

Account Opening Form (Broking & DP - Individual)



Client Name : _____

Branch Name : _____

Branch Code : _____

Client Code : _____

RM Code : _____

Dealer Code : _____



- Equity Broking
- Online Trading
- Depository Services
- Currency Derivatives
- Mutual Fund
- IPO
- Margin Trading Facility

INDEX OF DOCUMENTS
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Name of stock broker/ trading member/clearing member	ITI SECURITIES BROKING LIMITED
SEBI Registration No. INZ000005835 and date 14-02-2019	NSE - Cash, F&O, Currency Derivatives BSE - Cash, F&O
SEBI Registration No. DP	IN-DP-70-2015 Date: 15-01-2019
Clearing Member (for NSE F&O Segment)	Antique Stock Broking Limited (SEBI Registration No. INZ000001131)
Clearing member For :- NSE Currency Derivative Segment :- BSE F&O Segment)	AXIS BANK LTD SEBI REG No. : NSE (CDX): INZ000257435 SEBI REG No. : BSE (F&O): INZ000257435
Registered office address:	ITI Securities Broking Limited, Regd. Off: ITI House, 36, Dr. R. K. Shirodkar Marg, Behind Bata Showroom, Opp HDFC House, Parel, Mumbai 400012. Tel.: (91-22) 4027 3600 • Fax: (91-22) 4027 3700 Website: www.itisb.co.in
Correspondence office address:	ITI Securities Broking Limited, Regd. Off: ITI House, 36, Dr. R. K. Shirodkar Marg, Behind Bata Showroom, Opp HDFC House, Parel, Mumbai 400012. Tel.: (91-22) 4027 3600 • Fax: (91-22) 4027 3700 Website: www.itisb.co.in
Compliance Officer for Trading	Ms. Diptika Sharad
Phone no.	(91-22) 4027 3600 • Email id: diptika.sharad@itiorg.com
Compliance Officer for DP	Mr. Milind M. Karanjekar
Phone no.	(91-22) 6905 3143 • Email id: milind@itiorg.com
Designated Director Name	Mr. Kuldeep Vashist
Phone No.	(91-22) 6905 3162 • Email id: kvashist@itiorg.com

For any grievance/dispute please contact ITI SECURITIES BROKING LIMITED at the above address or call/ email us at
Phone: +91 022 69153500 Email: igsb@itiorg.com

In case not satisfied with the response, Please contact the concerned exchange(s):

For National Stock Exchange Ltd:- Email: ignse@nse.co.in Phone: 1800 266 0058

For BSE Ltd:- Email: is@bseindia.com Phone: 022 2272 8097

For Central Depository Services (I) Ltd:- Email: compliants@cdslindia.com Phone: 1800 200 5533

You can also lodge your grievances with SEBI at <https://scores.gov.in>. For any queries, feedback or assistance, Please contact SEBI office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575

KRA/CKYC Registration details (For office purpose only)

If client is already registered with KRA/CKYC please fill in below details:

NDML CKYC CVL Others _____ (Please tick (✓) any one)

(Please furnish photocopy of KRA/CKYC Registration letter)

KRA Registration No.: _____ CKYC Registration No.: _____

Date of Registration:

Note: Any correction kindly counter signature, please do not use white ink.

Note: ITI Securities Broking Limited hereby states and informs that it undertakes Proprietary trading in addition to client based trading.

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

B. Proof of Identity(POI): List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/

Driving License/Flat Maintenance bill/Insurance Copy.

2. Utility bills like Telephone Bill (only land line),Electricity bill or Gas bill Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/ Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament / Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc.,to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN (*Sufficient documentary evidence in support of such claims to be collected.)

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

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

Know Your Client (KYC)
Application Form (For Individuals Only)



CDSL VENTURES LIMITED
...Exploring New Horizons



Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

Application Number: _____

Application Type*: New KYC Modification KYC

KYC Mode*: Please Tick (✓)

- Normal EKYC OTP EKYC Biometric Online KYC Offline EKYC Digilocker

1. Identity Details (please refer guidelines overleaf)

PAN* _____ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____

Maiden Name+ (if any) _____

Fathers/Spouse's Name* _____

Date of Birth* _____

Gender* Male Female Transgender

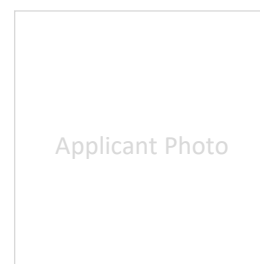
Marital Status* Single Married

Nationality* Indian Other _____

Residential Status* Resident Individual Non Resident Indian

Please Tick (✓) Foreign National Person of Indian Origin

(Passport mandatory for NRIs, PIOs and Foreign Nationals)



Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

A — Aadhaar Card XXXX XXXX _____

B — Passport Number _____ (Expiry Date) _____

C — Voter ID Card _____

D —Driving License _____ (Expiry Date) _____

E —NREGA Job Card _____

F — NPR _____

Z —Others _____ (any document notified by Central Government)

Identification Number _____

2. Address Details* (please refer guidelines overleaf)

A. Correspondence/ Local Address*

Line 1* _____

Line 2 _____

Line3 _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* Residential/Business Residential Business Registered Office Unspecified

Applicant e-SIGN

(1/38)

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1* _____
 Line 2 _____
 Line3 _____
 City/
 Town/Village* _____ District* _____ Pin Code* _____
 State* _____ Country* _____
 Address Type* Residential/Business Residential Business Registered Office Unspecified



Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

A — Aadhaar Card XXXX XXXX ____ _
 B — Passport Number _____ (Expiry Date) ____ _
 C — Voter ID Card _____
 D — Driving License _____ (Expiry Date) ____ _
 E — NREGA Job Card _____
 F — NPR Letter _____
 Z—Others _____ (any document notified by Central Government)
 Identification Number _____

3. Contact Details

Email ID _____
 Mobile No. ____ - ____
 Tel (off) ____ Tel (Res) _____

4. Applicant 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 CVL KRA through SMS/Email on the above registered number/Email address. DATE: ____ (DD-MM-YYYY) PLACE: _____	Applicant e-SIGN	Applicant Wet Signature
	 (2/38)	 (2/38)

5. For Office Use Only

In-Person Verification (IPV) carried out by*	Intermediary Details*
IPV Date ____ Emp. Name _____ Emp. Code _____ Emp. Designation _____	<input type="checkbox"/> Self certified document copies received (OVD) <input type="checkbox"/> True Copies of documents received (Attested) AMC / Intermediary Name : _____
Employee Signature and Stamp	Institution Name and Stamp

Know Your Client (KYC)
Application Form (For Individuals Only)



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Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

Application Number: _____

Application Type*: New KYC Modification KYC

KYC Mode*: Please Tick (✓)

Normal EKYC OTP EKYC Biometric Online KYC Offline EKYC Digilocker

1. Identity Details (please refer guidelines overleaf)

PAN* _____ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____

Maiden Name+ (if any) _____

Fathers/Spouse's Name* _____

Date of Birth* _____

Gender* Male Female Transgender

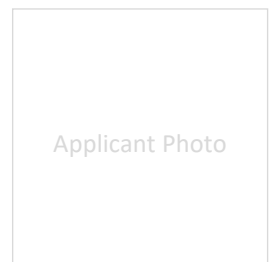
Marital Status* Single Married

Nationality* Indian Other _____

Residential Status* Resident Individual Non Resident Indian

Please Tick (✓) Foreign National Person of Indian Origin

(Passport mandatory for NRIs, PIOs and Foreign Nationals)



Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

A — Aadhaar Card XXXX XXXX _____

B — Passport Number _____ (Expiry Date) _____

C — Voter ID Card _____

D —Driving License _____ (Expiry Date) _____

E —NREGA Job Card _____

F — NPR _____

Z —Others _____ (any document notified by Central Government)

Identification Number _____

2. Address Details* (please refer guidelines overleaf)

A. Correspondence/ Local Address*

Line 1* _____

Line 2 _____

Line3 _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* Residential/Business Residential Business Registered Office Unspecified

Applicant e-SIGN

(1a/38a)

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1* _____
 Line 2 _____
 Line3 _____
 City/
 Town/Village* _____ District* _____ Pin Code* _____
 State* _____ Country* _____
 Address Type* Residential/Business Residential Business Registered Office Unspecified



Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

A — Aadhaar Card XXXX XXXX ____ _
 B — Passport Number _____ (Expiry Date) ____ _
 C — Voter ID Card _____
 D — Driving License _____ (Expiry Date) ____ _
 E — NREGA Job Card _____
 F — NPR Letter _____
 Z—Others _____ (any document notified by Central Government)
 Identification Number _____

3. Contact Details

Email ID _____
 Mobile No. _____ - _____
 Tel (off) _____ Tel (Res) _____

4. Applicant 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 CVL KRA through SMS/Email on the above registered number/Email address. DATE: ____ - ____ - ____ (DD-MM-YYYY) PLACE: _____	Applicant e-SIGN	Applicant Wet Signature
	 [Signature / Thumb Impression] (2a/38a)	 (2' a/38a)

5. For Office Use Only

In-Person Verification (IPV) carried out by*	Intermediary Details*
IPV Date ____ - ____ - ____ Emp. Name _____ Emp. Code _____ Emp. Designation _____	<input type="checkbox"/> Self certified document copies received (OVD) <input type="checkbox"/> True Copies of documents received (Attested) AMC / Intermediary Name : _____
Employee Signature and Stamp	Institution Name and Stamp

4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction E at the end)

Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

Line 1*
Line 2
Line 3
City / Town / Village* District* Pin / Post Code*
State Country

4.3 ADDRESS IN THE JURISDICTION DETAILS 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* District* Pin / Post Code*
State Country

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. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)

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* (Please see instruction (H) at the end)

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 code 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 :

[Signature / Thumb Impression]
(2/38)
Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies

KYC VERIFICATION CARRIED OUT BY
Date --
Emp. Name
Emp. Code
Emp. Designation
Emp. Branch
[Employee Signature]

INSTITUTION DETAILS
Name
Code
[Institution Stamp]

Joint Holder

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.



For office use only	Application Type* <input type="checkbox"/> New <input type="checkbox"/> Update	
(To be filled by financial institution)	KYC Number	<input style="width: 100%; border: none; border-bottom: 1px solid black;" type="text"/> (Mandatory for KYC update request)
	Account Type*	<input type="checkbox"/> Normal <input type="checkbox"/> Minor <input type="checkbox"/> Aadhaar OTP based E-KYC (in non-face to face mode)

1. PERSONAL DETAILS (Please refer instruction A at the end)

	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 style="width: 5%; border: none; border-bottom: 1px solid black;" type="text"/>	<input style="width: 5%; border: none; border-bottom: 1px solid black;" type="text"/>	<input style="width: 5%; border: none; border-bottom: 1px solid black;" type="text"/>	<input style="width: 5%; border: none; border-bottom: 1px solid black;" 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 (ISO 3166 Country Code <input style="width: 20px; border: none; border-bottom: 1px solid black;" type="text"/>		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
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

Signature / Thumb Impression
(1a/38a)

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*

3. PROOF OF IDENTITY (POI)* (Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity[PoI] needs to be submitted)

<input type="checkbox"/> A- Passport Number <input style="width: 100%; border: none; border-bottom: 1px solid black;" type="text"/>	Passport Expiry Date <input style="width: 100%; border: none; border-bottom: 1px solid black;" type="text"/>
<input type="checkbox"/> B- Voter ID Card <input style="width: 100%; border: none; border-bottom: 1px solid black;" type="text"/>	
<input type="checkbox"/> C- PAN Card <input style="width: 100%; border: none; border-bottom: 1px solid black;" type="text"/>	
<input type="checkbox"/> D- Driving Licence <input style="width: 100%; border: none; border-bottom: 1px solid black;" type="text"/>	Driving Licence Expiry Date <input style="width: 100%; border: none; border-bottom: 1px solid black;" type="text"/>
<input type="checkbox"/> E- UID (Aadhaar) <input style="width: 100%; border: none; border-bottom: 1px solid black;" type="text"/>	
<input type="checkbox"/> F- NREGA Job Card <input style="width: 100%; border: none; border-bottom: 1px solid black;" type="text"/>	
<input type="checkbox"/> Z- Others (any document notified by the central government) <input style="width: 100%; border: none; border-bottom: 1px solid black;" type="text"/>	Identification Number <input style="width: 100%; border: none; border-bottom: 1px solid black;" type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code <input style="width: 20px; border: none; border-bottom: 1px solid black;" type="text"/>	Identification Number <input style="width: 100%; border: none; border-bottom: 1px solid black;" type="text"/>

4. PROOF OF ADDRESS (POA)*

4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type*	<input type="checkbox"/> Residential / Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar)		
	<input type="checkbox"/> Voter Identity Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others	<input style="width: 100%; border: none; border-bottom: 1px solid black;" type="text"/>	
	<input type="checkbox"/> Simplified Measures Account - Document Type code	<input style="width: 20px; border: none; border-bottom: 1px solid black;" type="text"/>			

Address

Line 1*

Line 2

Line 3

City / Town / Village* District* Pin / Post Code*

State Country

4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction E at the end)

Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

Line 1*

Line 2

Line 3

City / Town / Village* District* Pin / Post Code*

State Country

4.3 ADDRESS IN THE JURISDICTION DETAILS 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* District* Pin / Post Code*

State Country

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. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)

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* (Please see instruction (H) at the end)

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 code 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 :

[Signature / Thumb Impression]
(2a/38a)
Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies

KYC VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
Date <input type="text"/>	Name <input type="text"/>
Emp. Name <input type="text"/>	Code <input type="text"/>
Emp. Code <input type="text"/>	<input type="text"/>
Emp. Designation <input type="text"/>	
Emp. Branch <input type="text"/>	
<input type="text"/>	<input type="text"/>

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.
- 9 In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification 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. In case PAN is not available father's name is mandatory.

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 [PoI]' 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.
- 3 In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 3 (S).

Document Code	Description
01	Identity card with applicant's photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person.

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

- 1 PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
- 2 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 3 In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

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 [PoI] 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 & 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	SA
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 & 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 & 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	Norway	NO	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Caledonia	NC	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island & McDonald Islands	HM	New Zealand	NZ	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Nicaragua	NI	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Niger	NE	Tonga	TO
Burundi	BI	Hong Kong	HK	Nigeria	NG	Tonga	TO
Cabo Verde	CV	Hungary	HU	Niue	NU	Trinidad and Tobago	TT
Cambodia	KH	Iceland	IS	Norfolk Island	NF	Tunisia	TN
				Northern Mariana Islands	MP	Turkey	TR

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
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		

BANK ACCOUNT(S) DETAILS					
No.	Bank Name, Branch Add. & Tel. No.	Account No.	A/c Type*	MICR No.	IFSC Code
1*					
2					

*Bank details provided in Sr. No. 1 will be considered to be default for all transactions

Please provide Cancelled Cheque leaf for MICR & IFSC Code

*A/c Type: Savings/Current/ others - in case of NRI/NRE/NRO

DEPOSITORY ACCOUNT(S) DETAILS (Please attach a copy of Client Master issued by DP if other than ITISBL)					
Sr. No.	Depository Participant Name	Beneficiary Name	DP ID No.	BO ID	Depository Name
1*					(NSDL/CDSL)
2					(NSDL/CDSL)

*Shares bought by you will be transferred to your DP A/c stated by you at Sr. No. 1

TRADING PREFERENCES						
*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.						
Exchanges	Segment					
National Stock Exchange of India Ltd.(NSE)	<input type="checkbox"/> (3/38) Cash	<input type="checkbox"/> (4/38) F&O	<input type="checkbox"/> (5/38) Currency Derivative	<input type="checkbox"/> (6/38) MFSS	<input type="checkbox"/> (7/38) SLB	
Bombay Stock Exchange Ltd. (BSE)	<input type="checkbox"/> (8/38) Cash	<input type="checkbox"/> (9/38) F&O	_____	<input type="checkbox"/> (10/38) STAR MF	_____	

#If in future, you wish to trade on any new segment/ new exchange, please give separate authorization letter to ITISBL

PAST ACTIONS
Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years:

OTHER DETAILS
<p>1. Gross Annual Income Details (please specify):</p> <p>Income Range per annum: <input type="checkbox"/>Below Rs 1 Lac <input type="checkbox"/>1-5 Lac <input type="checkbox"/>5-10 Lac <input type="checkbox"/>10-25 Lac <input type="checkbox"/>25 Lacs-1 Cr. <input type="checkbox"/> > 1 Cr</p> <p>Net-worth as on (date)_____ (_____) (Net worth should not be older than 1 year)</p>
<p>2. 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_____</p>
<p>3. Please tick, if applicable: <input type="checkbox"/>Politically Exposed Person (PEP) <input type="checkbox"/>Related to a Politically Exposed Person (PEP)</p>
<p>4. Educational Qualification: _____</p>
<p>5. Any other information: _____</p>

DEALINGS THROUGH AP AND OTHER STOCK BROKERS							
AP Name					BSE AP Reg. No.		
Registered Address					NSE AP Reg. No.		
					Remisier (BSE)		
Signature of AP X		Tel. No.		AP F&O / CD (NSE)			
		Email-ID		Mobile No.			
		Website					
Name of Stock Broker		Name of AP if any		Client Code		Exchange	
In case dealing through multiple Stock Brokers / Authorised Persons provide details as above as separate Annexure							
Details of disputes/dues pending from/to such stock broker/Authorised Person:							
ADDITIONAL DETAILS							
Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify):							<input type="checkbox"/> YES <input type="checkbox"/> NO
Specify your Email id, if applicable:							
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:							
Any other information :							
INTRODUCER DETAILS							
Name of the Introducer				Signature of the Introducer X			
Add. / Tel.							
Status of the Introducer: Authorized Person / Existing Client / Others, please specify _____							
Associate Centre Code/Client Code/ Employee Code: _____							
NOMINATION DETAILS							
<input type="checkbox"/> I / We wish to nominate				<input type="checkbox"/> I / We do not wish to nominate			
Nomination Details in specified format is attached to this document.							
DECLARATION							
<p>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.</p> <p>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.</p> <p>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: www.itisb.co.in</p>							
Name				Signature of client		(11/38)	
Place		Date					

FOR OFFICE USE ONLY			
UCC Code allotted to the Client:			
	Documents verified with Originals	Client Interviewed / Approved by	In person Verification done by
Name of the employee			
Signature			
Designation of the employee			
Employee Code			
Date			

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.

Date: _____

Signature of the Authorised Signatory

Seal/Stamp of the stock broker

INSTRUCTIONS/ CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list:

Copy of ITR Acknowledgement	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. Self-certified 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. Demat master or recent holding statement issued by DP bearing name of the client.

4. For individuals:

- a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/Authorised Person'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.

RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS **as prescribed by SEBI and Stock Exchanges**

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).

CLIENT INFORMATION

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.
10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.

15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

18. The Client shall pay to the stock broker brokerage 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 stock broker renders to the Client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker 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 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.
20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.
21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. 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 by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.

28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.

40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.
41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

43. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.
46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.
47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.
48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.



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Signature of the Applicant

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT

(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.



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Signature of the Applicant

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges.

Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges /SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned stock broker. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a derivative contract being traded on Stock exchanges.

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time.

Stock exchanges does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities /derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

1.2.1 Buying or selling securities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / derivatives contract.

1.3 Risk of Wider Spreads:

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / derivatives contracts. This in turn will hamper better price formation.

1.4 Risk-reducing orders:

The placing of orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

1.4.1 A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.

1.4.2 A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

1.4.3 A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5 Risk of News Announcements:

News announcements that may impact the price of stock / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

1.6 Risk of Rumors:

Rumors about companies / currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

1.7 System Risk:

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

1.7.1 During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

1.7.2 Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

1.8 System/Network Congestion:

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part

or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

2. As far as Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-

2.1 Effect of "Leverage" or "Gearing":

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.

3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders:

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.

2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.4 Risks of Option Writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.

2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.

3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

3. TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

4. GENERAL

4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.

4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.



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Signature of the Applicant

GUIDANCE NOTE - DO's AND DON'Ts FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS

BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges www.exchange.com and SEBI website www.sebi.gov.in.
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.

- d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.
17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.
19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.
20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.



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Signature of the Applicant

POLICIES AND PROCEDURES OF ITI SECURITIES BROKING LIMITED

(REFERENCE PARA 8 OF SEBI CIRCULAR NO. MIRSD/SE/CIR-19/2009 DATED DECEMBER 03, 2009)

This has reference to your trading account with us and in accordance with the Know your Client (KYC) Norms specified by Securities and Exchanges Board of India [SEBI] vide their circular No. MIRSD/ SE/Cir-19/2009 dated December 3, 2009. The aforesaid circular warrants your broker to bring to your notice the following Policies & Procedures:

a. Refusal of orders for penny stocks:

- ITISBL may at its discretion refuse to execute any buy or sell trade on behalf of the client including but not restricted to dealings in penny stocks, illiquid stocks, infrequently traded stocks / contracts etc if the Stock Broker is of the view that such execution would adversely affect market integrity or give rise to regulatory / disciplinary actions/ concerns.

Although, the term 'Penny Stock' has not been defined by SEBI or any stock exchange, a penny stock generally refers to a stock which may have following characteristics:

- Trades at a price less than Rs. 10/- or at a price less than its face value.
- has small market capitalization.
- has unsound fundamentals.
- is illiquid security (A list of illiquid securities is jointly released by The Exchanges from time to time.)

ITI Securities Broking Limited (ITISBL) recognizes that it is client's prerogative to choose shares in which he/she would like to trade.

b. Setting up client's exposure limit:

ITISBL may from time to time impose and vary limits on the orders that the client can place through the client stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). ITISBL may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/ SEBI directions/limits (such as broker level/ market limits in security specified /volume specific exposures etc.). ITISBL may at any time, at its sole discretion and without prior notice, prohibit or restrict the clients ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by stock broker / exchange / SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. Ordinary,

- Exposure limit for each client is determined by the Risk Management Department based on client's KYC information, Net-worth information and Margin deposited by client in the form of funds/securities with the ITISBL. These limits may be set exchange-wise, segment-wise & scrip-wise.
- ITI Securities Broking Limited retains the discretion to set and modify from time to time any clients exposure limit decided as above.
- The limits are determined by Risk Management Department based on the above criteria and payment history of the client in consultation with Relationship Manager of the Respective Client.
- The Risk Management Department continuously monitors the various limits set by it.
- Whenever, any client has taken or wants to take exposure in any security, ITISBL, may call for appropriate margins in the form of early pay-in of shares or funds before or after execution of trades in the Cash segment. In case of any margin shortfall, the clients are told to reduce the position immediately or requested to deposit extra margin to meet the shortfall. Otherwise, ITISBL may refuse trading on behalf of such client in its own discretion.

c. Applicable brokerage rate:

The stock broker is entitled to charge brokerage within the limits prescribed by the Regulators which at present is as under:

- a) For Cash Market Segment : The maximum brokerage chargeable in relation to trades effected in the securities admitted to dealings on the Capital Market segment of the Exchange shall be 2.5% of the contract.

- b) price exclusive of statutory levies. Where the sale / purchase value of a share is Rs.10/- or less, a maximum brokerage of 25 paise per share may be collected.
- c) For Option contract: Brokerage for option contracts shall be charged on the premium amount at which the option contract was bought or sold and not on the strike price of the option contract. It is hereby further clarified that brokerage on options contracts shall not exceed 2.5% of the premium amount or Rs 100/- (per lot) whichever is higher.
- d) The stock broker shall be entitled to increase the brokerage applicable to the client within the overall limit stipulated by the Regulator after giving the client fifteen days notice.
- d. Imposition of penalty / delayed payment charges by either party, Specifying the rate and the period:**
- The client shall be liable to penalty and other charges on non-payment of margin money, short selling of securities or units, failure of payment of auction, cheque bounce, non-delivery of shares, increase in open position or any orders / trades /deals /actions of the clients which are contrary to his agreement / rules / regulations/ bye-laws of the exchange or any other law for time being in force as per rules, regulations, guidelines and circulars issued by SEBI and stock exchange from time to time. Similarly, in case of non receipt of full payment purchased, margin imposed (initial plus exposure margin plus mark to market loss plus any other margin as imposed) interest will be charged at 3% per month calculated on daily basis on shortfall amount and the amount of interest shall be debited to the account of the client on monthly basis.
- All fines/ penalties and charges levied due to act / deems or transactions of the client will be recovered by the stock by debiting directly to the trading account of the client.
- Client may maintain the accounts of clients on a running account basis. For any pay-out, the client has to give request to ITISBL. ITISBL shall pay-out the requested funds (after considering the margin or any other liability of such client towards ITISBL) to the client within 24 hours of receiving the request.
- e. Right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non payment of client's Dues:**
- If a Client fails to make payment of consideration to the Stock Broker in respect of any one or more securities purchased by him before the pay-in date notified by the exchange from time to time, the Stock Broker shall be at liberty to sell / liquidate the securities received by pay-out, as per the policy of the Stock Broker, after taking into account any amount lying to the credit of the Client. The loss, if any, on account of liquidation shall be to the account of the Client. Without prejudice to the Stock Brokers other rights the Stock Broker shall be entitled to liquidate/ close out all or any of the Clients positions, without giving notice to the Client, for non-payment of margins or other amounts, outstanding debts, etc. Any and all losses and financial charges on account of such liquidation / closing-out shall be charged to and borne by the Client.
- f. Shortages in obligations arising out of internal netting of trades:**
- ITISBL shall not be obliged to deliver any securities to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation /clearing house or other entity liable to deliver the securities and the client has fulfilled his / her /its obligations first.
- Closing out in the case of failure to give delivery for Normal Market**
- NSE : Close out will be at the highest price prevailing in the NSE from the day of trading till the auction day or Auction WAP[Weighted Average Price], whichever is higher.
- BSE: Close out will be at the highest price prevailing in the BSE from the day of trading till the auction day or official closing price on the auction day, whichever is higher.
- Compulsory Close-out of securities under Corporate Action**
- In cases of securities having corporate actions and no 'no-delivery period' for the corporate action, all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction pay-out is after the book closure / record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.
- g. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of the client**
- ITISBL shall have absolute discretion and authority to limit clients' volume of business or to close any existing position of client under following conditions:
- Where there are insider trading restrictions on the client.
 - Where there is shortfall in the margin deposited by client with ITISBL.

- Where there are any restrictions imposed by Exchange or Regulator on the volume of trading outstanding positions of contracts.
- Where the client is undertaking any illegal trading practice or the client is suspected to be indulging in money laundering activities.
- Where the stock broker has reached its limit in that scrip.
- Where taking further position may result in violation of permissible limits.
- Where taking further position, in the opinion of stock broker, may be against public policy or any Prescribed Law, Rule or Regulation.
- In the event of stock broker coming to know of Client's insolvency, death or becoming of unsound mind

h. Temporarily suspending or closing a client's account based at the Client's request:

Client may instruct the member to close the account or suspend the trading through client's account for the period as specified in the request in writing and duly signed by him. ITISBL can withhold the pay-outs of client and suspend client's trading account due to surveillance action of ITISBL or judicial or/ and regulatory order/ action requiring client suspension. ITISBL shall maintain such suspension/ disablement till such time the client makes a specific request and complies with required formalities in that regard.

i. Deregistering a Client

ITISBL may, in its absolute discretion, decide to deregister a particular client. The illustrative circumstances under which ITISBL may deregister a client are given below:

- SEBI or any other regulatory body has passed an order against such client, prohibiting or suspending such client from participating in the securities market.
- Such client has been indicated by a regulatory body or any government enforcement agency in case of market manipulation or insider trading or any other case involving violation of any law, rule, regulation, guideline or circular governing securities market.
- Such client is suspected of indulging in illegal or criminal activities including fraud or money laundering.
- Such client's name appears in the UN list of prohibited entities as mentioned under the ITISBL AML Policy & Procedures.
- On the death / lunacy or other disability of the Client.
- If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client.
- If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking.
- If the client being a partnership firm, has any step taken by the Client and/ or its partners for dissolution of the partnership.
- If the client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution.
- If the Client has made any material misrepresentation of facts.
- If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable.
- If the Client suffers any adverse materials in his/her/ its financial position or defaults in any other agreement with the ITISBL.
- If the Client has not carried out any trades during last 3 yrs in securities market, the said account will be terminated.
- If the Client has not carried out any transaction in Demat Account during last 3 yrs, the said account will be terminated by giving 30 days prior notice to the client.



(16/38)

Signature of the Applicant

Tariff Sheet

Further, I agree to the following terms of doing business

BROKERAGE DETAILS						
Segment	Sq. off (%)		Sq. off Min (%)		Delivery (%)	Delivery Min (Rs.)
	Buy	Sell	Buy	Sell		
BSE Cash						
BSE F&O						
NSE Cash						
NSE F&O						
NSE Currency						
Minimum Brokerage	Rs 25/- per Contract Note					


Option Rate Rupees _____ Per Lot / Per Contract.

The above given brokerage will be inclusive / exclusive of the following charges.

TARIFF CHARGES			
Transaction Charges	As applicable	POA Charges	As Applicable
Sq. up Stamp Duty	As applicable	NOW/IBT Usage Charges	Rs. 150/- Per Month plus GST
Del. Stamp Duty	As Applicable	Any Other levies	As applicable
SEBI Fees	As Applicable	Delayed Payment Charges	3% per month
Securities Transaction Tax (STT)	As Applicable	Auction Charges	As Applicable
GST	As Applicable	KRA Registration Charges	Rs. 35/- plus GST
Clearing Member (CM) Charges	Max. upto Rs. 200/- per crore for Derivatives Segment (F&O & CD respectively) Segment	Bank Charges towards the cheques received unpaid	As Applicable

Note :

1. Inter-Settlement/ Beneficiary to Pool Charges/ DP transaction charges arising out of purchase/ sell transactions effected by Constituent will be debited to Constituent Account.
2. The above charges are subject to change as per Government Authorities/ SEBI/Exchange/ Clearing Member/ Stock Broker


(17/38)

Signature of the Applicant

INSTRUCTIONS FOR THE APPLICANTS FOR ACCOUNT OPENING

Applicant shall fill up the KYC Application form as specified by the KYC Registration Agency for individuals or for Non-Individuals as the case may be and additional KYC Form for opening a Demat Account for Individuals (Annexure 2.1) or for Non-Individuals (Annexure 2.2) and submit the same to the DP. The applicant should submit any one of the documents as valid Proof of Identity and Proof of address as specified by SEBI from time to time. If the investor is already KRA compliant, the investor should disclose such details of KRA with whom he / she is registered. Such investor need not submit KYC documents and KYC application form again. A Power of Attorney holder cannot open a demat account on behalf of the BO. DP must collect separate KYC application forms from sole / first holder, second holder and third holder in case of Joint Accounts. In case, if sole holder is a minor, KYC application form should be collected from the guardian also. Separate KYC application form to be collected from the HUF entity, Karta, Trust and Trustees in case of unregistered Trust and Partnership Firms. In order to open an account, the investor needs to fill up KYC Application form (if not KRA compliant) and Additional KYC form for opening a demat account. As per the format provided by CDSL (Annexures 2.1 or 2.2). The investor shall complete the standard form in all respects and submit the same to the DP along with the relevant documents as prescribed by SEBI vide circular no. MIRSD/SE/CIR-21/2011 dated October 5, 2011 & circular no. MIRSD/CIR-26/2011 dated December 23, 2011. However, the DPs can obtain a single form from the CM for opening the multiple accounts of same exchange, e.g. CM Principal and CM USA accounts for BSE and CM Clearing Member for exchanges other than BSE. Instructions to the applicants / BOs for account opening as given in Annexure 2.3 may also be printed on the account opening forms or given to the BOs as a separate sheet along with the accounting form. Those section of the application form, which are not relevant to any particular type of BO, shall be marked "Not Applicable".

BO must provide photocopies of documents submitted on regular paper and not on thermal facsimile paper.

Obtaining PAN Card details of all holders is compulsory for all categories of demat account holder (s) & updation of the same in CDSL system. In some cases, the PAN is not required to be entered. Such cases are to be handled by entering appropriate exemption code. The exemption codes provided are as follows:

Exemption Code	D	G	P	S	U	H
Exemption Description for the account holder	Custodian	Governor	President of India	Sikkim Resident	UN entities / Multilateral Agencies	Holder Deceased

CHECK-LIST (All the documents must be self attested by applicant)

(A) Correspondence Address

- This is applicable to all types of investors. • If correspondence address of the BO is not the same as permanent address, then the DP shall obtain proof of correspondence address and enter the same in the system, in case the BO is not registered with KRA.
- If the BO is registered with KRA and wants to use the same correspondence address mentioned in the KRA system, the BO will inform the DP accordingly. • If the BO is registered with KRA and does not want to use the correspondence address mentioned in the KRA system, the BO will inform the DP and submit SEBI specified proof of address document for the address to be entered on CDSL system.
- As per SEBI Circular No. CIR/MRD/DP/37/2010 dated December 14, 2010, address of a third party as a correspondence address, may be captured in a BO account provided that the Depository Participant (DP) ensures that all prescribed 'Know Your Client' norms are fulfilled for the third party also. The DP shall obtain proof of identity and proof of address for the third party. The DP shall also ensure that customer due diligence norms as specified in Rule 9 of Prevention of Money Laundering Rules, 2005 are complied with in respect of the third party.
- Where third party address is accepted as correspondence address, the DP shall ensure that proof of permanent address for the BO has been obtained and the same has been entered in the system. DPs should ensure that the statement of transactions and holdings are sent to the BO's permanent address atleast once in a year. • In case of PMS accounts, portfolio manager's address cannot be captured as correspondence address.

(B) Minor Details

The minor shall be the first and sole holder in the account i.e. there shall not be any joint accounts where a minor is a First / Second / Third joint holder. PAN card details of minor have to be entered in CDSL system.

In case of death of Guardian of existing Minor account holder:

In the case of death of the guardian of an existing minor account holder, the following procedure shall be followed:

- i. Original Death Certificate of the deceased Guardian or a copy of the same, duly notarized or attested by a Gazetted Officer.
- ii. The minor's account shall be frozen under the appropriate reason code till the new guardian has completed all formalities.
- iii. Original or copy of the Court Order (duly notarized or attested by a Gazetted Officer), if the new guardian has been appointed by the Court.
- iv. The new guardian shall submit a new account opening form duly complete in all respects along with KYC application form or details of KRA registered with.
- v. DP has to provide a copy of Rights and Obligations document to the new guardian and keep an acknowledgement of the same on record.
- vi. The new guardian shall submit a fresh Nomination Form for the minor's account.
- vii. After verification of the AOF and documentation, details of the Guardian of the Minor account holder shall be suitably modified in the CDSL system.
- viii. The signature of the deceased guardian shall be deleted and the signature of the new guardian shall be recorded in the CDSL system.
- ix. POA documents/details, if any, recorded with the signature of the deceased guardian shall be deleted.

After the minor has attained majority, DP must collect new KYC application form after the minor has attained majority. The following procedure is to be adopted: • The account holder shall submit KYC application form or details of KRA registered with. • The account holder shall submit a new account opening form duly complete in all respects. The DP shall provide a copy of the Rights and Obligations document to the account holder and shall keep an acknowledgement of the same on record. • The guardian's details shall be deleted and guardian's signature shall be replaced by account holder's signature.

The above procedure can be followed only if the word 'minor' is not present in the "Account Holder's name" when the account was opened. If "minor" word is present, then the existing account has to be closed and a new account shall be opened.

(C) HUF

The documents to be obtained are:

- a) The PAN details of the HUF entity would have to be entered in the CDSL system.
- b) Declaration by Karta giving details of the family members of the HUF with their names, sex (male/ female), date of birth and relationship with the Karta.
- c) DPs shall note the following while opening a HUF account:
 - HUF accounts cannot be opened with joint holder(s).
 - HUF accounts cannot appoint a nominee.
 - In the account opening form, the Karta shall sign under the HUF stamp.
 - Account can be opened in the name of - Existing Karta / HUF entity
 - The name shall be as it appears in the PAN card, e.g. A H Doshi & Sons, Bal Govind Zangle (HUF).
 - In case POA is to be given by the karta to some other entity to operate the HUF Account, the POA shall be signed by all the members of the HUF account in addition to the karta.

Procedure to be adopted in the event of death of Karta is as follows:

- HUF, being a Hindu Undivided Family, the property of the family is managed by the Karta. • HUF does not come to an end in the event of death of the Karta. In such a case, the members of the HUF will appoint the new Karta. • The new karta shall submit the new list of members and a no objection from the surviving members of the HUF for him to act as Karta of the HUF. • The new Karta will submit to the DP the account modification form and record change in signature of the new Karta to operate the account. • The previous account need not be closed and the same account can continue.

Procedure to be followed in case of partition of HUF:

In case of partial partition of the HUF, if one or two members of the HUF have left, the others can still continue the HUF in the existing name. In case of full partition, the entire HUF is dissolved. In both the above cases, the Karta can transfer shares to the members who seek partition. If the issue of transfer cannot be amicably settled, the family members can go to court and transfer of shares can then be based on the Court directions.

Procedure to be followed in case of POA being given for the HUF

The Power of Attorney (POA) document shall be signed by the Karta of the HUF and all the co-parceners.

(D) NRI

- a) In case of foreign address, if address with P.O. Box No. has been submitted as Permanent and/or Correspondence address. Additionally the DPs shall obtain the complete residential address of the NRI BO, under declaration at the time of opening of the account. Such BO shall give an undertaking that whenever there is a change in the residential address, the BO shall inform the DP.
- b) A declaration duly signed by the NRI that he/she has complied with and will continue to comply with, FEMA regulations and other applicable laws. Change of status from NRI to Resident and vice versa:

It is the responsibility of the individual to inform the change of status to the DP with whom he/she has opened the demat account. Subsequently, a new demat account in the new status will have to be opened, securities shall be transferred from the old demat account to the new demat account and then the old demat account shall be closed.

(E) Foreign Nationals

- a) Documents – same as NRI. • b) If the foreign address with P.O. Box No. is given as Permanent and/or Correspondence address, additionally, the DPs should obtain the complete residential address of the Foreign National BO, under declaration at the time of opening of the account. Such BO shall give an undertaking that whenever there is a change in the residential address, the BO shall inform the DP.

ITI SECURITIES BROKING LIMITED

ITI House, 36 Dr. R. K. Shirodkar Marg, Behind Bata Showroom, Opp HDFC
house, Parel, Mumbai 400012
Tel.: (91-22) 4027 3600 • Email: dp@itiorg.com • Website: www.itisb.co.in

Schedule of charges for Beneficiary account

KYC Charges	Franking of POA Charges Rs. 100/- and KRA Charges Rs. 35/-	Dematerialisation	Rs. 10/- per certificate plus actual courier charges
Account Maintenance Charges	INDIVIDUAL - Rs. 300/- Per Annum NON-INDIVIDUAL- Rs. 1000/- Per Annum	Demat Rejection	Rs. 20/- per DRF plus actual courier charges
Transaction Charges		Rematerialisation	Rs. 20/- for every 100 Securities OR Rs. 20/- per certificate, whichever is higher Plus Actual Courier Charges
Market Trades Minimum	Rs. 25/- per Transaction	Pledge Creation & Confirmation	Rs. 15/- per each Transaction
Maximum	Rs. 50/- above 1 Lac Valuation	Pledge Closer & Confirmation	Rs. 15/- per each Transaction
Off Market-Minimum	Rs. 50/-per Transaction with in ITI and Rs. 100/- per transaction outside ITI	Pledge Invocation	Rs. 50/- per each Transaction
Maximum	Rs. 100/- per Transaction above 10 lac Value		

Notes:

- Charges/Service standards are subject to revision at sole discretion of ITI SECURITIES BROKING LIMITED from time to time with a notice of 30 days in advance. This notice may be given by ordinary post, email or by an advertisement in a newspaper.
- At the time of Opening Demat Account, Annual Maintenance Charges will be levied upfront on monthly pro-rata basis for the first financial year. There after AMC for the next financial year shall be levied upfront in the month of April in each financial year.
- For regular account, Adhoc/Non-periodic statement request Rs. 25/- per request up to 10 pages. Every additional 5 pages or a portion thereof will be charges at Rs. 5/- plus courier charges
- Any modification in BO account/ communication to BO, a minimum charges of Rs. 15/- or actual courier /postal charges whichever is higher will be collected
- All charges will be collected upfront. BO are requested to maintain sufficient credit balance in demat account in order to avoid non execution of DIS/ any other instructions
- Actual courier/postal charges will be collected for any communication sent to Non Resident Indian (NRI) BO.
- Any service not covered above will be charged separately.
- Depository transaction charges will be payable monthly and will be debited in your trading account.
- Holding statement, Transaction statement and bills and other documents/communications will be sent through internet and registered e-mail id
- The above charges are exclusive of Service Tax and any other charges as levied by Regulatory Authority on time to time.




You may also opt for Annual Tariff plan to take benefit of our further subsidised rates;

Annual Prepaid Plans	Amount	Transactions
A	7500	800
B	4000	300
C	2500	175
D	1000	55
E	500	25

* This would include only market trades. This is Annual Plan and will work as per Annual Cycle

Please confirm which plan you would like to choose.

You may contact your respective RM and / or our Head Office for opting any of the above mentioned Annual Prepaid Plans.

	First Holder	Second Joint Holder	Third Joint Holder
Specimen Signature	 (18/38)	 (3a/13a)	 (1b/11b)

ITI SECURITIES BROKING LIMITED

ITI House, 36 Dr. R. K. Shirodkar Marg, Behind Bata Showroom, Opp HDFC house, Parel, Mumbai 400012
 Tel.: (91-22) 4027 3600 • Fax: (91-22) 4027 3700
DP ID No. 120 44500 • DP SEBI REG. NO. : IN - DP - 70 - 2015

(To be filled by the Depository Participant)

Application No.											Date									
DP Internal Reference No.																				
DP ID	1	2	0	4	4	5	0	0	Client ID	0	0									

(To be filled by the applicant in **BLOCK LETTERS** in English)
 I / We request you to open a demat account in my / our name as per the following details: -

Type of Account	(Please tick whichever is applicable)		
Status	Sub – Status		
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor	<input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Others (specify)	<input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Margin Trading A/C (MANTRA)
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter	<input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI – Depository Receipts	<input type="checkbox"/> NRI-Repatriable Promoter <input type="checkbox"/> Others (specify)
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign - National	<input type="checkbox"/> Foreign National - Depository Receipts	<input type="checkbox"/> Others (specify)

Holders Details (for each holder please fill separate CKYC/KRA-KYC form OR attach acknowledgement copy of CKYC ref. No./KRA-KYC form)

Sole / First Holder's Name		PAN																		
		UID																		
Second Holder's Name		PAN																		
		UID																		
Third Holder's Name		PAN																		
		UID																		

Name*																			
* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.																			

Details of Guardian (in case the account holder is minor) (please fill separate KRA-KYC form OR attach acknowledgement copy of KRA-KYC form)

Guardian's Name		PAN																		
Guardian's Address																				
Relationship with the applicant																				

I/We instruct the DP to receive each and every credit in my account [Automatic Credit] (If not marked, the default option would be 'Yes')	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to instruct the DP to accept all the pledge instructions in my account without any other further instruction from my end (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)	

I/We wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No
--	--

I/We wish to avail the following facility for the new account for which we have submitted my/our account opening form. BSDA <input type="checkbox"/> Yes <input type="checkbox"/> No RCESS <input type="checkbox"/> Yes <input type="checkbox"/> No (For avail BSDA & RCESS facility, kindly download the form from our website)
--

Bank Details (Dividend Bank Details)

MICR code starting with 000 will not be eligible for ECS.

Bank Code (9 digit MICR code)										
IFSC Code (11 character)										
Account number										
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Cash Credit <input type="checkbox"/> Others (specify)									
Bank Name										
Branch Name										
Bank Branch Address										
City		State		Country		PIN				

- (i) Photocopy of the cheque/cancelled cheque having the name of the account holder where the cheque book is issued, (or)
(ii) Photocopy of the Bank Statement having name and address of the BO
(iii) Photocopy of the Passbook having name and address of the BO, (or)
(iv) Letter from the Bank.
• In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

OTHER DETAILS

- Gross Annual Income Details (please specify):** Income Range per annum:
 Below Rs 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac > 25 Lacs
- Net-worth as on** (date) _____ (Net worth should not be older than 1 year)
- Occupation (For Individuals only)** Private / Public Sector Govt. Service Business Professional Agriculturist Retired
 Housewife Student Others (Specify) _____
- Please tick, if applicable Politically Exposed Person (PEP) Related to Politically Exposed Person (RPEP)
- Educational Qualification:** _____
- Any other information:** _____

SMS Alert FacilityRefer to Terms & Conditions given as **Annexure-2.4**
 Yes MOBILE NO. +91 _____
[(Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).

Transactions Using Secured Texting Facility (TRUST).
Refer to Terms and Conditions Annexure – 2.6

I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same.

 Yes
 No




I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST

Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)

Easi
To register for easi, please visit our website www.cdslindia.com. Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.

 Yes
 No

I have received and read the document of 'Rights and Obligation of BO-DP' including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I declare that the particulars given by me above are true and to the best of my knowledge as on the date of making this application. I further agree that any false / misleading information given by me or suppression of any material information will render my account liable for termination and suitable action.

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature	 (1938)	 (4a/13a)	 (2b/11b)

ITI SECURITIES BROKING LIMITED




ITI House, 36 Dr. R. K. Shirodkar Marg, Behind Bata Showroom,
Opp HDFC house, Parel, Mumbai 400012
Tel.: (91-22) 4027 3600 • Fax: (91-22) 4027 3700

DP ID No. 120 44500 • DP SEBI REG. NO. : IN - DP - 70 - 2015

Nomination Form

[Annexure A to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 and any update thereof on Mandatory Nomination for Eligible Trading and Demat Accounts]

ITI SECURITIES BROKING LIMITED Plot No. AM 18 Krishna Vrundavan Pratisthan 1st Floor, Anand Nagar MIDC ,In front of Panvelkar Green City Highway Side, Ambarnath East Thane-421506		FORM FOR NOMINATION <i>(To be filled in by individual applying singly or jointly)</i>																	
		UCC CODE																	
DATE		DP ID	1	2	0	4	4	5	0	0	CLIENT ID								
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 1st Nominee						Details of 2nd Nominee						Details of 3rd Nominee				
1	Name of the nominee(s) (Mr./Ms.)																		
2	Share of each Nominee Equally	Equally [If not equally, please specify percentage]	%						%						%				
			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(s) #			
12	Email ID of guardian(s) #			
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			
Name(s) of holder(s)				Signature(s) of holder*
Sole / First Holder (Mr./Ms.)				 (20/38)
Second Holder (Mr./Ms.)				 (5a/13a)
Third Holder (Mr./Ms.)				 (3b/11b)

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

Optional Fields (Information required at Serial nos. 5, 6, 7, 11, 12 & 14 is not mandatory)

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)

Name and Signature of Holder(s)*		
1. _____	2. _____	3. _____

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

(To be filled by DP)

Nomination Form accepted and registered wide Registration No. _____ dated _____

For ITI Securities Broking Limited

Director / Authorised Signatory

RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT AS PRESCRIBED BY SEBI AND DEPOSITORIES

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.



(21/38)

First / Sole Holder



(6a/13a)

Second Joint Holder



(4b/11b)

Third Joint Holder

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996, 1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI
30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.


(22/38)

First / Sole Holder


(7a/13a)

Second Joint Holder


(5b/11b)

Third Joint Holder

Annexure 2.4

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL [SMS Alerts will be sent by CDSL to BOs for all debits]

Definitions:

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees:

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction:

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I/ We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of registration / modification (Please cancel out what is not applicable).

BOID	1	2	0	4	4	5	0	0		0	0						
	(Please write your 8 digit DPID)								(Please write your 8 digit Client ID) Sole / First								

Holder's Name : _____


Second Holder's Name : _____

Third Holder's Name : _____


Mobile Number on which messages are to be sent	+91																
	(Please write only the mobile number without prefixing country code or zero)																

The mobile number is registered in the name of: _____


Email Id: _____
(Please write only ONE valid email ID on which communication; if any, is to be sent)

 (23/38)

First / Sole Holder
Signature

 (8a/13a)

Second Joint Holder

 (6b/11b)

Third Joint Holder

Place : _____

Date : _____

Annexure 2.6

Terms and Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL

1. Definitions:

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

- i. "Depository" means Central Depository Services (India) Limited (CDSL)
 - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
 - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
 - iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
 - v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository
 3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the Bos. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
 4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
 5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
 6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
 7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
 8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
 9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP.
 10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
 11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
 12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
 13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
 14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
 15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
 16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
17. Indemnity:
In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
18. Disclaimer:
Depository shall be absolved of any liability in case:-
- a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
 - b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
 - c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.


(24/38)

First / Sole Holder


(9a/13a)

Second Joint Holder


(7b/11b)

Third Joint Holder

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KEPT BLANK**

POWER OF ATTORNEY (OPTIONAL)

VOLUNTARY

TO ALL TO WHOM THESE PRESENTS SHALL COME I/WE MR./MRS./M/S.

(First Holder) _____, ^(25/38) Sole First Holder

(Jointly With Second Holder) _____, ^(10a/13a) Second Joint Holder

(Third Holder) _____, ^(8b/11b) Third Joint Holder

having his/her/its residence/registered office/place of business at _____

SEND GREETINGS:.

Whereas I/ we hold Beneficial Owner Account Number 12044500 – _____ with Central Depository Services (India) Limited (CDSL), through ITI Securities Broking Ltd. registered with Securities and Exchange Board of India (SEBI) having its Registered office address at ITI House, 36, Dr. R. K. Shirodkar Marg, Behind Bata Showroom, Opp HDFC House, Parel, Mumbai 400012 (hereinafter referred to as the "Stock Broker").

And Whereas I/ we am/ are desirous to buy and sell securities through the Stock Broker, who is a stock broker registered with SEBI bearing Registration No **INZ00005835** and member of National Stock Exchange of India Ltd Code:06538, BSE Ltd Clg. No. 176

I/We, the Joint Account Holders do hereby authorize/nominate/appoint the Stock Broker for the purpose hereof acting through any of its officers or employees or any sub-agents or delegates, to be my/our true and lawful agent and attorney for me/us and on my/our behalf (the "Attorney") and in my /our name from time to time to do and exercise or cause to be done and exercised all or any of the following acts, powers and authorities:

To operate and debit the above Account(s) in my/our name for facilitating transactions in Securities through the Stock Broker to meet all margin / delivery obligations due from me/us to the Stock Broker and to do the following for the above purpose:

1. To transfer securities held in my/our aforementioned beneficial owner account or any other account informed by me/us in writing to the Stock Broker from time to time to the Demat Account Nos. as mentioned hereunder of the Stock Broker maintained for the purpose of settlement of pay-in arising out of trades executed by me/us on National Stock Exchange of India Ltd, BSE Ltd through the Stock Broker.
2. To issue transfer instructions, execute Pledge Instructions, Pledge Creation, Pledge Invocation and Pledge Closure instruction to the DP division of the Stock Broker for the limited purpose of meeting the margin /settlement requirements of the my/our in connection with the trades executed/ to be executed by my/our on the stock exchange through the Stock Broker.
3. To re-pledge such securities to the clearing member/clearing corporation as the case may be.
4. The said power will be restricted to only transfer of securities to the Clearing Member ID allotted to the Stock Broker by any existing or future exchange that the Stock Broker has joined/ will join as a member or to any Demat Accounts linked to the said Clearing Member ID provided that I/we have executed a Client Member Agreement with the Stock Broker for such exchanges.
5. To sign, deliver, endorse and /or acknowledge all instruction, forms, transfer deeds and instruments drafts, slip, receipt and other instruments and writing which are required or considered necessary or advisable for performing all or any of the powers or authorities hereby conferred by me/us on the said attorney to meet exchange related margin/delivery/settlement obligations.
6. The Stock Broker may request the DP to mark a hold on the required securities balances so that the actual transfer of securities towards margins/settlement obligations, could take place in a seamless manner. The Stock Broker shall return to me / us the Securities or funds that may have been received by it erroneously or those securities or funds that it was not entitled to receive from me/us.
7. To apply for various products like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, Buyback/tendering shares in open offers etc pursuant to oral/written/electronic instructions given by me/us to the Stock Broker.
8. The Attorney and/or the DP is authorized to send to me / us consolidated summary of scrip wise buy and sell positions taken by me/us with average rates by way of SMS/ Email or any other mode on a daily basis.

I/We hereby covenant , ratify and confirm that all acts done and documents executed or signed by the attorney pursuant to this power of attorney has been made done and executed in good faith an shall for all purpose be valid and binding on me/us and I/ we undertake to indemnify the Attorney against all actions proceedings claims, costs, expenses and liabilities of every description arising from the exercise or the purported exercise in good faith ,of any powers conferred by this Power of Attorney.

The Attorney may appoint and remove at its discretion any authorized signatories for or under the Attorney in respect of all or any of the matters contained herein upon such terms and conditions as the Attorney may think fit.

I/We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked (without notice) in witting by me/us and that the said revocation shall be effective from the date on which the revocation notice is received by any person authorised in this regard by the Stock Broker in its office at ITI House, 36, Dr. R. K. Shirodkar Marg, Behind Bata Showroom, Opp HDFC House, Parel, Mumbai 400012. However, such revocation shall not be applicable for any outstanding settlement obligation of funds/ securities arising out of the trades carried prior to receiving request for revocation of this Power of Attorney.

List of the Stock Broker Designated Demat Account:
(An updated shall also be available on our website from time to time)

Sr. NO.	Name of the Account Holder	Demat A/c. Number	CM BP ID	CM ID	DP NAME	Purpose
1	ITI Securities Broking Limited	120445000607543			ITI Securities Broking Limited	CORPORATE CM/TM CLIENT MARGIN PLEDGE ACCOUNT
2	ITI Securities Broking Limited	120445000610516			ITI Securities Broking Limited	CORPORATE CM/TM CLIENT MARGIN PLEDGE ACCOUNT
3	ITI Securities Broking Limited	120445000607771			ITI Securities Broking Limited	CLIENT SECURITIES MARGIN FUNDING ACCOUNT
4	ITI Securities Broking Limited	IN 30012611179617	IN 559265	M50236	HDFC BANK LTD	NSE NSDL POOL A/C
5	ITI Securities Broking Limited	IN 30048410683275	IN 601767	176	AXIS BANK LTD	BSE NSDL POOL A/C
6	ITI Securities Broking Limited	120445000000221		176	ITI Securities Broking Limited	BSE CDSL-POOL A/C
7	ITI Securities Broking Limited	1100001000015527		176	BOISL	BSE CDSL-EARLY PAYIN A/C
8	ITI Securities Broking Limited	120445000000240		176	ITI Securities Broking Limited	BSE CDSL –PRINCIPAL
9	ITI Securities Broking Limited	120445000000255		176	ITI Securities Broking Limited	NSE CDSL-POOL A/C
10	ITI Securities Broking Limited	1100001100016206		6538	NSCCL	NSE CDSL-EARLY PAYIN A/C

Dated this _____ day of _____, 20_____

SIGNED AND DELIVERED BY the within named Beneficial Owner

	First Holder	Second Joint Holder	Third Joint Holder
Name			
Specimen Signature	(26/38)	(11a/13a)	(9b/11b)

In the presence of	Witness 1	Witness 2
Name & Address		
Signature		

We Accept
For ITI Securities Broking Limited

Director / Authorised Signatory

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date: _____

DP ID	1	2	0	4	4	5	0	0	Client ID	0	0						
Sole/First Holder																	
Second Holder																	
Third Holder																	




To,
ITI SECURITIES BROKING LIMITED
 ITI House, 36, Dr. R. K. Shirodkar Marg,
 Behind Bata Showroom, Opp HDFC House,
 Parel, Mumbai 400012

Dear Sir / Madam,
 I / We hereby state that: [Select one of the options given below]

OPTION 1:

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening of my / our CDSL account though I / we have issued a Power of Attorney (POA) / registered for eDIS / executed PMS agreement in favour of / with _____ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney holder - Clearing Member / by PMS manager/ for executing delivery instructions through eDIS.




Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature	 (27/38)	 (12a/13a)	 (10b/11b)

OPTION 2: **OR**

I / We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I / We have issued a POA/registered for eDIS / executed PMS agreement in favour of / with _____ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney Holder - Clearing Member / by PMS manager or for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature	 (27/38)	 (12a/13a)	 (10b/11b)

===== (Please Tear here) =====

ACKNOWLEDGEMENT RECEIPT

Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from:

DP ID	1	2	0	4	4	5	0	0	Client ID	0	0						
Name of the Sole / First Holder																	
Name of Second Joint Holder																	
Name of Third Joint Holder																	

For ITI SECURITIES BROKING LIMITED

(Authorised Signatory)

HUF DECLARATION

FORMAT

Date:

To,

ITI SECURITIES BROKING LIMITED

ITI House, 36 Dr. R. K. Shirodkar Marg,
Behind Bata Showroom, Opp HDFC House,
Parel, Mumbai 400012.

Dear Sir,

I hereby request you to open our trading account with you, for our HUF.

Being Karta of my family, I, _____ hereby declare that following is the list of family members in our HUF, as on date of Application, i.e. _____.

Name & signature of Adult co-parceners

SR. NO.	NAME OF FAMILY MEMBERS	SEX	RELATIONS	DATE OF BIRTH	SIGNATURE

Name & dates of birth of minor co-parceners

SR. NO.	NAME OF FAMILY MEMBERS	SEX	RELATIONS	DATE OF BIRTH

I hereby also declare that the particulars given by me as stated above are true to the best of my knowledge as on date for making this Application to open new Demat Account.

I agree that any false/misleading information given by me or suppression of any material information will render my said account liable for termination and further action. Further , I agree that I will immediately intimate any death/s or birth/s in the family as it changes the constitution of the HUF.

Thanking you,

Yours truly,

☞

Karta (Affix stamp of HUF)

VOLUNTARY CLAUSES

The client and the Stock Broker, in addition (the agreement between Stock Broker and Client) to ensure smooth functioning of the operations, also agree to the terms and conditions stated herein below:

1. The Client has agreed to sign, execute and be bound by all forms, agreements, documents as may be considered necessary for opening the account with the Stock broker.
2. The client has the required legal capacity to, and is authorized to, enter into this agreement and is capable of performing his obligations and undertakings hereunder.
3. Excess Contracts: The client agrees that he shall not acting alone or in concert with others, directly or indirectly, hold and control excess number of permitted futures/options contracts and shares as fixed from time to time by the said Exchanges.
4. Long or short position : the client agrees that he shall not exercise a long or short position where, acting alone or in concert with others, directly or indirectly that it shall have exercised in excess of the number of permitted futures/options contracts and shares as fixed from time to time by the said Exchanges.
5. Lien: The client agrees that all monies, securities or other property that may be held by the stock broker on the client's account shall be held subject to a general lien for the discharge of the client's obligation to the stock broker under this agreement.
6. The client authorizes the stock broker to use his discretion to buy, sell or close out any part or all the contracts held in the clients account with the stock broker for the protection of the stock broker, in case of any default by the client. The client agrees to reimburse any or all such incidental expenses incurred by the stock broker.
7. **Provisions in case of Default (for F&O segment / Currency Derivatives segment only) :**
In the event of failure of the Client to fulfill his obligations to the Stock Broker pertaining to F&O Segment, Currency Derivatives Segment or the Clearing House/Clearing Corporation(s), the Client's position may be closed out and the money, if any, of the Client available with the Stock Broker pertaining to Derivatives Segment, Currency Derivatives Segment or the Clearing House/Clearing Corporation(s) may be adjusted against the Client's liabilities / obligations.
8. The client hereby agrees and understands that in case of any non-compliance and / or default by the client such as cheque bouncing, F&O/ Currency Derivatives short margin, price rigging or for any other matters as may be decided by stock broker from time to time, without prejudice to the stock broker's other rights, the stock broker may levy charges / penalty(ies) on the client and debit such charges / penalty in the client's account.
9. **Force Majeure:** The stock broker and / or its agents will not be liable for losses / costs damages caused directly or indirectly from:
 - a) any action, omission, suspension of trading, decision on ruling of any Exchange or Regulatory, Governmental or other body or of any other person which is beyond the Stock Broker's control; or
 - b) by acts of God including earthquakes, flood, accident; or
 - c) any commotion, insurrection, embargo, industrial dispute computer, communication, telephone or system failure, war, power failure, equipment or software malfunction, strikes, etc. or
 - d) any other conditions, beyond the control of the Stock Broker.The above Force Majeure events do not exempt the Client to fulfill the obligations in his account with the Stock Broker.
10. The stock broker and client agree that the stock broker will not be responsible for partial execution of orders placed by the client. The client also agrees that all orders placed by him 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 he shall communicate the same to the stock broker.
11. The stock broker shall not take any responsibility for unexecuted orders. All on line Best-Market Orders would not be presumed as executed unless confirmed as trade by the respective exchanges trading system.
12. The client agrees that any notice or communication served on the client under this agreement shall be valid and binding on him and shall be deemed to be duly served, if conveyed in writing through letter, fax or telegram or by personal delivery duly acknowledged by the other party / courier at the registered post to the address of the client mentioned hereinabove or the last know address, or if electronically delivered at any one of the email id intimated by the client or created by the stock broker at the request of the client, or by publishing the same in the prominent daily newspaper where the registered / last known business / residential address of the Client is situated or if conveyed over telephone / fax on the last known number or on the recording machine of such number or if a notice is passed at the door of the registered address or the last known address of the client.

13. The Client agrees that any notice or communication or correspondence served on the Client under this shall be valid and binding on him and shall be deemed to be duly served, if conveyed in writing through letter, fax or telegram or by personal delivery or any other mode duly acknowledged by the other party/ courier at the registered post to the address of the Client mentioned in KYC form or the last known address, or if electronically delivered at email ID mentioned in KYC form or the last known email id or if conveyed over telephone/ fax on the number mentioned in KYC form or last known number. The Client hereby agree to inform to the Stock broker in case there has been any change in correspondence, residential address, email id, mobile number and /or any other information from time to time. Otherwise, last information available with the Stock broker shall deemed to be correct and updated communication details of the Client.
14. The stock broker may from time to time impose and vary limits on the orders which the client can place through ITISBL's Trading System (including exposure limits, turnover limits, limits as to the number and / or value and / or kind of securities in respect of which orders can be placed. The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker, and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker Internet Trading System on account of any such variation, reduction or imposition of limits. The client understands and agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker.
15. All payment for securities bought shall be made out by way of cheque / demand draft / fund transfer in favour of 'ITI Securities Broking Limited.' At the time of settlement of dues of the client, the stock broker shall draw an account payee cheque / fund transfer in favour of the client which may be payable to a specified bank account of the client.
16. For the purpose of this agreement, the term 'Dues of Client' shall include the amount of monies payable by the Client including, but not limited to the purchase price of the Securities, Brokerage, Margin money, Service Tax, Turnover Tax, Auction Debit and Charges, Service Charge, Securities Transaction Tax and other amounts agreed to and payable by the Client to the Stock Broker.
17. The client agrees to keep the member updated on his financial status and provide such details as regards financial position, assets, liabilities etc., including network details, etc., once in a year and also as and when required by the stock broker. The client hereby permits the Stock Broker to provide such information any time to any statutory/ regulatory / regulatory authorities as may be required.
18. The client hereby agrees to ensure that before selling any shares, he has the same in hand. Any loss arising of auction / closeout on account of shares not cleared in stock broker's account will be borne by the client. The client also agrees to bear any loss arising out of auctions due to incomplete instructions, illegible instructions, unclear instructions and instructions not received on time.
19. The client hereby authorizes the stock broker to transfer shares, lying in the Stock Broker's pool account for payin purposes for shares purchased by the client in previous settlements. In case the client does not want the stock broker to transfer these shares towards inter settlement from the stock broker's pool account for pay in purposes, he shall inform the stock broker in writing 24 hours before pay in date. In case the stock broker does not receive the same in writing or for a wrong settlement, the stock broker shall not be responsible for loss, if any.
20. **Tape recording of Client conversation:** The Client is aware that the stock broker may tape record the conversation between the Client or the client's representative and the stock broker, either personally or over the telephone, and the client hereby specifically permits the stock broker to do so. Such electronic recordings may be relied upon by the stock broker as and when required to resolve disputes in connection with the trading transactions.
21. For all internal positions between two or more clients of the stock broker, the client accepts the internal policy and guidelines as framed by the management of the company from time to time.
22. The stock broker shall maintain all the details of the clients as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the client confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
22. Severance: In case any one or more of the provisions contained in the agreement 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 thereto.

(28/38)

Signature of the Applicant

Name of the Applicant

RUNNING ACCOUNT AUTHORIZATION

VOLUNTARY

Date:

To,
ITI SECURITIES BROKING LIMITED
ITI House, 36, Dr. R. K. Shirodkar Marg,
Behind Bata Showroom, Opp HDFC House,
Parel, Mumbai - 400012.

Dear Sir/ Madam,

I/ We have been dealing through you as a client, hereby authorize you to effect release of funds due to me/us in our account arising out of the transaction execute by me/us and have been settling the same through you on a running account basis instead of on a settlement-to-settlement basis.

No amount by way of interest or otherwise shall be payable by you to me/us in respect of the funds so held by you on a running account basis. The funds held by you on running basis and due to me, shall be released to me as and when I request for the release of the same.

However, my/our preference for compulsory periodic settlement of funds is as follows:

<input type="checkbox"/> Monthly
<input type="checkbox"/> Quarterly

(if no check box is selected, settlement will be done on Quarterly basis)

I/We request you to maintain running balance in my/our account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) in any segment(s) of any or all the Exchange(s)/Clearing corporations and to meet margin obligations calculated in the manner specified by the Exchanges. This is to facilitate ease of operations and upfront requirement of margin for trade.

I/We agree to settle and/or request you to settle of my fund account as stated above, except collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.

In case, I/We have an outstanding obligation on the settlement date, apart from margin liability you may retain additional margins (maximum up to 125% or as permissible as per regulatory norms of margin requirement on the day of settlement) to take care of any margin obligation in all the segments across exchanges.

I/We further agree and confirm that the powers and authorities conferred by this authority shall be in force / continuous and the same can be revoked by me/us anytime by giving adequate intimation in writing to ITI Securities Broking Limited.

The authorization shall be signed by me/us only and not by any Power of Attorney Holder or by any authorized person.

Yours faithfully,

(29/38)

Signature of the Applicant

Name of the Applicant

UCC No.

REQUEST TO RETAIN SECURITIES

Date:

To,
ITI SECURITIES BROKING LIMITED
ITI House, 36, Dr. R. K. Shirodkar Marg,
Behind Bata Showroom, Opp HDFC House,
Parel, Mumbai - 400012.

Dear Sir/ Madam,

I/We dealing through you as a client hereby authorize M/s. ITI Securities Broking Limited (ITISBL) to retain excess securities given as collateral towards margin for any exchange/segment and use the same to meet my/our margin or pay-in obligations that may arise from time to time. However, such excess securities available in client collateral/ collateral account may be released to my/our demat account as per periodic preference selected by me/ us after making necessary retention as may be permitted by regulators.

However, my/our preference for periodic settlement of securities is as follows:

<input type="checkbox"/> Monthly
<input type="checkbox"/> Quarterly

(if no check box is selected, settlement will be done Quarterly basis)

Yours faithfully,

(30/38)

Signature of the Applicant

Name of the Applicant

UCC No.

Authority Letter

VOLUNTARY

Date: _____

To,
ITI SECURITIES BROKING LIMITED
ITI House, 36, Dr. R. K. Shirodkar Marg, Behind Bata Showroom, Opp HDFC House,
Parel, Mumbai - 400012.


Dear Sir / Madam,

1. I hereby authorise you not to provide me Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I shall get the required details from contract notes issued by you.
2. I request you to consider my telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me all the confirmation on telephone unless instructed otherwise in writing. I am getting required details from contracts issued by you.
3. I hereby request you to issue me order wise contract note in NSE and BSE cash segment as and when required. Please also provide me details as annexure.
4. Adjustment in different segments & Exchanges

I hereby inform you that I wish to trade with ITI Securities Broking Limited on the National Stock Exchange of India Limited (NSE) in cash and Futures & Options Segment & Currency Derivatives Segment & BSE Limited (BSE) in cash, Futures & Options Segment. I hereby request you and hereby authorize you to transfer, make adjustments and/or to set off a part or whole of the securities placed as margin and/or any surplus funds in any of my account/(s) maintained with you against the outstanding dues payable if any, by me in any of my account/(s). You have right of lien on the credit balance in any of my accounts. Any entries passed by you in accordance with this authorization shall be binding on me.

Thanking you,

Yours faithfully,


(31/38)
Signature of the Applicant

Name of the Applicant

VOLUNTARY

Declaration to be signed by client in case of content been explained in vernacular language

Date: _____


To,
ITI SECURITIES BROKING LIMITED
ITI House, 36, Dr. R. K. Shirodkar Marg,
Behind Bata Showroom, Opp HDFC House,
Parel, Mumbai - 400012.

I hereby declare that content and purpose of this form have been explained to me in vernacular language known to me and I have signed / affixed thumb impression after understanding contents / purpose / consequences thereof.

I further hereby declare that exchanges have made RDD / Dos & Donts / Rights & Obligation in vernacular language and the same has been made available at Companies website: www.itisb.co.in

Thanking you,

Yours faithfully,


(32/38)
Signature of the Applicant

Name of the Applicant

To,
ITI SECURITIES BROKING LIMITED
 ITI House, 36, Dr. R. K. Shirodkar Marg,
 Behind Bata Showroom, Opp HDFC House,
 Parel, Mumbai - 400012.

Sub: Authorisation for deposit of Shares/Securities collateral with Exchange(s)/Clearing Corporation(s)/ Clearing Member(s) for any/all segment(s) towards Margin Requirement

Dear Sir/Madam,

In respect of the Securities owned by me/us, I/we declare and assures that the Said Securities (shall mean all the securities lying in my/our Depository Account No. _____ (hereinafter referred to as "Account") with the custodian/depository participant and shall include all securities given in addition, substitution or replacement of the securities in the said Account) are given by me/us to the Clearing Member/ Trading Member for deposit of the same with Exchange(s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all Segment(s) as collateral for which I/we hereby authorise you to deposit the said Share(s)!Securities with Exchange(s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all Segment(s) as collateral.

I/We hereby confirm that:

- i) the Said Securities are in existence, owned by me/us and are and shall be free from any charge, lien or encumbrance, whether prior or otherwise.
- ii) the Said Securities will be subject to the creation of pledge in favour of Exchange(s)/Clearing Corporation(s)! Clearing Member(s) for any/all Segment(s) and further that the Securities over which pledge may be created in future would be in existence and owned by me/us at the time of creation of such pledge and that my/our said Securities to be given in future as security would likewise be unencumbered, absolute and disposable property.
- iii) the Trading member/ Clearing Member is authorized to do all such acts and things, sign documents and pay and incur any applicable cost, debts and expenses as may be necessary under the Deed of Pledge and the same shall be subject to terms and conditions as contained therein
- iv) the Said Securities shall be subject to the first priority and lien in favour of Exchange(s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all Segment(s) to secure obligations and that the rights or interests with respect to the Said Securities shall be subject and subordinate to the rights, claims and interests of Exchange(s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all Segment(s) in respect of the Said Securities.
- v) Exchange(s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all Segment(s) in which said securities are pledged, may invoke the pledge without any reference to me/us or my/our permission and upon receipt of the Said Securities may utilize the proceeds in meeting obligations in such manner as it may deem fit and that such invocation of pledge will be final and irrevocable against the Clearing Member and me/us.
- vi) I/We shall not make any claims or demands for refund or any reimbursement in relation to the Said Securities from Exchange(s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all Segment(s).

³
 (33/38)

 Signature of the Applicant

 Name of the Applicant

VOLUNTARY

DECLARATION TO BE SIGNED IF CLIENT IS CONNECTED TO ANY STOCK EXCHANGE

Date: _____

To,
ITI SECURITIES BROKING LIMITED
ITI House, 36, Dr. R. K. Shirodkar Marg,
Behind Bata Showroom, Opp HDFC House,
Parel, Mumbai - 400012.

Dear Sir/Madam,

I hereby declare that I am a Member of the _____ (name of the stock exchange where client is a member) and in this regard pursuant to SEBI Circular SEBI/MIRSD/CIR-06/2004 dated January 13, 2004, I hereby confirm that

1. I have intimated the said Exchange of my intention to open a trading account with ITI Securities Broking Limited only for the purposes for my proprietary trades (acknowledged copy of intimation letter is attached herewith).

Other than the above, I do hereby declare that I am not in any capacity connected to any other recognized Stock Exchange.

I also hereby confirm that I am not an employee of any Trading Member or of a registered sub-broker/Authorised Person of any recognized Stock Exchange.

(34/38)

Signature of the Applicant

Name of the Applicant

VOLUNTARY

OR

DECLARATION TO BE SIGNED IF CLIENT IS NOT CONNECTED TO ANY STOCK EXCHANGE

Date:

To,
ITI SECURITIES BROKING LIMITED
ITI House, 36, Dr. R. K. Shirodkar Marg,
Behind Bata Showroom, Opp HDFC House,
Parel, Mumbai - 400012.

Dear Sir/Madam,

I hereby confirm that I am not a Member of any recognized Stock Exchange nor am I affiliated as a sub-broker/Authorised Person or in any other capacity with any Member of any recognized Stock Exchange. I also hereby confirm that I am not an employee of any Trading Member or of a registered sub-broker/Authorised Person of any recognized Stock Exchange.

(34/38)

Signature of the Applicant

Name of the Applicant

Date:

To,

ITI SECURITIES BROKING LIMITED

ITI House, 36, Dr. R. K. Shirodkar Marg,
Behind Bata Showroom, Opp HDFC House,
Parel, Mumbai - 400012.

Sub: Declaration for Mobile Number and Email Id

Dear Sir,

I _____ having PAN: _____ do hereby
declare that Mobile number _____ & Email Id _____
provided in Know Your Client (KYC) form belongs to me or in the name of my family member**, my
_____ (mention relationship) and said mobile number and email id does not belong to anyone
else i.e., Relationship Manager, Branch Manager, Introducer, Sub-Broker (SB), Authorised Person (AP), any employee
of SB / AP or any employee of the Company.

In case of change in above mobile number and email id, I shall be informing to the Company by submitting duly filled-
in Modification Form from time to time.

** Family Member in this regard would mean self, spouse, dependent children and dependent parents.


(35/38)

Signature of the Applicant

Name of the Applicant

Note: In case Mobile Number and Email Id belongs to Family Member and Family member is already having account
with the Company, kindly provide Annexure provided in KYC on page no. 52

To,
ITI SECURITIES BROKING LIMITED
ITI House, 36, Dr. R. K. Shirodkar Marg,
Behind Bata Showroom, Opp HDFC House,
Parel, Mumbai - 400012.

Sub: Common Mobile number / Email ID For Demat and Trading accounts. (Applicable for family members having account with ITI Securities Broking Ltd.)

Dear Sir,

I, Mr/Mrs _____ would like to confirm that the Mobile number/E-mail ID _____ is registered in my name. I am enclosing self attested copy of latest ID Proof for your information and record. I am your registered client having trading code as _____ and demat account number _____.

All these below clients also do not have any objection to the same, in consent they have also signed:

Sr. No.	Client Name	Trading Code	Demat A/c	Relation	Signature

(36/38)
Signature of the Mobile / Email ID Holder

FATCA/CRS Declaration For Individuals

Client Code: _____

Date: _____

DP	1	2	0	4	4	5	0	0	Client ID	0	0	0					
----	---	---	---	---	---	---	---	---	-----------	---	---	---	--	--	--	--	--

Sr. No.	Details	1st Holder	2nd Holder	3rd Holder
1	Are You US Person	Yes / No		
2	Country of Birth	India		
		US		
		Other		
3	Place of Birth	City/Town (If other than India)		
4	Source of Wealth	Salary		
		Business		
		Gift		
		Ancestral Property		
		Rental Income		
		Prize Money		
		Royalty		
5	If your country of Tax Residency Other than India	Yes/No		

If 'Yes' please specify the details of all countries where you hold tax residency and its Tax identification Number & Type.

Sr. No.	Details	1st Holder	2nd Holder	3rd Holder
1	Country of Residence For Tax Purpose (Other than India)#			
2	Tax Identification No.(US TIN) or Equivalent(Other)			
3	Identification Type			

To include all countries other than India, where investor is Citizen/Resident/Green Card Holder/ Tax Resident in those respective countries especially of USA.

Declaration:

1. I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief correct and complete. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/ am aware that I may liable for it. In case of any change in the above given status on a future date, I undertake to inform IIFL the same within 30 Days.
2. I agree that if I/am a U.S. person or tax resident of a reportable foreign jurisdiction (other that U.S.) requiring reporting under FATCA/CRS or any other Law, my account details, as required under inter governmental agreement (IGA)/ Multilateral competent authority agreement (MCAA) Signed by Indian government, Would be reported by IIFL to the relevant Tax Authority.
3. If My Country of Birth is US, I/am providing a certificate of relinquishment of Citizenship (loss of Nationality) or a self certification for stating reason for not having such a certificate despite relinquishing US citizenship OR not obtaining US citizenship at birth.

I hereby authorize you to disclose, share, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any

obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries to facilitate single submission / updation & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your end.

	Sole/First Holder	Second Holder	Third Holder
Signature	(37/38)	(13a/13a)	(11b/11b)

Notes:

1. Who is US personff

In case of individuals, U.S. person means a citizen or Resident of the United States. Persons who would qualify as US person could be born in the United States, Born outside the united states of a US parents, Naturalized Citizens, Green Card Holders, Tax residents.

2. Who is a reportable person (non US) under common reporting standards (CRS)ff

Under common reporting standards (CRS), Reportable person means tax resident of a reportable foreign jurisdiction other than US

3. Document to be collected if Customer's Country of birth is US but Declares that he/she is not a US person

- Certificate of relinquishment of citizenship (loss of nationality certificate); or
- Self certification for stating reason for not having such a certificate despite relinquishing US citizenship;
- Or
- Self certification for stating reasons for not obtaining US citizenship at birth.

4. MF transactions will be permitted to clients/ joint holders in new folios after reviewing this declaration and existing KYC data and only if permitted by AMCs.

5. Towards compliance with tax information sharing laws, such as FATCA, we would be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from our account holders. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Towards compliance with such laws, 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. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).

If any controlling person of the entity is a citizen or resident or green card holder of outside India, please include all such foreign country information field along with the relevant Tax Identification Number.

Also note that you may receive more than one request to provide this 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 that you have already provided this information earlier

Please note that above information is provided only for quick reference to customers. You are requested to refer Rule 114F, 114G and 114H of Income-tax Rules, 1962 consult a legal/tax advisor for any clarification.

Information on Prevention of Money Laundering Act, 2002 (PMLA)

Due to the tightened security and increased vigilance in the wake of threats emanating from increasing terrorism, any failure on our part to discharge our duties cast on us under the applicable laws or we becoming an instrumental or a part of the chain in certain transaction, even if unknowingly or ignorantly, may land us in trouble. There is an Act called Prevention of Money Laundering Act 2002. (PMLA).

The purpose of this act is to prevent the financing of terrorism and to prevent laundering of money i.e. to legalize or officialise or canalise the money generated from illegal activities like drug trafficking, organized crimes, hawala rackets and other serious crimes. This act is a part of the Global measures being taken by all the countries under the initiatives of UN agencies.

It is applicable to all SEBI Registered brokers/sub-brokers and other financial institution who are dealing in any kind of financial assets. It is an obligation of the entities to whom this Act is applicable, to report certain kind of transactions routed through them to FINANCIAL INTELLIGENCE UNIT.

No trading or demat account can be opened in the name of entity whose name is listed on the banned entity list being maintained at United Nation's website at <http://www.un.org/sc/committees/1267/consolists.html>. While opening the new accounts all the prescribed procedures of KYC and Client Identifications should strictly be followed in the context of ensuring the compliance under this act.

The end clients are advised to co-operate with us by providing the additional information / documents, if asked for during the course of your dealings with us to ensure the compliance requirements under this Act. As a responsible citizen, it is our statutory as well as moral duty to be vigilant and to refrain from temptation of easy monetary gains, by knowingly or unknowingly supporting the people who are involved in the activities which are endangering our freedom and causing damage to the nation and to us as well.

For detailed information and understanding you are requested to visit the website of FIU-IND at <http://fiuindia.gov.in> and PMLA policy of the Company is also hosted at company's website www.itisb.co.in

Confirmation of Receipt of executed documents

Date: _____

To,
ITI SECURITIES BROKING LIMITED
ITI House, 36 Dr. R. K. Shirodkar Marg,
Behind Bata Showroom, Opp HDFC House,
Parel, Mumbai - 400012.

Sub: Confirmation of Receipt of executed documents.

Dear Sir/Madam,

I hereby confirm that I have received copies of the following executed documents in my preferred mode:

1. Copy of Know Your Clients Form (KYC).
2. Rights and Obligations.
3. Risk Disclosure Documents (RDD).
4. Guidance Note - Do's and Don'ts for trading on Exchange(s) for Investors
5. Policies and Procedures
6. Running Authorization Letter.
7. Additional Terms & Conditions.
8. All other executed documents.

Physical Form Electronic Form

Thanking you,
Yours faithfully,

(38/38)
Signature of the Applicant

Client Code : _____

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ITI SECURITIES BROKING LIMITED

ITI House, 36 Dr. R. K. Shirodkar Marg, Behind Bata Showroom, Opp
HDFC house, Parel, Mumbai 400012
Tel.: (91-22) 4027 3600 • Email: dp@itiorg.com • Website: www.itisb.co.in

Declaration Form for opting out of nomination

[Annexure A to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 and any update thereof on Mandatory Nomination for Eligible Trading and Demat Accounts]

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UCC										
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1	2	0	4	4	5	0	0			
Client ID (only for Demat account)										
Sole/First Holder Name										
Second Holder Name										
Third Holder										
<p>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.</p>										
<p>Name and Signature of Holder(s)*</p>										
<p>Name :</p> <p>1 _____ 2 _____ 3 _____</p> <p>Signature</p> <p>1 _____ 2 _____ 3 _____</p>										

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

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ITI Securities Broking Limited

(A part of The Investment Trust of India Limited Group)

Regd office: ITI House, 36, Dr. R. K. Shirodkar Marg,
Behind Bata Showroom, Opp HDFC House, Parel, Mumbai 400 012
Tel.: (91-22) 4027 3600 • Fax: (91-22) 4027 3700
Email: customer@itiorg.com • Website: www.itisb.co.in