

**REGISTRATION FORM**

# Intellect Stock Broking Limited

**Intellect Money**



**INTELLECT**

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



# ACCOUNT OPENING KIT

## I N D E X

S.No.	Name of the Document	Brief Significance of the Document	Page No
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
1.	<b>Account Opening Form</b>	A. KYC form - Document captures the basic information about the constituent and an instruction/check list. B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	<b>3-15</b>
2.	<b>FATCA &amp; CRS Declaration</b>	The document deals with the Foreign Account Tax Compliance Act and Common Reporting Standard declaration to comply with the Central Board of Direct Taxes (CBDT) rules.	<b>16-18</b>
3.	<b>Tariff sheet</b>	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	<b>19</b>
4.	<b>Rights and Obligations</b>	Document stating the Rights & Obligations of stock broker trading member, sub-broker and client for trading exchanges (including internet/wireless technology based trading).	<b>Seperate Booklet file</b>
5.	<b>Rights and Obligations (DP)</b>	This document contains details of rights & obligation of Depository Participant and Beneficial Owner of the Account.	
6.	<b>Risk Disclosure Document (RDD)</b>	Document detailing risks associated with dealing in the securities market.	
7.	<b>Guidance note</b>	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
8.	<b>Policies and Procedures</b>	Document describing significant policies and procedures of Intellect Stock Broking Limited.	

<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>			
9.	<b>Running Account Letter</b>	<i>This document deals with an option given to client to settle his obligations towards funds and securities on a running basis &amp; settle the same at monthly/quarterly interval at his discretion)</i>	<b>20</b>
10.	<b>Document in Electronic format</b>	This document deals with the clauses relating to issue of Contract Notes, daily margin statement, quarterly statement in electronic format)	<b>21</b>
11.	<b>PMLA, 2002 Statement</b>	The document deals with other additional voluntary information to be provided by the client in relation to prevention of Money Laundering Act, 2002.)	<b>22</b>
12.	<b>Common Mobile / Email ID</b>	The document deals with the declaration about common Mobile & E-mail for Trading Account and Demat Account.	<b>23</b>
13.	<b>UBO Declaration</b>	The document captures the details of Ultimate Beneficial Owner / Controlling Person in case of Non-Individual entity	<b>24</b>
14.	<b>Sale of Securities in Default case</b>	The document deals with authorization to sell the securities in case of failure of due payment.	<b>25</b>
15.	<b>Segment &amp; Exchanges Letter</b>	The document deals with the authorisation for adjustment in different segment & exchanges	<b>25</b>
16.	<b>Mobile Number Authorization</b>	The document deals about the mandate to receive information in registered Mobile No.	<b>25</b>

<b>DP DOCUMENT</b>			
17.	<b>Account Opening Form</b>	<i>This document contains additional detail of clients for opening a Demat Account</i>	<b>26-31</b>
18.	<b>Annexure 2.4</b>	This document contains the Terms And Conditions & Form for receiving SMS Alerts from CDSL	<b>32-33</b>
19.	<b>Annexure 2.5</b>	This document contains Options for issue of DIS Booklet	<b>34</b>
20.	<b>Annexure 2.6</b>	This document contains the Terms and conditions for availing Transaction using Secured Texting (TRUST) Service by CDSL.	<b>35</b>
21.	<b>Tariff</b>	This document contains the schedules of charges for DP Account.	<b>36</b>
22.	<b>DP POA</b>	Power of Attorney for auto paying and pay-out of securities for settlement purpose	<b>37-38</b>

### FORMATS

List of formats duly available at our website : [www.intellectmoney.com/download/specimen](http://www.intellectmoney.com/download/specimen)



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



**Intellect Stock Broking Limited**



DP ID : 12066400 • SEBI Regn. No. IN-DP-57-2015

Application No. :

Please fill in ENGLISH and in BLOCK LETTERS

**A. Identity Details (please see guidelines overleaf)**

1. Name of Applicant (As appearing in supporting identification document).

Name

Father's/Spouse Name

2. Gender  Male  Female **B. Marital status**  Single  Married **C. Date of Birth**



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3. Nationality  Indian  Other (Please specify) \_\_\_\_\_

4. Status Please tick (✓)  Resident Individual  Non Resident  Foreign National (Passport Copy Mandatory for NRI & Foreign Nationals)

5. PAN 



 Please enclose a duly attested copy of your PAN Card

Aadhaar Number, if any: \_\_\_\_\_

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓)

UID (Aadhaar)  Passport  Voter ID  Driving Licence  Others \_\_\_\_\_ (Please see guideline 'D' overleaf)

**PHOTOGRAPH**

1a

Please affix the recent passport size photograph and sign across it

**B. Address Details (please see guidelines overleaf)**

1. Address for Correspondence

City / Town / Village			Pin Code
State		Country	

2. Contact Details

Tel. (Off.) (ISD) (STD)	Tel. (Res.) (ISD) (STD)
Mobile (ISD) (STD)	Fax (ISD) (STD)
E-Mail Id	

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport  Ration Card  Registered Lease/Sale Agreement of Residence  Driving License  Voter Identity Card  \*Latest Bank A/c Statement/Passbook  \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill  Others (Please specify) \_\_\_\_\_

\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted 



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4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City / Town / Village			Pin Code
State		Country	

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport  Ration Card  Registered Lease/Sale Agreement of Residence  Driving License  Voter Identity Card  \*Latest Bank A/c Statement/Passbook  \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill  Others (Please specify) \_\_\_\_\_

\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted 



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6. Any other information : \_\_\_\_\_

**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.

Place:

Date: 



 / 



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**SIGNATURE OF APPLICANT**

1b

**FOR OFFICE USE ONLY**

IPV Done  on 



 / 



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**Intellect Money**  
**Intellect Stock Broking Limited**

Seal/Stamp of the intermediary Should contain

SEAL

Seal/Stamp of the intermediary Should contain

SEAL

- (Originals Verified) Self Certified Document copies received
- (Attested) True copies of documents received

**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.

**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual**



**Important Instructions:**

- A) Fields marked with "\*" are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) 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\*  New  Update  
 (To be filled by financial institution) KYC Number  (Mandatory for KYC update request)  
 Account Type\*  Normal  Simplified (for low risk customers)  Small

**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 type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender		
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others		
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input 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**

2

Signature / Thumb Impression

**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 type="text"/>	Passport Expiry Date <input type="text"/>
<input type="checkbox"/> B- Voter ID Card <input type="text"/>	
<input type="checkbox"/> C- PAN Card <input type="text"/>	
<input type="checkbox"/> D- Driving Licence <input type="text"/>	Driving Licence Expiry Date <input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar) <input type="text"/>	
<input type="checkbox"/> F- NREGA Job Card <input type="text"/>	
<input type="checkbox"/> Z- Others (any document notified by the central government) <input type="text"/>	Identification Number <input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code <input type="text"/>	Identification Number <input 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\*  Residential / Business  Residential  Business  Registered Office  Unspecified

Proof of Address\*  Passport  Driving Licence  UID (Aadhaar)

Voter Identity Card  NREGA Job Card  Others  please specify

Simplified Measures Account - Document Type code

**Address**

Line 1\*

Line 2

Line 3

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





## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

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

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

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
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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, FVCI, 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.

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

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

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**Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals**

Sr. No.	PAN	Name	DIN (For Directors) / Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph

Name of Applicant \_\_\_\_\_ PAN of the Applicant \_\_\_\_\_



## TRADING ACCOUNT RELATED DETAILS For Individuals & Non-Individuals

### A. BANK ACCOUNT DETAILS (Through which transactions will generally be routed)

First Bank details		Second Bank details
Bank Name		
Branch		
Address		
Bank A/c No.		
A/c Type	<input type="checkbox"/> SB <input type="checkbox"/> CA <input type="checkbox"/> Others-in-case of NRI/NRE/NRO <input type="checkbox"/> SB <input type="checkbox"/> CA <input type="checkbox"/> Others-in-case of NRI/NRE/NRO	
MICR No.		
IFSC Code		

In case of more than two accounts, give details in additional sheet.  
(Copy of a cancelled Cheque leaf / Pass Book / Bank Statement containing name of the constituent should be submitted).

### B. DEPOSITORY ACCOUNT(S) DETAILS (Through which the transactions will generally be routed)

First Demat A/c details		Second Demat A/c details
DP Name		
DP	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL <input type="checkbox"/> NSDL <input type="checkbox"/> CDSL	
Beneficiary Name		
DP ID		
Beneficiary ID / BO ID		

In case of more than two accounts, give details in additional sheet.  
(Copy of proof of Demat A/c containing the name of the Client, Client ID, DP ID should be submitted)

### C. TRADING PREFERENCE

\*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

1. National Stock Exchange of India Ltd. (NSE)-	-	CM	☛ 6a _____
	-	F&O	☛ 6b _____
	-	CO	☛ 6c _____
	-	CD	☛ 6d _____
	-	Debt	☛ 6e _____
2. Bombay Stock Exchange Ltd. (BSE)	-	CM	☛ 6f _____
	-	CO	☛ 6g _____
	-	F&O	☛ 6h _____
	-	CD	☛ 6i _____
		-BSE StarMF	☛ 6j _____
3. Metropolitan Stock Exchange of India Ltd. (MSEI) -		CD	☛ 6k _____

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

## D. 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:

## E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

- If client is dealing through the sub-broker, provide the following details:

Sub-broker's Name			
SEBI Registration number			
Registered office address			
Ph:	Fax	Website	
• Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers / sub-brokers, provide details of all)			
Name of stock broker			
Name of Sub-Broker, if any			
Client Code		Exchange	

## F. OTHER DETAILS

- Gross Annual Income Details (Please tick ( ) ) :

Below Rs. 1 Lac     Rs. 1-5 Lac     Rs. 5-10 Lac     Rs. 10-25 Lac     Rs. 25 Lac-1 Crore     > Rs. 1Crore  
OR

Net-worth in \_\_\_\_\_ as on (date) (dd/mm/yyyy) \_\_\_\_\_  
(\*Net worth should not be older than 1 year)

- Occupation (Please tick ( ) any one and give brief details):

Private Sector Service     Public Sector     Government Service     Business     Professional     Agriculturalist  
 Retired     Housewife     Forex Dealer     Other (Please specify ) \_\_\_\_\_

- Please tick, if applicable :

Political Exposed Person (PEP)

Related to a Politically Exposed Person (PEP) For definition of PEP (Please refer guideline overleaf)

- Is the entity involved / providing any of the following services

Yes     No

- For Foreign Exchange / Money Changer Service

Yes     No

- Gaming / Gambling / Lottery Service (e.g. casinos, betting syndicates)

Yes     No

- Money Lending / Pawning

Yes     No

- Another other information :

\_\_\_\_\_

## G. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify):

Specify your Email id, if applicable E-mail ID \_\_\_\_\_

- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify):    Yes  No

- Number of years of Investment/Trading Experience

No Prior Experience	Years in Cash Segment/Stock	Years in Derivatives	Years in any other investment related field

- In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company / firm / others

See Annexure A

**H. INTRODUCER DETAILS (optional)**

Name of the Introducer			
Status of Introducer	<input type="checkbox"/> Sub-Broker	<input type="checkbox"/> Remisier	<input type="checkbox"/> Authorised Person
	<input type="checkbox"/> Existing Client	<input type="checkbox"/> Other(please specify) _____	
Address of the Introducer			
PAN of Introducer, if any		Phone No.	
Signature			
Attach Photocopy of Passport / Voter ID / PAN Card / Driving Licence of the Introducer.			

**I. NOMINATION DETAILS (for individuals only)**

<input type="checkbox"/> I/We wish to nominate		<input type="checkbox"/> I/We do not wish to nominate	
Name of the Nominee			
Relationship with the Nominee			
PAN of Nominee		Date of Birth of Nominee	
Address & ph. no. of the Nominee			
IF NOMINEE IS A MINOR, DETAILS OF GUARDIAN:			
Name of guardian			
Address and phone no. of Guardian			
Signature of guardian			
WITNESSES (Only applicable in case the account holder has made nomination)			
Name _____			Name _____
Signature _____			Signature _____
Address _____			Address _____
_____			_____

**DECLARATION**

- 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.
- I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
- I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Place \_\_\_\_\_

Date \_\_\_\_\_

7

Signature of Client/ (all) Authorized Signatory (ies)

**FOR OFFICE USE ONLY**

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

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

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

For Intellect Stock Broking Ltd.

Client's Signature 

Date .....

Signature of the Authorised Signatory

**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. 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/sub-broker's office.
  - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals:
  - a. Form need to be initialized by all the authorized signatories.
  - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

**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 NSE/BSE//MSEI 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/NSE/BSE//MSEI 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 NSE/BSE//MSEI/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 NSE/BSE//MSEI/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



PAN  Trading  DP Code   
 Name

Please tick the applicable tax resident declaration:

1. Is "Entity" a tax resident of any country other than India?  Yes  No  
 (If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below)

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other, Please specify)
1.			
2.			
3.			

In case Tax Identification Number is not available, kindly provide its functional equivalent.  
 In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

**PART A (to be filled by Financial Institution or Direct Reporting NFEs)**

1	We are a Financial institution (Refer <input type="checkbox"/> 1 of Part C) or Direct reporting NFE (Refer <input type="checkbox"/> 3(vii) of Part C) (please tick as appropriate)	<b>GIIN</b> <input type="text"/> <b>Note:</b> If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below Name of sponsoring entity _____ _____
	<b>GIIN not available</b> (Please tick as applicable)	<input type="checkbox"/> <b>Applied for</b> <input type="checkbox"/> Not obtained – Not-participating FI <input type="checkbox"/> Not required to apply for - please specify 2 digit sub-category <input type="text"/> (Refer 1A of Part C)

**PART B (Please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")**

1	Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer 2a of Part C)	Yes <input type="checkbox"/> (if yes, please specify any one stock exchange on which the stock is regularly traded) Name of Stock Exchange _____
2	Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer 2b of Part C)	Yes <input type="checkbox"/> (if yes, please specify any one stock exchange on which the stock is regularly traded) Name of listed company _____ Nature of relation <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company Name of stock exchange _____
3	Is the Entity an active NFE (Refer 2c of Part C)	Yes <input type="checkbox"/> Name of Business _____ Please specify the sub-category of Active NFE <input type="text"/> (Mention code - refer 2c of Part C)
4	Is the Entity an active NFE (Refer 3(ii) of Part C)	Yes <input type="checkbox"/> Name of Business _____

**UBO Declaration (Mandatory for all entities except, a Publicity Trade Company or a related entity of Publicity Traded Company)**

**Category** (Please tick applicable category):  Unlisted Company  Partnership Firm  Limited Liability Partnership Company  
 Unincorporated association / body of individuals  Public Charitable Trust  Religious Trust  Private Trust  
 Others (please specify \_\_\_\_\_)

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH Controlling person(s). (Please attach additional sheets if necessary)  
 Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) of Part C)			
Country of Tax residency*			
PAN#			
Address	Zip <input type="text"/> State _____ Country _____	Zip <input type="text"/> State _____ Country _____	Zip <input type="text"/> State _____ Country _____
Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office
Tax ID*			
Tax ID Type			
City of Birth			
Country of Birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
Date of Birth			
Percentage of Holding (%)\$			

\* To include US, where controlling person is a US citizen or green card holder  
# If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.  
% In case Tax Identification Number is not available, kindly provide functional equivalent  
\$ Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

### DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Intellect Stock Broking Limited for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Name			
Designation			
Sign here:	<input type="text" value="11"/>	Date :	<input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/>
		Place :	<input type="text"/>

For Investor convenience, Intellect Stock Broking Limited (ISBL) collecting this mandatory information for updating whether you are already an investor or would become an investor in future.

Please submit the form fully filled, signed, for all the holders, separately or you can dispatch the hard copy to-

**Intellect Stock Broking Limited**  
232, Chittaranjan Avenue, 7<sup>th</sup> Floor  
Near Girish Park Crossing, Kolkata – 700 006.

For Detail Terms & Conditions please visit [www.intellectmoney.com](http://www.intellectmoney.com)

## Tariff Sheet

SEGMENT	Intraday		Delivery	
	%	Minimum Paisa	%	Minimum Paisa
Capital Market				
Future				
Currency Derivative				
Commodity Derivative				

SEGMENT	Per Lot	
	Buy	Sell
NSE - Option- Stock		
NSE - Option - Index		
BSE - Option- Stock		
BSE - Option - Index		
NSE-Currency		
MSEI		

Transaction Charges, Stamp Duty, Service Tax , and other Taxes/charges,if any shall be levied as per the rate stipulated by concerned Authority)

I/we have understood and accepted the Schedule of charges as stated herein above.

12 \_\_\_\_\_  
Client's Signature

# AUTHORITY LETTER FOR RUNNING ACCOUNT OF FUNDS AND SECURITIES

To,  
**INTELLECT STOCK BROKING LIMITED**  
232, Chittaranjan Avenue,  
7th Floor, Kolkata-700 006

Date :

Dear Sir,

1. I/We authorised you to retain on amount upto Rs. 10,000/- (Consolidated amount across segments and across Stock Exchange) for actual settlement of that respective traded quarter / month.
2. I/we understand and agree that no interest will be payable to me/us on the amounts or securities so retained with you.
3. I/we may be trading in derivatives segment & cash segment of various Exchanges and hence have various accounts with you. In this regard I/we hereby authorize Intellect Stock Broking Limited to act at its discretion of adjusting any credit balance under my/ our various accounts against the debit in any account across segments/Exchange, without taking any further instruction from me/us.
4. I/we also confirm that the securities lying in my withhold A/c should be considered as margin deposit / collateral.
5. I/we authorize you to set off a part or whole of the margin deposited by me/us. against any of my / our dues, by appropriating relevant amount of fund or by sale of securities which form part of margin.
6. I/we hereby authorize you to pledge my / our securities deposited as margin or withheld by you as, permitted in the running account and to deposit my / our funds deposited as margin to Exchanges / Clearing Corporation towards margin.
7. I/we may revoke the authorisation at any time giving a written notice.
8. I/we also agree that the actual settlement of fund and securities shall be done by us, at least once in a calendar quarter or month and the statement of account for the same will be provided to me by Intellect Stock Broking Limited.
9. I/we shall bring any dispute arising from the statement of account or settlement so made to the notice of Intellect Stock Broking Limited within 30 working days from the date of receipt of statement.
10. I/we agree that there shall be no inter-client adjustment for the purpose of settlement of the 'running account'.
11. For the clients having outstanding obligations on the settlement date, the stock broker may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.
12. Such periodic settlement of running account may not be necessary :
  - i. for clients availing margin trading facility as per SEBI circular
  - ii. for funds received from the clients towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR).

## Preference of Client for Settlement of Running Account (Funds & Securities)

Settlement Preference	<input type="checkbox"/> Monthly	<input type="checkbox"/> Quarterly
-----------------------	----------------------------------	------------------------------------

Thanking you,

Yours truly,

13  
Signature of the Client

## AUTHORISATION LETTER FOR ELECTRONIC COMMUNICATION

To  
INTELLECT STOCK BROKING LIMITED  
232, Chittaranjan Avenue,  
7th Floor, Kolkata-700 006

I/We have been / shall be dealing through you as my / our broker on the Capital Market and/ or Futures & Options Segments/Currency Derivative Segments. As my/our broker i.e. agent I / We direct and authorize you to carry out trading/dealings on my/our behalf as per instructions given below.

I / We understand that, I / we have the option to receive the contract notes, daily margin statement & quarterly statement of funds and securities in physical form or electronic form. In pursuance of the same, I / we hereby opt for receipt of contract notes, daily margin statement and statement of accounts for funds & securities in electronic form. I / We understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes, daily margin statement & quarterly statement. Accordingly, please take the following email account(s) / email id on your record for sending the contract notes, daily margin statement and Statement of Accounts for funds & securities to me / us.

1. \_\_\_\_\_  
Primary Email id

2. \_\_\_\_\_  
Secondary Email id

I / We agree not to hold you responsible for late / non-receipt of contract notes, daily margin statement & quarterly statement of funds and securities sent in electronic form and any other communication for any reason including but not limited to failure of email servers, loss of connectivity, email in transit etc.

I / we agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes, daily margin statement & quarterly statement of funds and securities to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me / us on account of any non-receipt / delayed receipt for any reason whatsoever.

I / We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email account(s)/email id(s).

I/We understand that I am required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me through a physical letter to you, provided however that if I/we am/ are an internet client then in that event the request for change in email id/email account can be made by me/ us through a secured access using client specific user id and password. Please treat this authorization as written ratification of my / our verbal directions / authorizations given and carried out by you earlier. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above.

Thanking you,  
Yours faithfully,

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Signature \_\_\_\_\_

Client Code: \_\_\_\_\_

## INFORMATION PROVIDED BY THE CLIENT IN RELATION TO THE PREVENTION OF MONEY LAUNDERING ACT, 2002

Name of the Client : \_\_\_\_\_

If Business / Profession : Nature of Business : \_\_\_\_\_ Industry : \_\_\_\_\_

Details of the relatives / group company, having account with Intellect Stock Broking Limited (ISBL) :

	Name	Relationship	UCC
1.			
2.			
3.			
4.			

Details of the Corporate / Partnership Firm / Trusts etc. where Client is affiliated

	Name	Equity Type	Nature of Business	Relationship	UCC
1.					
2.					
3.					
4.					

I / We hereby submit and agree to submit every year following documents to ISBL, before the due date as prescribed by ISBL.

- |  |                         |
|--|-------------------------|
| 1. Profit and Loss Account & Capital Account   | 2. Balance Sheet        |
| 3. Shareholding Pattern  | 4. Networth Certificate |
| 5. Self attested copy of Income Tax Return (If return not available, please furnish Form 16) |                         |

I / We confirm that I will immediately inform Intellect Stock Broking Limited in case I am convinced under any grounds or any action is taken against me/us by any authority(ies).

I/We hereby declare that I/We do not fall under the Clients of Special Category as defined in Prevention of Money Laundering Act, 2002, or

I/We declare that I/We fall under Clients of Special Category as defined in Prevention of Money Laundering Act, 2002 (choose the relevant category as under) :

Non-Resident Client     
  High net-worth Clients     
  Trusts, Charities, Non-Government Organisation (NGOs) and organizations receiving donations     
  Companies having close family shareholdings or beneficial ownership     
  Politically exposed Persons     
  Companies offering foreign exchange offerings     
  Clients in high risk countries where existence / effectiveness of money laundering controls is suspect etc.     
  Non face to face client     
  Clients with dubious reputation as per public information available etc.

I/We intend to invest in the Stock market with :       Own Funds       Borrowed Funds

If Borrowed Funds, then please specify Sources of funds :

Sources	Amount (Rs.)

Certificated / Opinion Report from the Banker / Financial Institution confirming that there has been no default in the client's account to be attached.

I / We hereby declare that I/We am/are beneficial owner of the Trading/On-line account opened with ISBL

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\_\_\_\_\_  
Client's Signature

\_\_\_\_\_  
Client's Name

**FOR OFFICE  
USE ONLY**

**RISK CATEGORY:**    High       Medium       Low       Very Low

# DECLARATION FOR MOBILE NUMBER AND EMAIL ID

(Mandatory if E-mail ID or Mobile No. is already registered with us)

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

To,  
INTELLECT STOCK BROKING LIMITED  
232, Chittaranjan Avenue,  
7th Floor, Kolkata-700 006

Subject : **Common Mobile number / Email ID For Trading accounts and DEMAT accounts**

Dear Sir,

We, Mr/Mrs \_\_\_\_\_ would like to confirm that the Mobile number \_\_\_\_\_ and Email ID \_\_\_\_\_ is registered in my name. I am your registered client having trading code as \_\_\_\_\_ and Demat account number as \_\_\_\_\_.

Upon understanding from you that my mobile number/email id is registered with some of the clients who have trading and/or demat accounts with you, We have to state that this is in my/our full knowledge and I/we have consented to the below clients who are my relative/s to state my mobile number/email id in their KYCs to which I/we have no objection. All the transactions in their accounts are not only done as per their respective instructions but they are well conveyed by us of all the SMS/Email belonging to them which are sent by you to us on our above mobile number/email id.

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
1.				
2.				
3.				
4.				
5.				

However, in case of any further regulatory requirements, I/we undertake to abide upon hearing from you.

Thanking You.

Name : .....

Address : .....

.....

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Note : The close relatives ONLY to be included are – Spouse, Dependent Children and Dependent Parents

## Declaration Form of Ultimate Beneficial Ownership [UBO] / Controlling Persons (Mandatory for Non-individual Investors) (To be provided on Letter Head)

### I. Investor Details:

Name of the Client	
--------------------	--

### II. Category:

<input type="checkbox"/> Our company is a Listed Company listed / Subsidiary or Controlled by a Listed Company <i>[If this category is selected, no need to provide UBO details]</i>		
<input type="checkbox"/> Unlisted Company	<input type="checkbox"/> Partnership Firm / LLP	<input type="checkbox"/> Unincorporated Association / Body of Individuals
<input type="checkbox"/> Public Charitable Trust	<input type="checkbox"/> Private Trust	<input type="checkbox"/> Religious Trust
<input type="checkbox"/> Trust created by a Will	<input type="checkbox"/> HUF	<input type="checkbox"/> Others [please specify] _____

### UBO / Controlling Person(s) details

Sl. No.	Name of UBO	Country of Tax Residency	Taxpayer Identification Number / PAN / Equivalent ID Number	% of beneficial interest	Address, Address Type & Contact details (include city, Pincode, State, Country)	Gender (Male, Female)	PEP	Nationality	Occupation [Service, Business, Others]

### Declaration

We acknowledge and confirm that the information provided above is true and correct to the best of our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, we are aware that we may liable for it. We hereby authorize INTELLECT STOCK BROKING LIMITED to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by us, including all changes, updates to such information as and when provided by us to any of the relevant Authorities or any Indian or foreign governmental or statutory or judicial authorities / agencies without any obligation of advising us of the same. Further, we authorize to share the given information to other SEBI Registered Intermediaries and/or any other regulated intermediaries registered with SEBI / RBI / IRDA to facilitate single submission / update & for other relevant purposes. We 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.

Client Signature 17

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

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

### INSTRUCTIONS ON CONTROLLING PERSONS / ULTIMATE BENEFICIAL OWNER

As per SEBI circular No. CIR/MIRSD/2/2013 dated January 24, 2013, non-individuals and trusts are required to provide details of controlling persons [CP] / ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such CPs/ UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement.

#### A. For Investors other than individuals or trusts:

- (i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to:
  - more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
  - more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership;
  - more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.
- (ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- (iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

#### B. For Investors which is a trust:

The identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

#### C. Exemption in case of listed companies / foreign investors

The client or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies. Intermediaries dealing with foreign investors' viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012, for the purpose of identification of beneficial ownership of the client.

**AUTHORITY LETTER FOR SALE OF SECURITIES IN CASE OF DEFAULT BY THE CONSTITUENT**

To,  
INTELLECT STOCK BROKING LIMITED  
232, Chittaranjan Avenue, 7th Floor, Kolkata-700 006

Dear Sir,

I/We hereby refer to Member Constituent Agreement dated \_\_\_\_\_ entered into by me/us.

With reference to the same, I/we hereby agree that if I/we fail to make payment of consideration to you in respect of any one or more securities purchased by me/us within 24 hours before the pay-in date notified by the Exchange from time to time, you shall be at liberty to sell the securities received in pay-out or in margin with you in proportion to the amount not received without prior information to me/us. I/We further agree that if for any reason, schedule of pay-in and pay-out is modified, the aforesaid shall be made applicable reckoning the actual date pay-in and/or pay-out, as the case may be.

☛18  
Signature

.....  
Name : \_\_\_\_\_ Date . \_\_\_\_\_  
Address : \_\_\_\_\_  
\_\_\_\_\_

To,  
INTELLECT STOCK BROKING LIMITED  
232, Chittaranjan Avenue, 7th Floor, Kolkata-700 006

Sub : Adjustment In different segment

Dear Sir,

Notwithstanding anything contrary contained in the agreement between us, I/We hereby inform you that I/We have executed/desire to execute an agreement with M/s. Intellect Stock Broking Limited for trading on the National Stock Exchange of India Limited (NSE) and/or any other Exchange in cash and derivative segment. I/We hereby request you to treat the agreement between ourself and the agreement entered/to be entered by me/us with Intellect Stock Broking Limited as coextensive 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/us in any of my/our account(s) maintained with Intellect Stock Broking Limited or vice versa. Any entries passed by you in accordance with this authorization shall be binding on me/us.

Thanking you,  
Yours Faithfully

Signature of the Client ☛19

Client Code : \_\_\_\_\_

.....  
To,  
INTELLECT STOCK BROKING LIMITED  
232, Chittaranjan Avenue, 7th Floor, Kolkata-700 006

Sub: Mandate to receive information in the registered Mobile No. \_\_\_\_\_

Dear Sir,

I am desirous of having a trading account with you.  
This is to inform you that my mobile no. to be registered with Intellect Stock Broking Limited is \_\_\_\_\_.  
Since it is my prepaid connection, I am not able to provide you the bill of the aforementioned number.

I hereby confirm that all the information (like rate or trade confirmation, warning or alert for short margin and square up, debits and credits of ledger or any other information related to trading or any other event which constitutes the gamut of capital market operations) being sent to the above mentioned number will be deemed to have been received by me and only me.

I also further confirm that this is an irrevocable mandate (till further notified and accepted by you via a written confirmation) and all the information received by me at the registered number will be deemed to have been accepted by me and me only.

Signature ☛20

**ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT FOR INDIVIDUAL**



**INTELLECT STOCK BROKING LIMITED**

232, Chittaranjan Avenue, 7th Floor, Kolkata-700 006  
 Tel. : +91 33 4052 9200, Fax : +91 33 4052 9224  
**Investors' Grievances Redressal E-mail:** info@intellectmoney.com  
 Website : www.intellectmoney.com  
 DP ID : 12066400 | SEBI Regn. No. IN-DP-57-2015



(To be filled by the Depository Participant)

Application No.	ISBL / DP / A						Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.															
DP ID	1	2	0	6	6	4	0	0	Client ID						

(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 following details :

**HOLDERS DETAILS**

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 Person (AOP), Partnership Firm, Unregistered Trust etc. should be mentioned above.

**TYPE OF ACCOUNT ( Please tick whichever is applicable)**

STATUS	SUB-STATUS		
<input type="checkbox"/> INDIVIDUAL	<input type="checkbox"/> Individual Resident	<input type="checkbox"/> Individual-Director	<input type="checkbox"/> Individual Director's Relative
	<input type="checkbox"/> Individual Promoter	<input type="checkbox"/> Individual Margin Trading A/C (MANTRA)	
	<input type="checkbox"/> Individual HUF / AOP	<input type="checkbox"/> Minor	<input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repartiable	<input type="checkbox"/> NRI Non-Repartiable	<input type="checkbox"/> NRI-Depository Receipts
	<input type="checkbox"/> NRI Repartiable Promoter	<input type="checkbox"/> NRI Non-Repartiable 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) _____

**DETAILS OF GUARDIAN (in case the account holder is minor)**

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

I / We instruct the DP to receive each and every credit in my/our account (if not marked, the default option would be "Yes")	[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to instruct the DP to accept all the Pledge instructions in my / our account without any other further instruction from my / our 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 email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report [Tick the application box. If not marked the default option would be in Physical]	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic
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

**ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT FOR NON-INDIVIDUAL**



**INTELLECT STOCK BROKING LIMITED**

232, Chittaranjan Avenue, 7th Floor, Kolkata-700 006  
 Tel. : +91 33 4052 9200, Fax : +91 33 4052 9224  
**Investors' Grievances Redressal E-mail:** info@intellectmoney.com  
 Website : www.intellectmoney.com  
 DP ID : 12066400 | SEBI Regn. No. IN-DP-57-2015



(To be filled by the Depository Participant)

Application No.	<b>ISBL / DP / A</b>						Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.															
DP ID	1	2	0	6	6	4	0	0	Client ID						

(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 following details :

**HOLDERS DETAILS**

Sole / First Holder's Name		Search Name		PAN											
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 Person (AOP), Partnership Firm, Unregistered Trust etc. should be mentioned above.

**TYPE OF ACCOUNT ( Please tick whichever is applicable)**

<b>Status</b>	<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Banks	<input type="checkbox"/> Trust	<input type="checkbox"/> Mutual Fund	<input type="checkbox"/> OCB	<input type="checkbox"/> FII	<b>Sub-Status</b> (To be filled by the DP)								
	<input type="checkbox"/> CM	<input type="checkbox"/> HUF	<input type="checkbox"/> FI	<input type="checkbox"/> Clearing House	<input type="checkbox"/> Other (Specify) _____										
Date of Incorporation	D	D	M	M	Y	Y	Y	Nationality	<input type="checkbox"/> Indian	<input type="checkbox"/> Others (specify) _____					
SEBI Regn. No. (if Applicable)							SEBI Regn. Date	D	D	M	M	Y	Y	Y	Y
RBI Regn. No. (if Applicable)							RBI Approval Date	D	D	M	M	Y	Y	Y	Y

I / We instruct the DP to receive each and every credit in my/our account (if not marked, the default option would be "Yes")	[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to instruct the DP to accept all the Pledge instructions in my / our account without any other further instruction from my / our 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 email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report [Tick the application box. If not marked the default option would be in Physical]	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic

**CLEARING MEMBERS DETAILS (TO BE FILLED BY CMS ONLY)**

Name of the Stock Exchange			
Name of CC / CH			
Clearing Member ID		Trading member ID	

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
--	--

### BANK DETAILS (DIVIDEND BANK DETAILS)

Bank Code (9 Digit MICR Code)									
IFS Code (11 character)									
Account Number									
Account Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (Specify) _____								
Bank Name	_____								
Branch Name	_____								
Bank Branch Address	_____								
	City				State			Country	
							PIN		

- (i) Photocopy of the 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 (or)
- (iii) Photocopy of the Passbook having name and address of the BO, (or)
- (iv) Letter from the Bank.

### OTHER DETAILS

<b>Gross Annual Income Details</b>	<b>Income Range per annum :</b> <input type="checkbox"/> Upto Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,000 to Rs. 5,00,000 <input type="checkbox"/> Rs. 5,00,000 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> Rs. 25,00,000 to Rs.1,00,00,000 <input type="checkbox"/> More than Rs. 1,00,00,000
	Net Worth as on (Date) <input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/> Rs. _____ (Net worth should not be older than 1y ear)
<b>Please tick</b>	if any of the authorized signatories / Promoters / Partners / Karta / Trustees / Wholetime Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) <input type="checkbox"/> Please provide details as per Annexure 2.2A
<b>Occupation</b>	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (specify) _____
<b>Please tick, if applicable</b>	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)
<b>Any other information</b>	_____

<b>SMS Alert Facility</b> (Refer to Terms & Conditions given as <b>Annexure 2.4</b> )	Mobile No. <b>+91</b> _____ [(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 ( <b>TRUST</b> ). Refer to Terms and Conditions <b>Annexure - 2.6</b>	I wish to avail the TRUST facility using Mobile number registered for SMS Alert Facility. I have read and understand the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 5px;"> <thead> <tr> <th style="width: 33%;">Sotck Exchange Name / ID</th> <th style="width: 33%;">Clearing Member Name</th> <th style="width: 33%;">Clearing Member ID (Optoional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	Sotck Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optoional)						
Sotck Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optoional)								
<b>Easi</b>	To register for easi, please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> <b>Easi</b> allows a BO to view his ISIN balances, transactions and value of the portfolio online.									

**Nomination Details**

<b>Nomination Registration No.</b>	<b>Date</b>

I / We the sole holder / Joint holders / Guardian (in case of minor) here declare that:

I/We **do not wish to nominate any one for this Demats Account.**

I/We **nominate** the following persons who is are entitled to receive security balances lying in my / our account, particulars where of are given below, in the event of my / our death.

<b>Nomination Details</b>	<b>Nominee 1</b>	<b>Nominee 2</b>	<b>Nominee 3</b>
<b>Nominee Name:</b>			
First Name:	.....	.....	.....
Middle Name :	.....	.....	.....
Last Name :	.....	.....	.....
<b>Nomination Details</b>	<b>Nominee 1</b>	<b>Nominee 2</b>	<b>Nominee 3</b>
Address:			
City			
State			
Pin			
Country			
Telephone No.			
FAX No.			
PAN No.			
UID			
Email ID			
Relationship with the BO:			
Date of birth (mandatory if Nominee is a dd-mm-yyyy)			
<b>Name of the Guardian of Nominee (if nominee is a minor)</b>			
First Name:	.....	.....	.....
Middle Name :	.....	.....	.....
Last Name :	.....	.....	.....
Address:			
City			
State			

Country			
PIN			
Age			
Telephone			
FAX No.			
Email ID			
Relationship of the Guardian with the Nominee			
Percentage of allocation of securities			
Residual Securities [please tick any one nominee. If tick not marked default will be first nominee]			

**Note:** Residual securities: in case of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.

**Marked is Mandatory field**

This nomination shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us

**Note: One witness** shall attest signature(s) / thumb impressions(s)

Details of the Witness	
	<b>First Witness</b>
Name of witness	
Address of witness	
Signature of witness	

I / We have received and read the Rights and Obligations document and 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 / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	<b>First / Sole Holder or Guardian (in case of Minor)</b>	<b>Second Holder</b>	<b>Third Holder</b>
<b>Name</b>			
<b>Signature</b>			

*(Signatures should be preferably in blue ink)*

===== (Please Tear Here) =====

**Acknowledgment Receipt**

**Application No. :**

**Date:**

We hereby acknowledge the receipt of the Account Opening Application Form:

<b>Name of the Sole / First Holder</b>	
<b>Name of Second Holder</b>	
<b>Name of Third Holder</b>	

**[For Non-individual]**

**Details of Politically Exposed Persons (PEP) / Related to Politically Exposed Person (RPEP)**

Name of holder \_\_\_\_\_ PAN of the holder \_\_\_\_\_

Sr. No.	Name of the Authorized signatories / Promoters / Partners / Karta / Trustees / Wholetime Directors	Relation with the holder (i.e. promoters, wholetime directors etc.)	Please tick the relevant option
1.			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
2.			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
3.			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
4.			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP

**PEP:** Politically Exposed Persons

Name & Signature of the Authorised Signatories Date \_\_\_\_ / \_\_\_\_ / \_\_\_\_\_

**RPEP:** Related to Politically Exposed Person (RPEP)

**DECLARATION**

I/We have **received and** read the **document of Rights and Obligation of BO-DP'** (DP-CM agreement for BSE Clearing Member Accounts) 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/We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	Sole/First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signature	☞ 22a	☞ 22b	☞ 22c

(In case of more authorised signatories, please add annexure)

(Signatures should be preferably in black ink)

To,  
**INTELLECT STOCK BROKING LIMITED**  
232, Chittaranjan Avenue, 7th Floor, Kolkata-700 006

Dated : \_\_\_\_\_

Dear Sir,

Re : ADJUSTMENT OF DP CHARGES

I Mr / Mrs. / Ms. M/s. \_\_\_\_\_ is having a Unique Client Code \_\_\_\_\_ (Trading Account) with the company to carry out transactions in sale and purchase of shares in Capital Market Segment of National Stock Exchange of India Ltd (NSE) and The Stock Exchange, Mumbai (BSE) and / or derivatives market segment of NSE / BSE.

I also have a Demat Account No. 12066400 \_\_\_\_\_ with your company. I do hereby authorize you to debit depository charges for the aforesaid DP Account maintained with your company from my said trading account maintained in your books.

Thanking you

Yours Sincerely

Seal & Signature of Trading Account Holder

☞ 23 \_\_\_\_\_

Name \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

## ANNEXURE -2.4

### **Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL**

#### **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 account holders 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](mailto: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 nsmitted 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 ice. 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	6	6	4	0	0									
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--

(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

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

(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)

☛ 24a

Sole / First Holder

☛ 24b

Second Holder

☛ 24c

Third Holder

**ANNEXURE -2.5**

**Option form for Issue of DIS Booklet**

To,  
**INTELLECT STOCK BROKING LIMITED**  
232, Chittaranjan Avenue,  
7th Floor, Kolkata-700 006

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 my / our CDSL account though I / we have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with \_\_\_\_\_ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager.

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures	 25a		

OR

**OPTION 2:**

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / executed PMS agreement in favour of / with \_\_\_\_\_ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. 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			
Signatures	 25b		

## 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 or 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 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 if 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 obligations 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 Slip 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 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 thorough 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 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.

### TARIFF SHEET

DP ID : 66400  
 About us : Intellect Stock Broking Limited, 232, Chittaranjan Avenue, 7th Floor, Kolkata-700 006, Tel. : +91 33 4052 9200  
 Services : We offer Services in Stock Broking  
 Tariffs : Statutory Charges at the 300 time of account opening

SCHEME	CHARGES
Advance / Deposit	NIL
Account Maintenance	Rs. 300/- for Individual and Rs. 850/- for Corporate. Plus GST
Demat	Per Cert Rs. 10/- (min. Rs. 100/-)
Remat	Per Cert Rs. 10/- (min. Rs. 100/-)
	Rs. 25/- for Outside Client and
Transaction (Debit)	Rs. 12/- for Insiders
Pledge Creation	Rs. 20/-
Pledge Creation Confirmation	Rs. 10/-
Pledge Closure	Rs. 20/-
Pledge Closure Confirmation	Rs. 10/-
Pledge Invocation	Rs. 10/-
Failed Instruction Charges	Rs. 12/-
	Demat Rejection Charges : Rs. 50/-
Other Charges	

Remarks: For Individual & HUF Rs. 590/- will be charged as AMC for life time.

#### NOTES :

- \* Service Tax and other statutory charges if applicable will also be levied
  - \* Any service not quoted above will be charged separately.
  - \* Intellect Stock Broking Ltd. reserves the right to change the tariff by providing 30 days prior notice and this will be binding on all.
  - \* Non-payment of bill after 30 days from the date of due date the depository services will be temporarily withdrawn (Suspended/Freeze). The renewal charges for resuming will be Rs. 100/- per account.
  - \* Value of transaction will be in accordance with rates provided by the CDSL.
  - \* Client must ensure that their **name & client ID** is written behind every cheque / Demand Draft deposited by them & cheque dishonors charges Rs. 50/- + Bank Charges.
  - \* Please issue the cheque in favour of **Intellect Stock Broking Ltd.**
  - \* I/We agree to pay the charges as set out herein above subject to any change therein from time to time and specifically authorise you to debit all type of dues / charges as set out herein above to my / our Trading Account Ledger No \_\_\_\_\_ having with you in the NSE and / or BSE Segment.
- I / We have read and understood the 'Schedule of Charges' prescribed and agree to abide by the same.

27a

Signature of First / Sole Holder

27b

Signature of Second Holder

27c

Signature of Third Holder



DP  Trading

#### ACKNOWLEDGMENT RECEIPT

DP ID : 12066400

(To be filled by the Depository Participant)

Application No. :

**INTELLECT STOCK BROKING LTD.**  
 Depository Participant of Central Depository Services (I) Ltd.

We hereby acknowledge the receipt of the Account Opening Form From :

Date 

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

Name of the Sole / First Holder	
Name of the Second Holder	
Name of the Third Holder	

For all queries, please e-mail to : info@intellectmoney.com

Depository Participant Seal and Signature

## POWER OF ATTORNEY

TO ALL TO WHOM THESE PRESENTS SHALL COME :

I/We \_\_\_\_\_ (IT. PAN: \_\_\_\_\_) Residing at Kolkata

I/We \_\_\_\_\_ (IT. PAN: \_\_\_\_\_) Residing at Kolkata

I/We \_\_\_\_\_ (IT. PAN: \_\_\_\_\_) Residing at Kolkata

(Hereinafter referred to as 'the Client(s)') Indian inhabitant SEND GREETINGS.

Whereas I/We hold the Beneficiary Account No. **12066400** with Central Depository Services (India) Ltd. (CDSL) through INTELLECT STOCK BROKING LIMITED (DP ID 12066400), registered with securities and Exchange Board .of India (SEBI) with and Whereas I/We am /are investor(s) engaged in subscribing to and buying /selling of share, and securities and other financial products and services through and /or with INTELLECT STOCK BROKING LIMITED., a member of National Stock Exchange of India Ltd., bearing SEBI Regn. No. INZ 000191632 and a member of Bombay Stock Exchange Ltd., bearing SEBI Regn. No. INZ 000191632 and member of Metropolitan Stock Exchange of India Ltd. (MSEI), bearing SEBI Regn. No. INZ 000191632, Central Depository Services India Limited bearing SEBI Regn. No. IN-DP-57-2015 with its Registered Office at 232, Chittaranjan Avenue, 7th Floor, Kolkata-700 006.

And Whereas due to exigency and paucity of time, I/We am/ are desirous of appointing an agent/attorney to operate my/our said beneficiary account(s) of dematerialized securities on my/our behalf for the limited purposes and in the manner hereinafter appearing:

NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT I/WE THE ABOVE-NAMED DO HEREBY NOMINATE, CONSTITUTE AND APPOINT INTELLECT STOCK BROKING LIMITED as my/our true and lawful

Attorney (hereinafter referred to as 'the Broker/Attorney') for me/us and authorize it to perform the following functions on my /our behalf and in my /our name.

1. I/We, the Client(s) hereby authorize the said Broker/Attorney to instruct the concerned depository participant(s) to transfer the securities from the said Client's Accounts and to sign the necessary documents /papers/instruments required for this purpose.
2. The authority of the said Broker/Attorney is limited;
  - To the transfer of securities from the said Client's Accounts to the credit of dematerialized securities account(s) of the said INTELLECT STOCK BROKING LIMITED, the Broker/Attorney and /or to the accounts of the designated custodians, clearing houses /corporations and stock exchanges. The particulars of the Broker/Attorney's Accounts are mentioned in the Annexure appended hereunder (hereinafter referred to as the 'Broker's Accounts') AND
  - For the purposes as appearing hereinafter.
3. The Broker/Attorney is authorized ;
  - To transfer securities from the said Client's Accounts towards stock exchange related margin /delivery obligations arising out of trades executed by the Client(s) on the recognized stock exchanges through the said Broker/Attorney.

- The pledge/re-pledge the securities laying in the Client(s) account in its own favour and/or in favour of the trading member/clearing member/and further pledge to Clearing corporation for the limited purpose of meeting the margin requirements of the client(s) in connection with the trades executed by the clients on the stock exchanges through the said Broker/Attorney. The account number for pledging by client is 1206640000027054..
  - To apply for various products like Mutual Funds, Public Issues (Shares as well as debentures), rights, offer of shares, tendering shares in open offers etc. pursuant to and in accordance with the instructions of the Client(s).
4. The particulars of dematerialized securities account(s) mentioned hereinabove and Annexure hereunder may be added/appended/alterd according to the future business requirements and with the mutual written consent.
  5. The Broker/Attorney shall return to the Client(s), the securities that may have been received by the Broker/Attorney erroneously or those securities or funds that the stock broker was not entitled to receive from the Client(s);
  6. The Broker/Attorney is authorized to send consolidated summary of scrip-wise buy and sell positions taken with average rates to the Client(s) by way of SMS/email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI/Exchanges from time to time.
  7. I/We, the Client(s) ratify the instructions given by the aforesaid Broker/Attorney to the depository participant Banks named herein and in the manner specified herein.
  8. I/We, the Client(s) further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked in witting by me/us and that the said revocation shall be effective from the date on which the revocation notice in writing is received by the said Broker/Attorney at its office address mentioned hereinabove.

SIGNED AND DELIVERED on this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_ at KOLKATA

By the within named Client(s)

- |    |  |      |       |
|----|--|------|-------|
| 1. |  | Sign | ☛ 28a |
| 2. |  | Sign | ☛ 28b |
| 3. |  | Sign | ☛ 28c |

ANNEXURE:

CDSL NSE POOL A/C : 1206640000003094  
 NSDL NSE POOL A/C : IN 30096610497715  
 CDSL BSE PRINCIPAL A/C : 1206640000000737

IN THE PRESENCE OF

\_\_\_\_\_  
 \_\_\_\_\_

We accept  
 INTELLECT STOCK BROKING LTD

For INTELLECT STOCK BROKING LIMITED

Authorised Signatory

Date:

From:

**To,**  
**INTELLECT STOCK BROKING LIMITED**  
232, Chittaranjan Avenue, 7th Floor, Kolkata-700 006  
Tel. : +91 33 4052 9200, Fax : +91 33 4052 9224

Dear Sir,

I/We have received duly completed documents viz. Client Registration Form (KYC), Risk Disclosure Document (RDD), Guidance Note, Policies & Procedures, Tariff Sheet, Additional DP document, POA and a copy of documents executed by me/us.

Further I / We have received "Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositors".

Thanking You,

Client Signature  29

Client Name .....

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**FOR OFFICE USE ONLY**

**CLIENT DETAILS**

Client Name \_\_\_\_\_

DP ID \_\_\_\_\_ Client ID \_\_\_\_\_

Client Code \_\_\_\_\_

Branch Code \_\_\_\_\_

**A/C VERIFICATION DETAILS**

Form Receiving Date : \_\_\_\_ / \_\_\_\_ / \_\_\_\_      Accounting Opening Date: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Form Receiving by : \_\_\_\_\_

Form Verified by : \_\_\_\_\_

Form Captured by : \_\_\_\_\_

Welcome Kit sent by : \_\_\_\_\_      Despatched Date : \_\_\_\_ / \_\_\_\_ / \_\_\_\_



**INTELLECT STOCK BROKING LTD**

**Registered Office:**

232, Chittaranjan Avenue, 7th Floor, Kolkata-700 006

Tel. : +91 33 4052 9200, Fax : +91 33 4052 9224

E-mail: info@intellectmoney.com, Website : www.intellectmoney.com

**Corporate Office:**

905, Crescent Royal, Off New Link Road, Near Maurya Landmark,  
Andheri (West), Mumbai-400 053

Tel.: (022) 4976 6890 (6 lines)