).</li> </ul>

\* Documents should not be more than 3 months old

\*\* Documents having expiry date should be valid on the date of submission

S.No.	Name of the Document	Brief Significance of the Document	Page No.
<b>Mandatory Documents as prescribed by SEBI &amp; Exchanges</b>			
1.	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction / check list. B. Document captures the additional information about the constituent relevant to trading account.	A1 – A6
2.	Nomination Form	Nomination form for Trading Account.	A7
3.	Disclosure	Disclosure information for pro - account trading.	A7
4.	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	A9
<b>Rights &amp; Obligations, Risk Disclosure Document (RDD), Guidance note, Policies &amp; Procedures</b>			
1.	Rights and obligations (Trading)	Document stating the Right & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading).	B1 – B4
2.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities & Commodities market.	B5 – B10
3.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the	B11 – B12
4.	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	B13 – B16
5.	Policies and Procedures (MTF)	Document describing significant policies and procedures of the stock broker related to Margin Trading Facility (MTF).	B17 – B19
6.	Rights and Obligations of beneficial owner and DP	Rights and Obligations of beneficial owner and Depository Participant as prescribed by SEBI and Depositories	B20 – B21
<b>Demat Account opening form and Voluntary Documents as provided by the Stock Broker</b>			
1.	Power of Attorney (POA)	Authority to operate demat & bank account and other permissions for smooth operations.	C1 – C4
2.	Running A/c Authorisation	Authorisation by constituent to stock broker for maintaining fund and stocks on running account basis.	C5
3.	Authority letter	1. Authorisation for adjustment of account between exchanges and segments. 2. Authorisation to Debit Trading account opening charges. 3. Authorisation by constituent to stock broker for communicating information on financial products. 4. Authorization for verification of information from independent agency(ies)	C6
4.	Authority Letter to Send Documents Electronically	Authorisation to send Contract Note, Statement of funds & Stocks, Client registration documents etc. electronically.	C6
5.	Intraday / High Multiplier Facility	Facility to Client allowing leverage for intra-day trading on available margin/security/collateral	C7
6.	Letter of authority	Letter of authority authorizing relative for trading	C8
7.	Consent for MTF	Client consent for availing Margin Trading facility (MTF)	C8
8.	FATCA & CRS Declaration	FATCA, CRS & Ultimate Beneficial Ownership (UBO) self certification form (Mandatory for Non-Individuals)	C9 -C10
9.	Mutual Fund Service System Facility	Terms & Conditions for availing Mutual Fund services of BSE StAR / NSE MFSS facility.	C11
10.	Declaration	1. Declaration for Providing SMS and E-mail Alerts to Investors by Stock Exchanges on Mobile and Email ID of Relative. 2. Declaration to be filled if the name on documents is different. 3. Declaration to be filled if client signature is mismatched from PAN Card and Bank	C12



## PNB Online Trading

No. : E-PNB

### ACKNOWLEDGMENT SLIP

We acknowledge receipt of application for opening a trading account from :

Mr. / Ms. / M/s. \_\_\_\_\_

As first applicant along with the documents and cheque(s).

	Towards	Amount	Cheque No.	Date	Bank Name and Branch
<input type="checkbox"/> Y <input type="checkbox"/> N	Account opening Fee (For Trading Account)				
<input type="checkbox"/> M	Margin Amount				

Signature of Sales Executive : \_\_\_\_\_

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

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

- ✎ Issue **A/c payee** cheque in the favour of **SMC GLOBAL SECURITIES LTD.** SMC does not accept any fee in cash.
- ✎ You may check current status on our website by using following link : [www.smctradeonline.com](http://www.smctradeonline.com) & click on check A/c status
- ✎ You will receive SMS & E-mail notification on activation of your account.

### OUR MAIN BRANCHES

- DELHI  
011-30111333
- BHUWNES  
7381041440
- SIRSA  
01666-224270-237503
- JAIPUR  
0141 4219111-112
- LUDHIANA  
0161-4642233
- CHENNAI (MYL)  
044 -39109100 -122
- PATNA  
7061830381
- PUNE  
020-67272900
- KOLKATA  
033-66127000, 033-40587000
- BHOPAL  
0755-4094788, 4921821
- VADODRA  
0265 -3024401/02/03/04
- JAMSHEDPUR  
0657-3207964-6457403,6451974
- LUCKNOW  
0522-4155888
- BANGLORE  
080-40897301
- AHMEDABAD  
079-26424801 to 05, 40049801-03,
- AHMEDNAGAR  
0241-6611740
- MUMBAI  
022-67341600 & 1675
- NOIDA  
0120-3918705, -06, 3040502
- DEHRADUN  
8430098423, 8430017782
- RANCHI  
8506080817, 8506080816
- HYDERABAD  
040-30031007/08/09/10
- RAJKOT  
0281-6647965, 6647966
- COCHIN  
0484 – 4013146-156-196
- SURAT  
0261-4005017-16



#### TOLL FREE NUMBER

1800-11-0909



#### HELP DESK E-MAIL ID

helpdesk@smctradeonline.com



#### CUSTOMER CARE NUMBER

91-11-30111444

visit us at : [www.smctradeonline.com](http://www.smctradeonline.com)

## CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

## Important Instructions:

- A) Fields marked with "\*" are mandatory fields.  
 B) Please fill the form in English and in BLOCK letters.  
 C) Please fill the date in DD-MM-YYYY format.

- d) For particular section update, please tick(✓) in the box available before the section number and strike off the sections not required to be updated.



## For office use only

(To be filled by financial institution)

Application Type\*

☐ New☐ Update

KYC Number

(Mandatory for KYC update request)

Account Type\*

☐ Normal☐ Simplified (for low risk customers)☐ Small☐ 1. PERSONAL DETAILS

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<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	
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others	<input type="text"/>	
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian	<input type="checkbox"/> Person of Indian Origin	
	<input type="checkbox"/> Foreign National			
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			

**PHOTO**  
  
☐ (1)

☐ 2. TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA

ADDITIONAL DETAILS REQUIRED\* (Mandatory only if section 2 is ticked)

Country of Jurisdiction of Residence\*

Tax Identification Number or equivalent (If issued by jurisdiction)\*

Place / City of Birth\*  Country of Birth\*

☐ 3. PROOF OF IDENTITY (PoI)\*(Certified copy of any one of the following Proof of Identity[PoI] needs to be submitted)

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>		
<input type="checkbox"/> D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type	<input type="text"/>	Identification Number	<input type="text"/>

## 4. PROOF OF ADDRESS (PoA)\*

☐ 4.1 CURRENT/PERMANENT/OVERSEAS ADDRESS DETAILS(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type\* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address\* ☐ Passport ☐ Driving Licence ☐ UID (Aadhaar)

☐ Voter Identity Card ☐ NREGA Job Card ☐ Others  please specify

☐ Simplified Measures Account - Document Type

## Address

Line 1\*

Line 2

Line 3

District\*  Pin / Post Code\*  State / U.T  City / Town / Village\*  Country

☐ 4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS \*

☐ Same as Current / Permanent / Overseas Address details

Line 1\*   
Line 2   
Line 3  City /Town / Village\*   
District\*  Pin / Post Code\*  State / U.T  Country

☐ 4.3 ADDRESS IN THE JURISDICTION DEATILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES\* (Applicable if section 2 is ticked)

☐ Same as Current / Permanent / Overseas Address details ☐ Same as Correspondence / Local Address details

Line 1\*   
Line 2   
Line 3  City /Town / Village\*   
State\*  ZIP / Post Code\*  Country

☐ 5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID)

Tel. (Off)  -  Tel. (Res)  -  Mobile  -   
FAX  -  Email ID

☐ 6. DETAILS OF RELATED PERSON

☐ Addition of Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available\*)

Related Person Type\* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative  
Prefix First Name Middle Name Last Name  
Name\*   
(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY [PoI] OF RELATED PERSON\*

☐ A- Passport Number  Passport Expiry Date   
☐ B- Voter ID Card   
☐ C- PAN Card   
☐ D- Driving Licence  Driving Licence Expiry Date   
☐ E- UID (Aadhaar)   
☐ F- NREGA Job Card   
☐ Z- Others (any document notified by the central government)  Identification Number   
☐ S- Simplified Measures Account - Document Type  Identification Number

☐ 7. REMARKS (If any)

8. 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 :

(2)

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies

INSTITUTION DETAILS & KYC VERIFICATION CARRIED OUT BY

Name SMC GLOBAL SECURITIES LTD. Code IN1100  
Date   
Emp. Name   
Emp. Code   
Emp. Designation   
Emp. Branch

[Employee Signature]

☐ IN-PERSON VERIFICATION (IPV)  
☐ DOCUMENTS VERIFIED WITH ORIGINALS  
☐ CLIENT INTERVIEWED BY  
Date:   
Employee/Sub-Broker/AP Details:  
Name:   
Code:   
Designation:   
Signature:



# Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form

Name of Applicant \_\_\_\_\_ PAN of the Applicant \_\_\_\_\_

Sr. No.	PAN	Name	DIN (For Directors) / UID (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph

(2) 

Name & Signature of the Authorised Signatory(ies)

Date

/  /



## TRADING & DEMAT ACCOUNT RELATED ADDITIONAL DETAILS

### BANK ACCOUNT DETAILS

(Through which transactions will generally be routed)

#### Primary Bank Details :

Bank Name : P U N J A B N A T I O N A L B A N K

Account No. : Branch :

Address :

11 Digit RTGS / NEFT / IFS Code : 0 9 Digit MICR Code :

Virtual Payment Address (VPA)

Account Type : ☐ Savings ☐ Current ☐ OTHERS : (Please Specify)

Pay-Out Option : ☐ As Per Group ☐ Cheque ☐ Online Transfer / NEFT / RTGS

Bank/MICR/IFSC proof : ☐ Cancelled Cheque (with **Client Name** & A/c No. **pre-printed**)

☐ Bank Passbook\* (If hand written, than with stamp of Bank) ☐ Bank Verification Letter\* (with Rubber Stamp & Sign of Bank Manager)

☐ Bank Statement\* (Either on Bank Stationary or with rubber stamp & sign of Bank Manager) *\*Documents should not be more than 3 months old*

#### Secondary Bank Details (for Trading, if any) :

Bank Name :

Account No. : Branch :

Address :

11 Digit RTGS / NEFT / IFS Code : 0 9 Digit MICR Code :

Virtual Payment Address (VPA)

Account Type : ☐ Savings ☐ Current ☐ OTHERS : (Please Specify)

In case of multiple banks, please provide proof of all banks.

### DEPOSITORY ACCOUNT DETAILS

(Through which transactions will generally be routed)

Depository Name : ☐ CDSL ☐ NSDL DP ID : BOID :

Name of Depository Participant : P U N J A B N A T I O N A L B A N K

Demat A/c Proof : ☐ Client Master ☐ Transaction or Holding statement

(with Client Name, PAN, DP & Client ID)

### TRADING PREFERENCE

Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

EXCHANGE	SEGMENT			
	CASH	F & O*	CURRENCY*	COMMODITY*
NSE	(3a)	(3b)	(3c)	(3d)
BSE	(3e)	(3f)	(3g)	(3h)


If you wish to trade in derivatives (F&O/Currency) segments, submit **ANY ONE** of the following income proof (Mandatory)

- ☐ Bank Statement/Passbook (For atleast 6 months period and last entry should not be older than 3 months)
- ☐ Demat A/c Holding Statement (with Value & duly stamped by DP)
- ☐ Latest ITR Acknowledgement
- ☐ Latest Salary Slip/Copy of Form 16
- ☐ Latest Net worth Certificate by CA/CS
- ☐ Self Declaration along with relevant Supporting documents
- ☐ Latest Annual Accounts
- ☐ Any Other relevant documents substantiating ownership of assets

## FACILITIES

 Please mention Mobile & E-mail ID in KYC form (Page A1 - Individual / A3 - Non-Individual)

**Whether you wish to receive Standard documents\*:** ☐ Electronic ☐ Physical

 Please mention E-mail ID in KYC form (Page A1 - Individual / A3 - Non-Individual)

I/We wish to avail facility of internet trading / wireless technology : ☐ Yes ☐ No

## TRADING HISTORY

☐ Years in Equities ☐ Years in Derivatives ☐ Years in other Investment related fields ☐ No Prior Experience

**Stock Profile :** ☐ Nil ☐ < 5 Lac ☐ Rs. 5 - 25 Lac ☐ Rs. 25 - 50 Lac ☐ Rs. 50 - 1 Crore ☐ Above 1 Crore

➡ In case dealing with multiple stock brokers, please provide details of all. (Please Specify)

## Past Actions

## INCOME, EDUCATION & OTHER DETAILS

Net-worth in ₹. (\*Net worth should not be older than 1 year) as on (date) 

D	D	M	M	2	0	Y	Y
---	---	---	---	---	---	---	---

 (Mandatory for Non-Individual Client)

**Occupation** ☐ Private Sector Service ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist  
☐ Retired ☐ Housewife ☐ Student ☐ Forex Dealer ☐ Other \_\_\_\_\_ (Please Specify)

**Educational Details :** ☐ High School ☐ Graduate ☐ Post-Graduate ☐ Doctorate ☐ Professional Degree  
☐ Under High School ☐ Illiterate ☐ Other \_\_\_\_\_ (Please Specify)

**👉 In case of Non-Individual, provide held details as page A11**

- For Foreign Exchange / Money Changer Services	<input type="checkbox"/> Yes	<input type="checkbox"/> No
- Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
- Money Lending / Pawning	<input type="checkbox"/> Yes	<input type="checkbox"/> No

In case of Non-Individual, provide details of persons authorised to deal in securities & commodities of behalf of the company / Firm/ others in *Annexure A* on page A 11.

**Any other information :**

## DETAIL OF INTRODUCER AND SMC AP

**NOMINATION FORM**
**FOR INDIVIDUAL ONLY**
**Nomination Details**

I/We wish to make a nomination. [As per details given below] I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

Nomination can be made upto three nominees in the account.		Details of 1 <sup>st</sup> Nominee	Details of 2 <sup>nd</sup> Nominee	Details of 3 <sup>rd</sup> Nominee
1	Name of the nominee(s) (Mr./Ms.)			
2	Share of each Nominee Equally <input type="checkbox"/> [If not equally, specify %]	%	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form.				
3	Relationship With the Applicant (If Any)			
4	Address of Nominee(s) City / Place: State & Country: PIN Code			
5	Mobile/Telephone No. of nominee(s)			
6	Email ID of nominee(s)			
7	Nominee Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			
<b>Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:</b>				
8	Date of Birth (in case of minor nominee(s))			
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s) }			
10	Address of Guardian(s) City / Place: State & Country: PIN Code			
11	Mobile/Telephone no. of Guardian			
12	Email ID of Guardian			
13	Relationship of Guardian with nominee			
14	Guardian Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			

**CLIENT SIGNATURE**

First / Sole Holder	
Sign of Client	(4)
Date : D D M M 2 0 Y Y	Place :

**Note:** This nomination shall supersede any prior nomination made by the account holder(s), if any.

**DECLARATION FORM FOR OPTING OUT OF NOMINATION**
**FOR INDIVIDUAL ONLY**

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

CLIENT SIGNATURE	
First / Sole Holder	
Sign of Client	(5)
Date : D D M M 2 0 Y Y	Place :

\* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

**DISCLOSURE**

Dear Client, This is to inform you that we do client based trading and pro-account trading in National Stock Exchange of India limited (NSE), BSE Limited (BSE) and Metropolitan Stock Exchange of India Limited (MSEI).

For **SMC GLOBAL SECURITIES LTD.**

Authorised Signatory

**DECLARATION**

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We 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/we are aware that I/We may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.
4. I/We declare that SMC Global Securities Limited, the brokers, has put me/us on notice that it is engaged in not only client based trading but also in pro-account trading.

CLIENT SIGNATURE	
	First / Sole Holder
Sign of Client	(6)
Date : <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Place :

**DETAILS OF POLITICALLY EXPOSED PERSONS (PEP)/ RELATED TO POLITICALLY EXPOSED PERSON (RPEP)****For-Non-individual**

S.No.	Name of the Authorized signatories /Promoters /Partners / Karta/ Trustees /Whole Time Directors	Relation with the holder (i.e. promoters, whole time directors etc	Please tick the relevant option.
1.			PEP <input type="checkbox"/> RPEP <input type="checkbox"/>
2.			PEP <input type="checkbox"/> RPEP <input type="checkbox"/>
3.			PEP <input type="checkbox"/> RPEP <input type="checkbox"/>
4.			PEP <input type="checkbox"/> RPEP <input type="checkbox"/>

Signature of authorised signatory

(7)

PEP: Politically Exposed Person RPEP: Related to politically Exposed Person

**LIST OF FAMILY MEMBERS****For HUF Only**

I, the Karta of HUF hereby declare that following are the members of the Hindu Undivided Family (HUF).

S.No.	Name of the Member	Relationship with Karta	Date of Birth	Signature
1				
2				
3				
4	Name of Minor			
5	Name of Minor			

Signature of Karta

## BROKERAGE STRUCTURE

SEGMENT	%	Minimum	Options		
			%	Min per lot	Max per lot
Cash (Intraday)					
Cash (Delivery)					
Cash (Trade to Trade)					
F&O					
Currency F&O					
Commodity F&O					

- Note :**
- Rs. 25/- will be charged minimum per segment.
  - Securities Transaction Tax (STT) & Commodities Transaction Tax (CTT), GST, Stamp Duty & Other Statutory Charges will be levied separately as applicable from time to time.
  - Transaction charges will be levied extra as per Company policy as applicable from time to time.
  - The company reserves the right to review brokerage, transaction charges and other charges within limits set by SEBI, with sufficient prior notice.


## SMC-PNB MARGIN ACCOUNT SCHEME

Plan Name (Select any one)	Margin Amount	Account Opening Charges	Brokerage			Minimum Brokerage
			Delivery	Margin	Options	Equity / Options
<input type="checkbox"/> No Margin	NIL	500	0.40%	0.04%	1.00%	4paisa/Rs 100 /-lot
<input type="checkbox"/> Margin 5000	5000	500	0.30%	0.03%	0.75%	3paisa/Rs 100 /-lot
<input type="checkbox"/> Margin 10000	10000	500	0.25%	0.03%	0.60%	3paisa/Rs 100 /-lot
<input type="checkbox"/> Margin 25000	25000	500	0.20%	0.02%	0.50%	2paisa/Rs 100 /-lot

### TERMS & CONDITIONS :

- Margin will not be released on day to day basis.
- Gross brokerage calculated at the agreed rates is less than Rs. 25/- for all transactions of any day in each segment, the Same will be rounded off to Rs. 25/-.
- These plans shall be applicable only to PNB-SMC Online Trading accounts.
- If any Transaction is not done in Calendar Quarter after the Prevailing quarter then the terminal will be deactivated (in case of Privilege account) and for Reactivation he has to pay Rs 250.
- If an abuse or misuse of the system is observed from any Client id the services may be suspended terminated by the Company.
- SMC-PNB reserves the right to review charges after one year with sufficient notice and to discontinue the scheme if circumstances beyond the control of SMC arise due to regulatory actions.
- Other Charges:** Cash Segment - Max of 0.02% on Transaction Value, Futures Segment - Max of 0.006% on transaction Value, Options Segment - Max of 0.01% on Transaction Value. Other Charges represents a consolidated charge towards providing various value added services such as Trade confirmation SMS, ElectronicAccountAccess, Portfolio Tracker, access to research reports, Market News SMS and other value added services.

I/We wish to avail the margin account plan as offered by SMC. I/We have understood the plan details and brokerage structure as above and agree to abide by the same.

CLIENT SIGNATURE	
	First / Sole Holder
Sign of Client	(8) 

**DOCKET – C**

## POWER OF ATTORNEY

(As per SEBI Guidelines vide circular no. CIR/MRD/DMS/13/2010 Dt. April 23, 2010)

### IN FAVOUR OF SMC GLOBAL SECURITIES LIMITED

To all to whom these presents shall come, I/We the client described in the schedule hereto, having his/her/its address at the place mentioned in the schedule hereto (hereinafter referred to as "the Account Holder/Joint Account Holders/Client", which expression shall unless repugnant to the meaning and context thereof be deemed to mean and include his/her/its legal heirs, representatives, executors, successors and assigns, as the case may be) do hereby nominate, constitute appoint SMC Global Securities Limited, company duly incorporated under the Companies Act, 1956 as our attorney and having its registered office at 11/6B, Shanti Chamber, Pusa Road, New Delhi - 110 005., (hereinafter referred to as "SMC / the attorney" which expression shall, unless repugnant to be context or meaning hereof, mean and include its successors in title and permitted assigns).

- A. WHEREAS, the Trading Account Holder (as mentioned in the schedule hereto), wishes to participate in the online/offline trading and/or other services being offered by SMC Global Securities Limited through its portal [www.smcindiaonline.com](http://www.smcindiaonline.com) or through any other channel such as IVR, WAP, Business Associates, Branch, Customer service, Call Center, etc. (or through any other portal as launched by SMC for offering the said services).
- B. AND WHEREAS the Trading Account Holder has entered into Member Client Relationship with SMC in connection with availing various services provided/to be provided by SMC through its Portal [www.smcindiaonline.com](http://www.smcindiaonline.com) in and/or offline trading platform to the Account Holder through Trading Account No. \_\_\_\_\_ (UCC)
- C. AND WHEREAS the Demat Accounts mentioned in Annexure-I hereto (or such other demat accounts as may be determined by me/us from time to time and intimated to SMC) of which I/We am/are the sole/joint holders shall be linked to the above mentioned Trading account for the purpose of settlement and margin obligation arising out of trades executed through the said Trading Account.
- D. AND whereas for efficient functioning of the above-mentioned services and to facilitate proper execution of all transactions, I/We am/are desirous of appointing SMC as my/our true and lawful Attorney and confer upon it the powers hereinafter stated.

I/We hereby authorize the Attorney to do, exercise & perform all or any of following acts, deeds and things :

1. Transfer securities held in my/our beneficial owner account(s) as mentioned in Annexure-1 (as may be modified from time to time by me/us and duly intimated to SMC) hereto towards Stock Exchange related margin/delivery obligations arising out of trades executed by me/us on the Stock Exchange through SMC.
2. To instruct the DP to debit securities to the said account mentioned in Annexure-1 (as may be modified from the said time by me/us and duly intimated to SMC) and / or transfer securities from the said account to any other account, to the extent of shares/securities sold through SMC for pay-in obligations as well as for margin towards any Stock Exchange, in Cash and Derivatives/other segments as may be permitted.
3. To credit my/our demat account(s) with any securities that are to be delivered to me/us/borrowed by me/us.
4. To demand, receive and give good and effectual receipt(s) and discharges(s) for all or any dividends, interest, bonuses or any other sum(s) and/or income arising from the shares, debentures, units and other investment and to sign and endorse pay orders, dividends/interest warrants or certificates, receive all debts, sums of money, principal, interest, dividend and belonging to whatever nature or accounts which are now or at any time due and payable and belonging to me/us on any account whatsoever.
5. Pursuant to my/our instructions or instruction of my/our Authorised Representative, to apply for acquiring subscribing, redeeming, switching between investment product including but not limited to Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares tendering in open offers and to sell, transfer and endorse the same or redeem the same or otherwise deal in the securities and/or any other investment products pursuant to my instruction or instruction of my/our Authorised Representative either through internet or otherwise using identification number issued by any Mutual Fund from time to time or otherwise, and/or to sign and to execute all transfer deeds whether as transferor or transferee and such other instruments, applications and papers as may be necessary for acquiring or transferring/redeeming the same, and/or for transferring the investment in the units of Mutual Funds from one scheme to another or between Mutual Funds and/or otherwise as may be required for dealing in securities or other investment products.
6. Pursuant to my/our instructions or instruction of my/our Authorised Representative, to make applications for or to renounce and sign renunciation forms in respect of bonds/debentures, right shares and additional shares of any Company/Body/Authority and to receive and hold such rights or additional shares bonds or debentures.
7. Pursuant to my/our instructions or instruction of my/our Authorised Representative, to issue orders and instructions for acquisition and disposal of investments for and on my/our behalf and to purchase or otherwise acquire, sell or otherwise dispose off or otherwise deal/invest in securities.
8. To sign the necessary form and other documents, if any, and to file and register the same with the company/concerned entities to give effect to the powers conferred herein.
9. To forward all applications for subscription of securities, placed through the website to the online-IPO/other module of the concerned Exchanges/authority/concerned entity/platform.

(9) 

Signature of 1st / Sole Holder

(1) 

Signature of 2nd Holder

(1) 

Signature of 3rd Holder

10. To do all such acts and things as may be necessary to give effect to the subscription/purchase /redemption or any other transaction pursuant to my/our instructions or instruction of my/our Authorised Representative in any securities and/or investment product for which services are availed from SMC.
11. Transfer funds from my/our bank account(s) mentioned in Annexure-1 (or such other bank accounts as may be determined by me/us from time to time and intimated to SMC) and/or to instruct the concerned banks in this regard for the following :
  - a) For meeting my/our settlement obligations/margin requirements in connection with the trades executed by the me/us on any stock exchanges through SMC in any segment as may be permitted.
  - b) For recovering any outstanding amount due from me/us arising out of my/our trading activities on any of the Stock Exchanges through SMC.
  - c) For meeting obligations arising out of my/our subscribing to such other products/facilities/services like Mutual Funds, Public issues (shares as well as debentures), rights, offer of shares etc, through SMC.
  - d) Towards monies/fees/charges, etc. due to SMC payable by virtue of me/us using/subscribing to any of the facilities/services availed by me/us or at my/our instance.
12. To send a consolidated summary of the Client's scrip wise buy and sell position taken with average rates to me/us by way of an SMS/email on a daily basis notwithstanding any other document to be disseminated as specified by SEBI from time to time.
13. To make, draw, sign, endorse, negotiate, deliver and/or acknowledge all instructions, forms, transfer deeds, depository forms and instruments, cheques, drafts, slips, receipts and other instruments and writing which are required necessary or advisable for performing all or any of the powers or authorities hereby conferred.
14. For the purpose of the aforesaid to sign contracts, agreements, transfers, acceptances, receipts or other instruments and forms, to accept and carry out correspondence with such person(s) or authority/authorities or department(s) and to do all such lawful acts requisite for effecting the same.
15. To comply and/or cause to be complied with all statutory and other requirement attached to or arising out of these premises and for this purpose to take such steps and actions necessary or proper, including signing of affidavits, indemnity, declarations, legal documents, deeds and writings wherever required.
16. To do all such acts, deeds and things, as may be necessary for or incidents to the powers conferred herein.

#### POWERS TO THE BANK ALLIANCE PARTNERS

Whereas for the purpose of Trading through SMC, I/We am/are availing banking and/or demat account services of Punjab National Bank a body corporate constituted under the Banking Companies (Acquisition & Transfer of undertaking) Act, 1970 having its head office at 7, Bhikhaji Cama Place, New Delhi-110007 (hereinafter referred to as Bank Alliance Partner) which expression shall, unless repugnant to the context or meaning hereof, mean and include its successors in title.

And Whereas I/We hold Bank account with the Bank Alliance Partner in its capacity of Bank and/or have applied to the Bank Alliance Partner for opening of bank account with it and I/We hold demat account with the Bank Alliance Partner in its capacity of Depository Participants and/or have applied to the Bank Alliance Partner to open a demat account with it.

Further to the above powers and authorities conferred on SMC, I/We hereby confer upon the Bank Alliance Partner the authorities hereinafter stated :

1. To operate, block and/or debit or credit, the abovementioned bank account for operation and execution of all transactions on my/our behalf.
2. To operate, block and/or debit to credit the above mentioned demat account with the Bank Alliance Partner for the purpose of Stock Exchange related margin/delivery obligations arising out of trades executed by me/us on the Stock Exchange through the Attorney and as instructed by the Attorney in this regard.
3. Pursuant to my instructions or instruction of my/our Authorised Representative, to buy, sell or cause to be bought and sold all kind of securities, stocks and shares including but not limited to government securities, bonds and mutual funds etc.
4. To do all such acts deeds, and things, as may be necessary for or incidental to , including but not limited to, providing services to me/us and for meeting my/our obligations under Portfolio Investment Schemes (PINS) and in connection with the said bank account.

For the purpose of this specific Power of Attorney, the term securities shall include securities as defined by the Securities Contracts (Regulation) Act, 1956 as amended from time to time and shall include shares, scrips, stocks, bonds, warrants, options, futures, derivatives, convertible debentures, non-convertible debentures, securitized debt instruments, fixed return investments, equity linked instruments or other marketable securities of a like nature in or of any incorporated Company or other body corporate, negotiable instruments including usance Bills of Exchange, deposits or other money market instruments, commercial paper, certificate of deposit, units issued by Unit Trust of India and units issued by Mutual Funds, mortgage backed or other asset backed securities issued by any institution or body corporate cumulative convertible preference shares issued by any incorporated company and securities issued by any incorporated company and securities issued by the Central Government or a State Government for the purpose of raising public loan and having one of the forms specified in Clause (2) of Section 2 of the Public Debt Act, 1944, any other new form of capital or money market instruments that may be issued in the future by any incorporated company; firm/institution or Government.

(10) 

Signature of 1st / Sole Holder

(2) 

Signature of 2nd Holder

(2) 

Signature of 3rd Holder

For the purpose of this Specific Power of Attorney the list of my/our Demat and Bank account to which/from which securities/funds may be moved are mentioned in Annexure-1 hereto. Annexure-1 may be changed by me/us at any time with prior intimation in writing to SMC by submission of a revised Annexure-1.

For the purpose of this specific power of Attorney the list of the Demat and Bank accounts of SMC from which/to which securities/funds may be moved are mentioned in Annexure-2 hereto. Annexure-2 may be changed by SMC at any time with intimation to me/us in writing or through website/through mail.

SMC shall return to me/us the securities or funds that may be received by it erroneously or those securities or funds that SMC was not entitled to receive from me/us.

AND GENERALLY to do all such other lawful acts and things as the Attorney shall think advisable for the purposes aforesaid as fully and effectually in all respects as I/We could do myself/ourselves and to act as fully and effectually for all intents and purposes in all dealings and transactions between myself/ourselves and the said SMC as I/We could if personally present and acting in the matters and transactions aforesaid.

AND I/We do hereby agree to confirm and ratify all and every act or things done by the Attorney within the scope of the authority hereby conferred on it and all deeds or documents executed by it in my/our name or on my/our behalf under this specific power of Attorney shall be binding on me/us as if the same were executed by me/us except any act or thing done by the Attorney that results in loss or claim on account of blocking of funds that may be erroneously instructed by the Attorney to the Bank. My/Our Attorney shall not be liable for any loss that my result from failure/inability of electronic connectivity of rejection of my/our application for any reason whatsoever.

The aforesaid Power of Attorney has been granted, the instructions herein have been given and the agreements herein contained have been agreed to by me/us in consideration of the said Agreement and the mutual rights, covenants and obligations there under, and are revocable by the me/us by giving an intimation to the Attorney in writing and the cessation of this authority shall not affect or impair any act thereto done in exercise of these presents. Such intimation shall be duly signed by me/us and should be received at the Head Office of the Attorney. The revocation shall be subject to due receipt, verification and processing of the same the Attorney.

This document shall be subject to the jurisdiction of the Courts in Delhi.

In witness whereof I/We have executed this Power of Attorney on the day, date and year herein below mentioned.

CLIENT NAME & SIGNATURE				ACCEPTED FOR & BEHALF OF SMC	
	First / Sole Holder	Second Holder	Third Holder	Name	
Name				Sign of SMC Signatory	For <b>SMC GLOBAL SECURITIES LTD.</b>  Authorised Signatory
Sign of Client	(11)	(3)	(3)		
Date :	Place :			Date :	Place :
WITNESS FOR CLIENT (Mandatory)				WITNESS FOR SMC	
Name				Name	
Address				Address	
Sign of Witness				Sign of Witness	

Signatures of all major co-parceners are required.

**For HUF only (Mandatory)**

	Name of major co-parceners	Signature
1.		
2.		
3.		
4.		
5.		

## LIST OF DEMAT ACCOUNT OF THE CLIENTS

Sr.No.	Name of the Account Holder	DP ID	Client ID
1.			
2.			

## LIST OF BANK ACCOUNT OF THE CLIENTS

Sr.No.	Name of the Account Holder	Bank Account No.
1.		
2.		

## LIST OF DEMAT ACCOUNT OF SMC

Sr.No.	Name of the Account Holder	DP ID / CMID	Client ID
01	SMC Global Securities Ltd. (CDSL BSE Pool)	12019101	00000412
02	SMC Global Securities Ltd. (CDSL NSE Pool)	12019101	00000372
03	SMC Global Securities Ltd. (NSDL NSE Pool)	IN564844	—
04	SMC Global Securities Ltd. (NSDL BSE Pool)	IN655267	—
05	SMC Global Securities Ltd. (CDSL MSEI Pool)	12019101	02068772
06	SMC Global Securities Ltd. (NSDL MSEI Pool)	IN471837	—
07	SMC Global Securities Ltd. (CDSL BSE early payin A/c)	11000010	00013363
08	SMC Global Securities Ltd. (CDSL NSE early payin)	11000011	00014914
09	SMC Global Securities Ltd. (NSDL NSE MF Redemption)	IN565576	—
10	SMC Global Securities Ltd. (NSDL BSE MF Redemption)	IN620031	—
11	SMC Global Securities Ltd. (CDSL CM Client Securities Margin Pledge)	12019101	04319878
12	SMC Global Securities Ltd. (NSDL CM Client Securities Margin Pledge)	IN303655	10227156
13	SMC Global Securities Ltd. (CDSL Client securities Margin Funding)	1201910	104319903
14	SMC Global Securities Ltd. NSDL (Client Securities Margin Funding)	IN303655	10229625

## LIST OF BANK ACCOUNT OF SMC

Sr.No.	Name of the Account Holder	DP ID	Bank Account No.
1.	SMC Global Securities Limited	Punjab National Bank	0117002101002186

The abovementioned list of Demat / Bank Accounts may be changed by SMC from time to time with intimation to the Clients in writing/through the website/via e-mail

(12)

Signature of 1st / Sole Holder

(4)

Signature of 2nd Holder

(4)

Signature of 3rd Holder

**AUTHORISATION WHEN A CLIENT WANTS TO MAINTAIN A RUNNING ACCOUNT**  
(As per SEBI Guidelines vide circular MIRSD/ SE /Cir-19/2009 Dt. December 3, 2009)

I/We confirm that I/We am/are desirous of regularly dealing in CM, F&O, CDS and Commodity segments of the stock exchange(s). I/We request you to maintain the account for funds, with you on a running account basis. I/we also request you to consider the balances in my/our running funds account for the purpose of margins/any other of my/our obligations due to you. I/We understand and agree that no interest will be payable to me/us on the amounts so retained by you.

I/We agree and empower/authorize you

- a. To act in your discretion of merging balances kept under various accounts held with the you, such as CDSL / NSDL DP Account, CM Trading Account, F&O Trading Account, Currency Trading Account, Online IPO / MF Account and MFSS etc., to nullify the debit in any of my/our other account held with you without taking any further instructions from me/us;
- b. To debit my/our trading account towards depository charges payable by me/us to the designated depository participant and make onward payment to the designated depository participant upon receipt of intimation from the designated depository participant;

I/We have the liberty to revoke this authorization at any time in writing with prospective effect. While settling the account you will be sending me/us a 'statement of account', containing an extract from the client ledger for funds and an extract from the register of stocks displaying all receipts/deliveries of funds/stocks. The statement shall also explain the retention of funds/stocks. Such periodic settlement of the running account shall not be necessary when (a) I start availing margin trading facility as per SEBI circulars; or (b) The margin provided by me to you is in the form of Bank Guarantee (BG)/Fixed Deposit Receipt (FDRs).

On actual settlement date you may retain the requisite stocks/funds towards any outstanding obligation and may also retain additional margin requirement on the day of settlement to take care of my margin obligation arising in the next 5 trading days, calculated in the manner specified by respective Exchanges.

I will bring any discrepancy or dispute arising from the Statement of account so issued by you or the settlement made by you to your notice preferably within 7 working days from the date of receipt of funds / stocks or statement as the case may be.


I/We understand that, unless otherwise required to meet my obligations for margin or on settlement you shall transfer the funds/stocks lying with you in credit of my/our account within one working day and those lying with the Clearing Member or Clearing Corporation within three working days of my request for transfer.

My/Our preference for actual settlement of funds and stocks is at least:

☐ Once in a Calendar Quarter      ☐ Once in a Calendar Month

I/We further authorize you to retain an amount of up to Rs. 1,000/- (net amount across segment and across stock exchanges) in order to avoid administrative/operational difficulties in settling my/our account. The same can be release on my/our specific request

**Please score out whatever not accepted/ not agreed with.**

(13)   
Signature of Client

Date : 

D	D	M	M	2	0	Y	Y
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## AUTHORITY LETTER

With respect to the client - member relationship with you, we authorize you to do the following:

- 1) **Adjustment of account between exchanges and segments** : I/we hereby inform you that I have executed/intend to execute an agreement with you for trading on different exchanges in CM, F&O, CDS and Commodity segments. I/We request you to transfer, make adjustments and/or set off a part or whole of the stocks placed as collaterals and/or any surplus funds in any of the accounts maintained with you against the outstanding dues payable if any, by me/us to any of my/our account(s) maintained with you. You will have lien on the credit balance in any of my/our account for meeting the debit or obligations in progress in any other of my/our account. Any entries passed by you in accordance with this authorization will be binding on me/us.
- 2) **Authorization to debit the Trading Account Opening charges** : I/We authorize you to debit the trading account maintained with you for the account opening charges for trading account payable to you. Any such sum debited to my account shall be binding on me/us.
- 3) **Authorization For Communication Of Financial Products** : I/We have opened an account with you and am/are interested in knowing about other financial products. I/We authorize you, your group companies and associates to keep me/us informed with any financial product which SMC Global Securities Ltd., its group companies and associates presently issue, deal in, or distribute or may, from time to time, launch, issue, deal in or distribute; through E-mail, SMS, telephone, print media or otherwise. This is without legal obligation on you, your group companies and associates to so inform and you or they may, in their discretion, discontinue sending such information.
- 4) **Authorization for verification of information from independent agency(ies)** : I/We, do hereby certify that the information provided by me/us in this account opening form is true and correct in all respects and SMC Global Securities Limited (SMC) is entitled to verify this directly or through any third party agent. I/We further acknowledge the SMC's right to seek any information from any other source in this regard. I/We do understand that all the information will form the basis of any facility that SMC may decide to grant me/us at its sole discretion. I/We consent and authorize SMC to share or generate subsequently any report through CIBIL or authorized agency/bureau.

**Please score out whatever not accepted/ not agreed with.**

(14) 

Signature of Client

## AUTHORISATION TO SEND CONTRACT NOTE, STATEMENT OF FUNDS & SECURITIES ETC. ELECTRONICALLY

I/we authorise you to issue the contract notes, statement of funds & stocks, circulars, amendments, Client Registration Documents and such other documents in electronic mode in lieu of physical mode on my E-mail ID as given in KYC form and updated from time to time.

Any change in the E-mail ID shall be communicated by me / us in writing to your customer care department or through secured login available on your website.

Further, to my /our authority to you to issue Contract Notes in digital format I/we authorise you not to provide me/us Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required details from the Contract Notes issued to us.

I/We authorize you to send periodic statements of funds and stocks & margin statement etc. in digital format at my Email address unless I/We request you in writing to send them in paper form.

I/We hereby acknowledge that all the documents as send above by SMC electronically will be considered as having delivered to me once the e-mail leaves the SMC e-mail server unless the same is rejected by client e-mail server and bounced mail notification is not received by SMC. I/We further agree that in the absence of communication from my/our end regarding non-receipt of documents through e-mail, or notification of any discrepancy within 2 days from the date of issuance of digital contract note through e-mail, SMC may construe that there is a deemed acknowledgement of the document(s) send to client electronically.

(15) 

Signature of Client

I/We are registered / registering with you as a 'Client' for availing your services and have/are executing various documents such as KYC (Know Your Client Form) etc. which establish the relationship between us and determine the inter se rights and liabilities between you and me/us.

I/We desire to avail the Intraday/High Multiplier Facility from you. I/We agree that the Facility availed by me/us will always be subject to KYC Documents executed by me/us, which terms and conditions shall always be read as part and parcel of this application and its terms and conditions as specified hereunder.

**TERMS AND CONDITIONS**

- a) The details of the Facility as amended from time to time are / will be available on web site: [www.smcindiaonline.com](http://www.smcindiaonline.com). I/We agree that SMC may impose additional terms other than those specified herein and/or change the existing terms of Facilities and/or withdraw the same (or the Facility) for one or more Clients without prior notice and for this no claim shall lie against SMC.
- b) The Facility may be allowed only for selective contracts as displayed on the website.
- c) In Intraday/High Multiplier Facility, the Client will be allowed leverage for intra-day trading on available margin/security/collateral. The leverage available shall be liable to change as per SMC's risk management policy.
- d) The Client can be put under square off mode for the day if once his MTM loss reaches or crosses stipulated margin percentage of available margin and all positions of Clients are liable to be automatically squared off at once even if it happens before Auto Square off Time (as defined by SMC). SMC may prescribe / change stipulated margin percentage depending upon exchanges / regulatory requirements and/or changes in the market conditions etc.
- e) Client has the sole responsibility to monitor his positions throughout the day and take necessary/ appropriate actions, for which responsibility cannot be transferred to SMC. All open positions of Client, not squared off by Client prior to designated time will be taken control off by trading system. This designated time shall generally be during the last hour of the trading hour(s) on the exchange. After taking over control trading system may attempt for Automatic Square off at market rates. This shall be done by first cancelling all unexecuted pending orders and thereafter square off the executed orders by putting counter orders at market rate. The time upon which this square off attempt may be started by the trading system shall be the "Auto Square off Time". However there is no surety that square off by trading system will be successful partially/fully. This can happen due to various factors such as market volatility or connectivity related issues etc. Therefore Client should not leave square off of open positions on the trading system but to square off open positions by their own efforts.

**DECLARATION**

I/We hereby declare that the decision to register / enroll under the Intraday/High Multiplier Facility and for making all trades thereby is/ shall be entirely mine/ours and I/we have neither been given nor have been in any way influenced by you/your officers with any financial or other advice regarding the suitability or profitability of availing the Intraday/High Multiplier Facility as stated above or making any trades thereby. I/We may suffer losses on account of square off/non-square off by SMC within or at the end of the day and I agree to bear such losses without protest or claim against SMC.


I/We have read and accepted all terms and conditions specified herein above including those in paragraphs 1 to 5, their sub-paragraphs above and further declare that by clicking on submit button I / we agree to be bound by all of them.

Signature of Client

(16) 

## LETTER OF AUTHORISATION - AUTHORISED TRADING BY RELATIVE

1. I, the undersigned write to notify you that I have appointed Mr./Ms. \_\_\_\_\_ [having residential address \_\_\_\_\_ Phone No. \_\_\_\_\_ Mobile No. \_\_\_\_\_ Email address \_\_\_\_\_] (hereinafter called the 'Agent') who is my Father/ Mother/ Son/ Daughter/ Spouse\* to act on my behalf to give buy or sell instructions of every type and description including but not limited to futures, foreign exchanges, options and CFDs. (\*score out the inapplicable and attach proof of relationship e.g. Ration card/ marriage certificate/ Voter ID)
2. I ACKNOWLEDGE THAT PRIOR TO COMPLETING AND EXECUTING THIS LETTER I HAVE READ AND UNDERSTOOD THE DISCLOSURE STATEMENT PRINTED BELOW.
3. I further declare and agree that:-
  - (a) my agent shall have power as my agent to act as fully and effectually for the purpose(s) as I could do personally;
  - (b) all acts and matters previously done by my Agent in respect of my account(s) opened and maintained with you are hereby deemed ratified and confirmed; and
  - (c) notwithstanding the authorisation given to my Agent above, I may still communicate instructions to you personally. However, in the event of any inconsistency between instructions communicated by my Agent and instructions communicated by me personally, you shall have the absolute discretion (but shall not be obliged) to act upon the instructions communicated last in time and in your sole opinion considered capable of being acted upon, and in so acting you shall not be liable for any loss whatsoever and howsoever arising.
4. I further acknowledge that my appointment of my Agent is made by me of my own free will and as a result of my own judgment and deliberations. You shall accordingly be under no liability whatsoever in respect of any loss or damage which I may suffer or incur as a result of the acts or omissions of my Agent (including any acts involving dishonesty, criminal breach of trust, theft or other criminal offences). I further agree to be fully responsible for such acts or omissions of my Agent and shall indemnify and hold you harmless from any and all claims, liabilities, penalties, adverse consequences, losses, damages, costs or expenses (including legal fees on a full indemnity basis) which you may incur, be subjected to or suffer, arising out of, in relation to or in connection with, your relying on or acting in accordance with acts and /or omissions of my Agent within the scope of my Agent's ostensible authority. I also acknowledge that you are not obliged to ascertain or enquire into the terms and conditions on which my Agent was appointed, the context or circumstances in which any decision was taken by my Agent, the soundness of such decision or the purpose for which any of the decisions were taken.
5. The appointment of my Agent and authority conferred shall continue until written notice of revocation by me is received by you. I undertake to ratify and confirm all acts and things done by my Agent on my behalf until your receipt of such notification.
6. I acknowledge that I have received a copy of the following Risk Disclosure and understand its contents. I am signing this letter of authorisation after having reviewed the risks pointed out to me and am willing to accept the same and I am signing this letter of authorisation voluntarily.

(17)   
Signature of Client

### DISCLOSURE STATEMENT


PLEASE DO NOT SIGN THIS LETTER OF AUTHORISATION IF YOU DO NOT FULLY UNDERSTAND THE CONSEQUENCES OF SIGNING IT. This letter of authorisation is an IMPORTANT DOCUMENT. By signing it, you are authorising your Agent to enter into trading transactions on your behalf. You should know that your Agent will be acting as your agent. We will therefore not be responsible for any acts or omissions of your Agent in respect of any acts and/or things which may be done by him or her in exercise of authority you have given by signing this letter. In particular, we will not be responsible for any theft, misappropriation or other criminal, fraudulent or negligent acts of your Agent with respect to your share transactions or any loss due to his/her incompetence, inexperience or negligence. Please also particularly note that in granting this discretionary trading authority your Agent may affect trading transactions without reference to you.

### CONSENT FOR AVAILING MARGIN TRADING FACILITY (MTF)

I/We wish to avail the Margin Trading Facility (MTF) on the platform of National Stock Exchange of India Limited and BSE Limited as per the framework prescribed by SEBI vide its circular No. CIR/MRD/DP/54/2017 dated Jun 13, 2017.

Further, I/We have read and understood "Rights and Obligation of Stock Brokers & Client for Margin Trading Facility (MTF)" as prescribed by NSE vide its Circular No. NSE/COMP/35260 dated June 30, 2017 and BSE vide its Circular No. 20170619-26 dated June 19, 2017.

I/We have read & understood the "Policies & Procedures for MTF" as specified by SMC Global Securities Limited regarding terms and conditions of Margin Trading Facility, method of communication for confirmation of orders/trades, margin calls and calls for liquidation of collateral/security/positions etc and agreed to abide by the clauses mentioned therein all the times. Further, I/we will refer to SMC's website from time to time for any updation w.r.t policies & procedures.

(18)   
Signature of Client

# FATCA, CRS & ULTIMATE BENEFICIAL OWNERSHIP (UBO) SELF CERTIFICATION FORM FOR NON-INDIVIDUALS

(Please consult your professional tax advisor for further guidance on FATCA & CRS classification)  
(For FATCA Instruction & Definitions, please visit <http://www.smctradeonline.com/download.aspx>)

FATCA & CRS Declaration			
Please tick the applicable tax resident declaration -			
1. Is "Entity" a tax resident of any country other than India <input type="checkbox"/> Yes <input type="checkbox"/> No (If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)			
Sr. No.	Country	Tax Identification Number*	Identification Type (TIN or Other*, please specify)
1.			
2.			
3.			
<small>* In case Tax Identification Number is not available, kindly provide its functional equivalent. In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.</small>			
In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here			

PART A (to be filled by Financial Institutions or Direct Reporting NFEs)	
1. We are a, Financial institution <input type="checkbox"/> (Refer Instruction 1 of Part C) or Direct reporting NFE <input type="checkbox"/> (Refer Instruction 3(vii) of Part C) (please tick as appropriate)	<b>GIIN</b> <input style="width: 80%;" type="text"/>  <b>Note:</b> If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below  Name of sponsoring entity _____  <input type="checkbox"/> <b>GIIN not available</b> (please tick as applicable)
	<input type="checkbox"/> <b>Applied for</b> <input type="checkbox"/> Not obtained – Non-participating FI <input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category <input style="width: 40px;" type="text"/> (Refer Instruction 1 A of Part C)
PART B (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")	
1. Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer Instruction 2a of Part C)	Yes <input type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange _____
2. Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer Instruction 2b of Part C)	Yes <input type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company _____ Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company Name of stock exchange _____
3. Is the Entity an active NFE (Refer Instruction 2c of Part C)	Yes <input type="checkbox"/> Nature of Business _____ Please specify the sub-category of Active NFE <input type="checkbox"/> (Mention code – refer instruction 2c of Part C)
4. Is the Entity a passive NFE (Refer Instruction 3(ii) of Part C)	Yes <input type="checkbox"/> Nature of Business _____

UBO Declaration (Mandatory for all entities except, a Publicly Traded Company or a related entity of Publicly Traded Company)	
<b>Category</b> (Please tick applicable category): <input type="checkbox"/> Unincorporated association / body of individuals <input type="checkbox"/> Others (please specify _____)	<input type="checkbox"/> Unlisted Company <input type="checkbox"/> Partnership Firm <input type="checkbox"/> Limited Liability Partnership Company <input type="checkbox"/> Public Charitable Trust <input type="checkbox"/> Religious Trust <input type="checkbox"/> Private Trust
Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). (Please attach additional sheets if necessary) Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details (Refer 3(vi) of Part C)	

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer Instruction 3(iv) (A) of Part (C))			
Country of Tax residency*			
PAN*			
Address	Zip <input type="text"/> State: <input type="text"/> Country: <input type="text"/>	Zip <input type="text"/> State: <input type="text"/> Country: <input type="text"/>	
Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office
Tax ID <sup>§</sup>			
Tax ID Type			
City of Birth			
Country of Birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others <input type="text"/>	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others <input type="text"/>	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others <input type="text"/>
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
Percentage of Holding (%) <sup>§</sup>			

\* To include US, where controlling person is a US citizen or green card holder

#If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.

%In case Tax Identification Number is not available, kindly provide functional equivalent

\$Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

### FATCA - CRS Terms and Conditions

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which require Indian financial institutions to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our unit holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with us or our group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

If you have any questions about your tax residency, please contact your tax advisor. If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number.

It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

#### Certification

I/We have read and understood the information requirements and the Terms and Conditions mentioned in this Form (read alongwith the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete. I/We hereby agree and confirm to inform SMC for any modification to this information promptly. I/We further agree to abide by the provisions of the Scheme related documents inter alia provisions on 'Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) on Automatic Exchange of Information (AEOI)'.

CLIENT SIGNATURE	
	First / Sole Holder
Sign of Client	(19) 

I/We \_\_\_\_\_ am/are registered as your client with Client Code No. \_\_\_\_\_ and have entered into the Trading Member and Client Relationship for the purpose of trading in the Capital Market segment of Bombay Stock Exchange Ltd./ National Stock Exchange of India Ltd. (Exchange).

I/We am/are interested in availing the BSE StAR MF/MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE StAR MF/ MFSS of the Exchange.

For the purpose of availing the BSE StAR MF/ MFSS facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of BSE StAR MF/ MFSS and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the Circular dated 24, November 2009 & 2, December, 2009 for NSE & BSE Respectively and as may be specified by the Exchanges from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/We therefore request you to register me/us as your client for participating in the MFSS/ BSE StAR MF.

**Details of terms & conditions for the Investor / Client for using New BSE StAR MF / MFSS facility**

**1. Pre-requisites for becoming Investor / Client for the BSE StAR MF/MFSS facility**

- 1.1. The client who is desirous of investing in units of mutual fund schemes through the New BSE StAR MF/MFSS.
- 1.2. The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the Participant of the New BSE StAR MF/MFSS.
- 1.3. The client has satisfied itself of the capacity of the Participant to deal in Mutual Fund units and wishes to execute its instruction through the Participant and the client shall from time to time continue to satisfy itself of such capability of the Participant before executing transacting through the Participant.
- 1.4. The Client has approached to the Participant with the application for availing the New BSE StAR MF/MFSS facility.
- 1.5. The client has submitted relevant KYC (Know Your Client) details to the Participants

**2. Terms and Conditions**

- 2.1. The client shall be bound by circulars issued by BSE/NSEIL, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
- 2.2. The client shall notify the Participant in writing if there is any change in the information in the 'client registration form' provided by the client to the Participant at the time registering as a client for participating in the New BSE StAR MF/MFSS or at any time thereafter.

- 2.3. The client shall submit to the Participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the Participant.
- 2.4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
- 2.5. The client shall be wholly responsible for all his investment decisions and instruction.
- 2.6. The client shall ensure continuous compliance with the requirements of the BSE, NSEIL, SEBI and AMFI.
- 2.7. The Client shall pay to the Participant fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Participant renders to the Client.
- 2.8. The client will furnish information to the Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
- 2.9. In the event of non-performance of the obligation by the Participant, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of BSE or BOISL / NSEIL or NSCCL.
- 2.10. In case of any dispute between the Participants and the investors arising out of the BSE StAR MF Fund / MFSS facility, BSE and/or BOISL and NSEIL and / or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.

(20) 

Signature of Client

### DECLARATION FOR PROVIDING SMS AND E-MAIL ALERTS TO RELATIVE

I hereby declare that the Mobile Number and/or Email ID given in the account opening form are of my relative. He / She already has a trading/Demat account with SMC Global Securities Limited under the below mentioned PAN or UCC.

Relationship: ☐ Spouse ☐ Dependent parent ☐ Dependent child (✓ where applicable)

Name of the relative : \_\_\_\_\_

PAN of the relative: \_\_\_\_\_

Or

Unique Client Code (UCC) of the relative: \_\_\_\_\_

I request you to please accept their Mobile number and/or E-mail ID for the purpose of sending SMS and/or E-mail alerts by the Stock Exchange / Depository to me.

 Signature of Client

### DECLARATION FOR NAME MISMATCH (To be filled if the name on documents is different)

This is to bring to your notice that my name is spelt differently in my Identity proof, Address proof and Bank proof. Please find below the names as spelt in respective proofs:

Name as per PAN CARD \_\_\_\_\_

Name as per Address Proof \_\_\_\_\_

Name as per Bank Proof \_\_\_\_\_

I hereby confirm that all the said names belong to me. I hereby state and confirm that what is stated above is true and correct information.

I agree to indemnify and keep SMC indemnified at all times from and against all costs, charges, damages, penalties (including reasonable attorney fees) suffered and/or incurred by SMC for any act done or omitted to be done on the above declaration.

 Signature of Client

### DECLARATION FOR SIGNATURE MISMATCH (To be filled if client's signature is mismatched from PAN Card and Bank)

This is to bring into your notice that my signature on PAN Card / Bank and account opening form are as follows:

Signature as per Bank

Signature as per Account  
Opening Form

Signature as per PAN Card

I hereby confirm that all the above signatures are mine. I hereby state and confirm that what is stated above is true and correct information.

I agree to indemnify and keep SMC indemnified at all times from and against all costs, charges, damages, penalties (including reasonable attorney fees) suffered and/or incurred by SMC for any act done or omitted to be done on the above declaration.

Name of the Applicant : \_\_\_\_\_

**FOR OFFICE USE ONLY**UCC : 

I/We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document(s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

**FOR & ON BEHALF OF SMC GLOBAL SECURITIES LIMITED**Name : Signature : Date : 

(Seal / Stamp of SMC Global Securities Ltd.)

**FOR BRANCH PURPOSE ONLY**

	Name	Employee/BDR/RO Code	Signature
Introducer / RO			
Relationship Manager			
TL			

Verifier's Name : Approver's Name : Date : Date : Stamp & Sign : Stamp & Sign : **BROKERAGE APPROVAL (if required)**Name of Approving Officer : Designation :  Branch / Location : Date : Signature of Branch Head /  
Zonal Head / Director**CHEQUE DETAILS**

	Towards	Amount	Cheque No.	Date	Bank Name and Branch
<input type="checkbox"/> Y <input type="checkbox"/> N	Account opening Fee (For Trading Account)				
<input type="checkbox"/> Y <input type="checkbox"/> N	Margin Amount				

**FOR PNB USE ONLY**PNB Branch Name : Branch Code : Branch Address : PNB Employee Name : PNB Employee Code : Date of Despatch : Branch Stamp & Sign. **ACCOUNTS CATEGORY**☐ General☐ Employee☐ HNI☐ Corporate

Remarks :

<input type="checkbox"/> CVL	<input type="checkbox"/> NDML	<input type="checkbox"/> DOTEX	<input type="checkbox"/> CAMS	<input type="checkbox"/> KARVY
<input type="checkbox"/> NEW KRA KYC				
<input type="checkbox"/> MODIFY KRA KYC WITH DOCUMENTS				
<input type="checkbox"/> MODIFY KRA KYC WITHOUT DOCUMENTS				

VERIFICATION CALL TO CLIENT		
Date	Time	Remarks

**DISCLAIMER**

"Punjab National Bank & SMC are separate entities and are no way related to each other. They have entered into an alliance to offer superior investing facilities to PNB's customers. The Online Trading Facility as explained in this document is a service being provided by SMC. The website/portal is owned by SMC only and PNB is a facilitator to offer the said services through its network (branches, call centre, website etc.), meaning thereby, PNB is not related or responsible for trading, advisory and research services. For PNB, this is third party product being facilitated in offering the same to clients for providing various investments solutions."



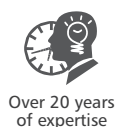
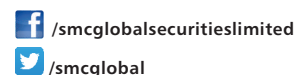
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