

ACCOUNT OPENING KIT

I N D E X

S.No.	Name of the Document	Brief Significance of the Document	Page No
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1.	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list. B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	3-18
2.	Rights and Obligations For Margin Trading Facility (MTF)	Document stating the Rights & Obligations of stock broker trading member, sub-broker and client for trading exchanges (including internet/wireless technology based trading).	19-23
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	24-25
4.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	29-30
5.	Policies and Procedures	Document describing significant policies and procedures of Intellect Stock Broking Limited.	31-33
6.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	34

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
7.	Running Account Letter	<i>This document deals with an option given to client to settle his obligations towards funds and securities on a running basis & settle the same at monthly/quarterly interval at his discretion)</i>	36
8.	Document in Electronic format	This document deals with the clauses relating to issue of Contract Notes, daily margin statement, quarterly statement in electronic format)	37
9.	PMLA, 2002 Statement	The document deals with other additional voluntary information to be provided by the client in relation to prevention of Money Laundering Act, 2002.)	38
10.	Common Mobile / Email ID	The document deals with the declaration about common Mobile & E-mail for Trading Account and Demat Account.	39
11.	Authorised Representative	The document deals with the declaration by the Authorized Representative about the Authorized Representative Mandate	39
12.	UBO Declaration	The document captures the details of Ultimate Beneficial Owner / Controlling Person in case of Non-Individual entity	40
13.	Sale of Securities in Default case	The document deals with authorization to sell the securities in case of failure of due payment.	41
14.	Segment & Exchanges Letter	The document deals with the authorisation for adjustment in different segment & exchanges	41
15.	Mobile Number Authorization	The document deals about the mandate to receive information in registered Mobile No.	41
16.	FATCA& CRS Declaration	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.	42-44

DP DOCUMENT			
17.	Account Opening Form	<i>This document contains additional detail of clients for opening a Demat Account</i>	46-50
18.	Rights and Obligations	This document contains details of rights & obligation of Depository Participant and Beneficial Owner of the Account.	51-52
19.	Annexure 2.4	This document contains the Terms And Conditions & Form for receiving SMS Alerts from CDSL	53-54
20.	Annexure 2.5	This document contains Options for issue of DIS Booklet	55
20.	Annexure 2.6	This document contains the Terms and conditions for availing Transaction using Secured Texting (TRUST) Service by CDSL.	56
21.	easi Registration Form- (BO)	This Registration Form is required to avail Electronic Access to Securities Information (easi) from CDSL.	57
22.	Tariff	This document contains the schedules of charges for DP Account.	58
23.	DP POA	Power of Attorney for auto paying and pay-out of securities for settlement purpose	59-60

FORMATS List of formats duly available at our website : www.intellectmoney.com/download/specimen

Name	INTELLECT STOCK BROKING LTD. Member : NSE, BSE, MCX-SX, USE & CDSL
Registered Office/ Correspondence Address	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
SEBI Registration No.	NSE : INB-231296535 INF-231296535 INE-231296535 23-04-2008 24-04-2008 18-06-2010
	BSE : INB-011296531 INF-011296531 ARN-118250 03-09-2010 03-09-2010 03-03-2017
	MCX-SX : INE-261296535 06-10-2008
	USE : INE-271296535 23-11-2010
	DP ID : 12066400 SEBI Regn. No. IN-DP-57-2015
	Clearing Member (For Derivative & MCX-SX-Currency Derivative): GLOBE CAPITAL MARKET LTD. 609, Ansal Bhawan, 16, K.G. Marg, Connaught Place New Delhi-110 001, Tel. : (011) 3041-2345 SEBI Regn. No. INF 230663732 (NSE), INF 010663731 (BSE) INE 260663732 (MCX-SX)
Compliance Officer	RAM ISHWAR PANDEY Tel. : 91-98318 05555, E-mail : rpandey@intellectmoney.com
CEO	SANDEEP JINDAL Tel. : 91- 9987088868, E-mail : sjindal@intellectmoney.com

For any grievance/dispute please contact **Intellect Stock Broking Ltd.** at the above address or email id- info@intellectmoney.com and Phone no. **91-33-4052 9200**

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

Exchange Contacts	NATIONAL STOCK EXCHANGE OF INDIA LTD. (NSE) Tel No : (022) 2659 8100–8114 • Email Id : ig_nse@nse.co.in
	BOMBAY STOCK EXCHANGE LTD. (BSE) Tel No : (022) 2272 1233 / 4 • Email Id : is@bseindia.com
	MCX STOCK EXCHANGE LTD. (MCX-SX) Tel. : (022) 6731 9000 • Email : investorcomplaints@mcx-sx.com
	UNITED STOCK EXCHANGE (USE) Tel. : (022) 42444999 • Email Id : investorcomplaints@useindia.com
	SECURITIES AND EXCHANGE BOARD OF INDIA Tel No : (022) 2644 9000 • Email Id : sebi@sebi.gov.in
	CENTRAL DEPOSITORY SERVICES (INDIA) LIMITED Tel. No. : 1800-200-5533 (Toll free) • Email Id : complaints@cdslindia.com

Disclosure of Proprietary Trading pursuant to SEBI Circular No. : SEBI/MRD/SE/Cir-42/2003 dated 19th Nov., 2003, NSE Circular No. : NSE/INVG/PRE/2003/16 dated 25th Nov., 2003 and BSE Notice No. : 20031125-7 dated 25 November, 2003.

INTELLECT STOCK BROKING LIMITED is also engaged in Proprietary trading apart from Client based business.

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



Intellect Stock Broking Limited

Intellect Money

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 d d / m m / y y y y

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

1

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

State

Country

Pin Code

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 d d / m m / y y y y

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

City / Town / Village

State

Country

Pin Code

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 d d / m m / y y y y

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:

d d / m m / y y y y

SIGNATURE OF APPLICANT

1

FOR OFFICE USE ONLY

IPV Done ☐ on d d / m m / y y y y

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

☐ 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*	<input type="checkbox"/> Residential / Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar)	<input type="checkbox"/> Others <input type="text"/>	
	<input type="checkbox"/> Voter Identity Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others <input type="text"/>		
	<input type="checkbox"/> Simplified Measures Account - Document Type code	<input type="text"/>			

Address

Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	<input type="text"/>
District*	<input type="text"/>
Pin / Post Code*	<input type="text"/>
City / Town / Village*	<input type="text"/>
State / U.T Code*	<input type="text"/>
ISO 3166 Country Code*	<input type="text"/>

General Instructions:

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

A Clarification / Guidelines on filling 'Personal Details' section

- Name:** Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- Either **father's name or spouse's** name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

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

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

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

- If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
- In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and underlined relevant code may be mentioned in point 3 (S).

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

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

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

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

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

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

F Clarification / Guidelines on filling 'Contact details' section

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

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

- Provide KYC number of related person if available.

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

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

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

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

List of ISO 3166 two- digit Country Code

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

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual | Correspondence / Local Address

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.

F) List of two character ISO 3166 country codes is available at the end.

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.

☐ New ☐ Update

KYC Number

[illegible]

(Mandatory for KYC update request)

☐ Same as Current / Permanent / Overseas Address details[illegible][illegible][illegible][illegible]

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Tel. (Off)

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Tel. (Res)

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Mobile

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FAX

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Email ID

• I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

Date : _____

□□ - □□ - □□□□

Place :

[illegible]

4

Signature / Thumb impression of Applicant

Annexure B1**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual | Related Person****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 of 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)

1. DETAILS OF RELATED PERSON (Please refer instruction G at the end)

☐ Addition of Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available*)
 Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative
 Prefix First Name Middle Name Last Name
 Name*
 (If KYC number and name are provided, below details of section 1 are optional)

PROOF OF IDENTITY (PoI) OF RELATED PERSON* (Please see instruction (H) at the end)

☐ A- Passport Number Passport Expiry Date
☐ B- Voter ID Card
☐ C- PAN Card
☐ D- Driving Licence Driving Licence Expiry Date
☐ E- UID (Aadhaar)
☐ F- NREGA Job Card
☐ Z- Others (any document notified by the central government) Identification Number
☐ S- Simplified Measures Account - Document Type code Identification Number

2. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

5

Date : Place :

Signature / Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLYDocuments Received ☐ Certified Copies

KYC VERIFICATION CARRIED OUT BY

INSTITUTION DETAILS

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

Name
 Code

(11)

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).
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, FIs, 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.

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

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

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

Name of Applicant _____ PAN of the Applicant

| | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|
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|--|--|--|--|--|--|--|--|--|--|

| 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 |
|---------|-----|------|---|----------------------------------|---|------------|
| | | | | | | |
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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

Name of Applicant _____ PAN of the Applicant

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| 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 |
|---------|-----|------|---|----------------------------------|---|------------|
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(14)

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 |  |
| | - F&O |  |
| | - CD |  |
| 2. Bombay Stock Exchange Ltd. (BSE) - | - CM |  |
| | - F&O |  |
| | - BSE StarMF |  |
| 3. MCX Stock Exchange Ltd. (MCX-SX) - | - CD |  |
| 4. United Stock Exchange of India (UAE)- | - CD |  |

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 | |
| Details of disputes/dues pending | | from/to such stock broker/sub- broker | |

F. OTHER DETAILS

| | |
|---|--|
| 1. Gross Annual Income Details (Please tick () : | |
| <input type="checkbox"/> Below Rs. 1 Lac <input type="checkbox"/> Rs. 1-5 Lac <input type="checkbox"/> Rs. 5-10 Lac <input type="checkbox"/> Rs. 10-25 Lac <input type="checkbox"/> Rs. 25 Lac-1 Crore <input type="checkbox"/> > Rs. 1Crore
OR
Net-worth in _____ as on (date) (dd/mm/yyyy) _____
(*Net worth should not be older than 1 year) | |
| 2. Occupation (Please tick () any one and give brief details): | |
| <input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturalist
<input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Other (Please specify) _____ | |
| 3. Please tick, if applicable : <input type="checkbox"/> Politically Exposed Person (PEP) | |
| <input type="checkbox"/> Related to a Politically Exposed Person (PEP) For definition of PEP (Please refer guideline overleaf) | |
| 4. Is the entity involved / providing any of the following services | |
| - For Foreign Exchange / Money Changer Service | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| - Gaming / Gambling / Lottery Service (e.g. casinos, betting syndicates) | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| - Money Lending / Pawning | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 5. 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 <input type="checkbox"/> No <input type="checkbox"/> | | | |
| • 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 | | | |
| Any other information | | | |

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 _____

9 

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 16 

Date

Signature of the Authorised Signatory

INSTRUCTIONS / CHECK LIST

- 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.

- 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.
- Demat master or recent holding statement issued by DP bearing name of the client.
- For individuals:
 - 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.
 - 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.
- For non-individuals:
 - Form need to be initialized by all the authorized signatories.
 - 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.

MANDATORY

RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS

as prescribed by SEBI and Stock Exchanges

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

CLIENT INFORMATION

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

MARGINS

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

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself

MANDATORY

or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.

16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the NSE/BSE/MCX-SX/USE where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the NSE/BSE/MCX-SX/USE where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the NSE/BSE/MCX-SX/USE and the circulars/notices issued thereunder.

BROKERAGE

18. The Client shall pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the NSE/BSE/MCX-SX/USE and/or rules and regulations of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.
21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

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

TERMINATION OF RELATIONSHIP

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

MANDATORY

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

ADDITIONAL RIGHTS AND OBLIGATIONS

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

ELECTRONIC CONTRACT NOTES (ECN)

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

MANDATORY

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

LAW AND JURISDICTION

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

MANDATORY

RIGHTS & OBLIGATIONS OF STOCK BROKERS & CLIENTS FOR MARGIN TRADING FACILITY (MTF)

CLIENT RIGHTS

1. Client shall receive all communications in a mode mutually agreed between the broker and the client regarding confirmation of orders/trades, margin calls, decision to liquidate the position / security.
2. Client shall be free to take the delivery of the securities at any time by repaying the amounts that was paid by the Stock Broker to the Exchange towards securities after paying all dues.
3. Client has a right to change the securities collateral offered for Margin Trading Facility at any time so long as the securities so offered are approved for margin trading facility.
4. Client may close / terminate the Margin Trading Account at any time after paying the dues.

CLIENT OBLIGATIONS

1. Client shall, in writing in his own hand or in any irrefutable electronic method, agree to avail of Margin Trading Facility in accordance with the terms and conditions of Margin Trading Facility offered by the broker, method of communication for confirmation of orders/trades, margin calls and calls for liquidation of collateral/security/position.
2. Client shall inform the broker of its intent to shift the identified transaction under Margin Trading Facility within the time lines specified by the broker failing which the transaction will be treated under the normal trading facility
3. Client shall place the margin amounts as the Stock Broker may specify to the client from time to time.
4. On receipt of 'margin call', the client shall make good such deficiency in the amount of margin placed with the Stock Broker within such time as the Stock Broker may specify.
5. By agreeing to avail Margin Trading Facility with the broker, client is deemed to have authorized the broker to retain and/or pledge the securities provided as collateral or purchased under the Margin Trading Facility till the amount due in respect of the said transaction including the dues to the broker is paid in full by the client.
6. Client shall lodge protest or disagreement with any transaction done under the margin trading facility within the timelines as may be agreed between the client and broker.

STOCK BROKER RIGHTS

1. Stock Broker and client may agree between themselves the terms and condition including commercial terms if any before commencement of MTF.
2. Stock broker may set up its own risk management policy that will be applicable to the transactions done under the Margin Trading Facility. Stock broker may make amendments there to at any time but give effect to such policy after the amendments are duly communicated to the clients registered under the Margin Trading Facility.
3. The broker has a right to retain and/or pledge the securities provided as collateral or the securities bought by the client under the Margin Trading Facility.
4. The broker may liquidate the securities if the client fails to meet the margin call made by the broker as mutually agreed of liquidation terms but not exceeding 5 working days from the day of margin call.

STOCK BROKER OBLIGATIONS

1. Stock broker shall agree with the client the terms and condition before extending Margin Trading Facility to such client. However, for clients who already have existing trading relationship and want to avail of Margin Trading Facility, stock broker may take consent in writing in his own hand or in any irrefutable electronic method after stock broker has communicated the terms and conditions of Margin Trading Facility to such existing clients.
2. The terms and conditions of Margin Trading Facility shall be identified separately, in a distinct section if given as a part of account opening agreement.

MANDATORY

3. The mode of communication of order confirmation, margin calls or liquidation of position/security shall be as agreed between the broker and the client and shall be in writing in his own hand or in any irrefutable electronic method. Stock broker shall prescribe and communicate its margin policies on haircuts/ VAR margins subject to minimum requirements specified by SEBI and exchanges from time to time.
4. The Stock Broker shall monitor and review on a continuous basis the client's positions with regard to MTF. It is desirable that appropriate alert mechanism is set up through which clients are alerted on possible breach of margin requirements.
5. Any transaction to be considered for exposure to MTF shall be determined as per the policy of the broker provided that such determination shall happen not later than T + 1 day.
6. If the transaction is entered under margin trading account, there will not be any further confirmation that it is margin trading transaction other than contract note.
7. In case the determination happens after the issuance of contract, the broker shall issue appropriate records to communicate to Client the change in status of transaction from Normal to Margin trading and should include information like the original contract number and the margin statement and the changed data.
8. The Stock Broker shall make a 'margin call' requiring the client to place such margin; any such call shall clearly indicate the additional/deficient margin to be made good.
9. Time period for liquidation of position/security shall be in accordance declared policy of the broker as applicable to all MTF clients consistently. However, the same should not be later than 5 working (trading) days from the day of 'margin call'. If securities are liquidated, the contract note issued for such margin call related transactions shall carry an asterisk or identifier that the transaction has arisen out of margin call.
10. The daily margin statements sent by broker to the client shall identify the margin/collateral for Margin Trading separately.
11. Margin Trading Accounts where there was no transactions for 90 days shall be settled immediately.
12. The stocks deposited as collateral with the stock broker for availing margin trading facility (Collaterals) and the stocks purchased under the margin trading facility (Funded stocks) shall be identifiable separately and there shall not be any comingling for the purpose of computing funding amount;
13. Stock Broker shall close/terminate the account of the client forthwith upon receipt of such request from the client subject to the condition that the client has paid dues under Margin Trading Facility.

TERMINATION OF RELATIONSHIP

1. The margin trading arrangement between the stock broker and the client shall be terminated; if the Stock Exchange, for any reason, withdraws the margin trading facility provided to the Stock Broker or the Stock Broker surrenders the facility or the Stock Broker ceases to be a member of the stock exchange.
2. The MTF facility may be withdrawn by the broker, in the event of client committing any breach of any terms or conditions therein or at anytime after due intimation to client allowing such time to liquidate the MTF position as per the agreed liquidation terms without assigning any reason. Similarly, client may opt to terminate the margin trading facility in the event of broker committing any breach of any terms or conditions therein or for any other reason.
3. In the event of termination of this arrangement, the client shall forthwith settle the dues of the Stock Broker. The Stock Broker shall be entitled to immediately adjust the Margin Amount against the dues of the client, and the client hereby authorizes the Stock Broker to make such adjustment.
4. After such adjustment, if any further amount is due from the client to the Stock Broker, the client shall settle the same forthwith. Upon full settlement of all the dues of the client to the Stock Broker, the Stock Broker shall release the balance amount to the client.
5. If the client opts to terminate the margin trading facility, broker shall forthwith return to the client all the collaterals provided and funded securities retained on payment of all the dues by clients.

MANDATORY

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//MCX-SX/USE 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//MCX-SX/USE 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//MCX-SX/USE/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//MCX-SX/USE/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/NSE/BSE/MCX-SX/USE.

MANDATORY

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

This document contains important information on trading in Equities/Derivatives Segments of the NSE/BSE/MCX-SX/USE. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the NSE/BSE/MCX-SX/USE.

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

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

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

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

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

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

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

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

1.2 Risk of Lower Liquidity:

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

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

1.3 Risk of Wider Spreads:

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

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1.4 Risk-reducing orders:

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

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

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

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

1.5 Risk of News Announcements:

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

1.6 Risk of Rumors:

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

1.7 System Risk:

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

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

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

1.8 System/Network Congestion:

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

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

2.1 Effect of “Leverage” or “Gearing”:

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

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

A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to

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deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

- B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.
- C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

- 1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
- 2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
- 3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders:

- 1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.
- 2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.4 Risks of Option Writers:

- 1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
- 2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
- 3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

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

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

4. GENERAL

- 4.1** The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.
- 4.2** The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

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

BEFORE YOU BEGIN TO TRADE

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

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on NSE/BSE/MCX-SX/USE' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the NSE/BSE/MCX-SX/USE.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.
 - d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the NSE/BSE/MCX-SX/USE without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is

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dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the NSE/BSE/MCX-SX/USE.

15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the NSE/BSE/MCX-SX/USE.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

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

DISPUTES/ COMPLAINTS

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

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POLICIES & PROCEDURE (MANDATORY)

The policy and procedures as stated herein below may be changed/ updated/ revised from time to time at the sole discretion of Intellect Stock Broking limited, depending upon the regulatory changes risk management framework, other market condition etc. and the same will be available on its website.

A. Refusal of Orders for penny stocks:

Penny stocks are thinly traded shares of small companies which are traded infrequently. It may be difficult to buy/sell Penny stocks. Penny stocks include the equity securities with no active trading market.

For Dealing in penny stock following procedures is being followed:

1. The financial position, background of the client is reviewed.
2. ISBL may require reconfirmation of orders, which are larger than that specified by the risk management

The order of a client shall be refused by the Member when it appears that

1. If the dealing amounts to manipulation of the price of the security.
2. If the dealing creates false or misleading appearance of trading in the securities market.
3. If the dealing in the security is not intended to effect transfer of beneficial ownership but intended to operate only as a device to inflate, depress or cause fluctuations in the price of the penny stock for wrongful gain or avoidance of loss.
4. Based on ISBL risk perception

Provided further that stock broker may require compulsory settlement/advance payment of expected fund pay-in obligation/delivery of securities for settlement prior to acceptance/ placement of order(s) as well. The client agrees that the losses, if any on account of such refusal or due to delay caused by such limits, shall be borne exclusively by the client alone.

B. Setting up of client's exposure limits:

Whilst entering into agreement with the clients and branches we require them to agree to abide by the exposure limits set by us from time to time subject to the availability of funds in their accounts. Client exposure is settled on the basis of financial soundness and turnover position of the client.

1. Limits are set automatically whilst taking into consideration the client's ledger balance, collaterals (given in the mode of cash/ shares), shares lying with us in our holdback account (after due haircut). Apart from the mentioned, client's open and pending positions are also taken into consideration.
2. Dealers are vigilant in executing the client trades and the client saudas are confirmed over phone at the end of the day.
3. Margin Policy - For Cash segments we require a margin of 20% depending upon the risk categorisation of the client.

For Futures and Options margin requirement is as per the exchange norms.

1. As a policy we give an exposure of- intraday 3 times and carry forward 1 time.
2. As per our internal policy, we have bifurcated the clients under 3 categories of risks.
 - a. High Risk: The clients mapped under this category are not given the delivery of their shares till their debits are cleared and a fresh exposure is allowed only till T+5 days after which the limits are blocked till a confirmation of clearance of the debits is received from the client.
 - b. Medium Risk: The clients falling under this risk group are given the exposure wherein the maximum ledger debit is up to Rs 20000, Exposure given on the basis of margins.
 - c. Low Risk: These clients are well known to the company on the basis of their track record. Hence their debits up to a maximum of Rs 50000 are allowed. Simultaneously exposures granted to them are a bit flexible in nature (2 times more the normal exposure norms) on the basis of available margins.
3. Contracts being traded in options are not allowed beyond the first 3 months without prior permission of the management.
4. Holdings in DP accounts registered with ISBL along with POA are not considered while setting the client limits.

C. Applicable Brokerage Rate :

The brokerage rate that would be applicable on the client shall be decided mutually between Intellect Stock Broking Ltd. and client. Such brokerage rate might increase/decrease during the course of time. Any such change would be intimated to the clients before implementing the same. However, the brokerage rate in any case would not exceed maximum brokerage rate of the transaction value as prescribed under SEBI/Exchange regulations.

D. Imposition of Penalty /Delayed Payment:

As per the laws of Exchange /SEBI, the client must make the payment of securities/funds he/ she sold/purchased before the Pay-In date. If the client fails to make the Payment before the said period, Intellect Stock Broking Ltd. may impose penalty or delayed payment charges on the Client. These charges would be intimated separately.

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E. The right to sell client's securities or close client's positions, without giving notice to the client, on account of non-payment of client's dues:

1. If client fails to make the payment of the margin money or pay-in amount, then we would square off his / her / their position and before taking such action in this direction, we telephonically explain all the details to the client about our proposed action in this regard.
2. Principally, company follows the practice of giving reasonable opportunity of being heard and gives a verbal show cause notice to such clients. Thereafter, if company finds after giving reasonable time that the client has failed to pay the money due from him, we square off their position. However, in exceptional cases, like in case of those clients with whom company has a long term bonding and there is reassurance from the concerned client that they will make the payment in due course of time, in such circumstances, company may consider allowing them to continue with their positions. Further, this shall be limited to the extent of settlement / margin obligations.

F. Shortages in obligations arising out of internal netting of trades:

Subject to the rules, regulation and bye-laws of the relevant stock exchange/ SEBI, if the seller of the security, in case of internal netting of trades has failed to deliver the security in the scheduled settlement number in the designated settlement account of the member, the seller has to deliver the security in the designated Auction settlement for scheduled settlement.

However, if the client fails to deliver the shares, then the short delivery is set off at the highest prevailing price in the NSE from the first day of the relevant trading period till the day of close out or 2% above the closing price on auction settlement day, whichever is higher.

G. Conditions under which a client neither may nor be allowed to take further position or the broker may close the existing position of a client:

Notwithstanding anything contained anywhere in this agreement or elsewhere the stock broker is entitled to but not obliged to close existing position of the client or may not be allowed to take further position if the client has failed to meet his obligations and such obligations include but not limited to:

1. If the ledger of a client shows continuous debit balances.
2. If the margin deposited by the client is not according to the exposure of the client or client is not having adequate margin in his account as per broker's norms.
3. If the dues are not settled by the client.
4. If the exchange is not allowing any further position in that scrip.
5. If broker's limit of taking exposure in that particular scrip comes to an end.
6. If the client's Mark to Market (MTM) percentage reaches or crosses 25% of margin available.
7. If the client failing in keeping margin in desired form.
8. If the client profile does not justify such further position.

The client is aware and agrees that such refusal or closer of existing open position by stock broker may lead to losses/opportunity loss by the client and that such loss shall entirely and exclusively be borne by the client and the stock broker shall not be held responsible for such losses.

H. Temporarily suspending or closing a client's account at the client's request:

1. The account of the client shall be suspended/ closed on receipt of written request from the client specifying the reasons to close the account. If the reasons given are justified then the account of that client is suspended after effecting the settlement of the account.
2. The Trading Member can withhold the pay out of Client and suspend his trading amount due to his surveillance action or judicial or/and regulatory order/action requiring client suspension.

I. Deregistration of a client:

A client shall be deregistered upon fulfillment of the following conditions :

1. On receipt of the specific request from the client to deregister himself and to close his accounts.
2. If the action of the Client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal / proper functioning of the market, either alone or in conjunction with others.
3. If there is any commencement of a legal process against the Client under any law in force;
4. On the death/lunacy or other disability of the Client;
5. If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;

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6. If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
7. If the Client being a partnership firm, has any steps taken by the Client and/ or its partners for dissolution of the partnership;
8. If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
9. If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
10. If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
11. If the Client suffers any adverse material change in his / her / its financial position or defaults in any other agreement with the Trading Member;
12. If the Client is in breach of any term, condition or covenant of this Agreement;
13. If any covenant or warranty of the Client is incorrect or untrue in any material respect;

However notwithstanding any termination of the agreement, all transactions made under / pursuant to this agreement shall be subject to all the terms and conditions of this agreement and parties to this agreement submit to exclusive jurisdiction of courts of law at the place of execution of this agreement by Trading Member.

Client Acceptance of Policies and Procedures stated herein above:

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through any one or more means or methods such as post / speed post / courier / registered post / registered A.D. / facsimile / telegram / cable / e-mail / voice mails / telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device: by messaging on the computer screen of the client's computer; by informing the client through employees agents of the Trading Member; by publishing / displaying it on the website of the Trading Member / making it available as a download from the website of the Trading Member; by displaying it on the notice board of the branch / office through which the client trades or if the circumstances, so require, by radio broadcast/television broadcast newspapers advertisements etc; or any other suitable or applicable mode or manner I/we agree that the postal department / the courier company /newspaper company and the e-mail / voice mail service provider and such other service providers shall be my/our agent and the delivery shall be complete when communication is given to the postal department / the courier company / the e-mail /voice mail service provider, etc. by the Trading Member and I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me/ us and Trading Member before any court of law / judicial/ adjudicating authority including arbitrator/ mediator etc.

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Client's Signature (with rubber stamp)

ELECTRONICALLY ☐

(If Partner, Corporate, or other Signatory, then attest with company seal.)

PHYSICALLY ☐

Date :

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Tariff Sheet

| SEGMENT | Intraday | | Delivery | |
|----------------------|----------|---------------|----------|---------------|
| | % | Minimum Paisa | % | Minimum Paisa |
| NSE - Capital Market | | | | |
| NSE - Future | | | | |
| BSE - Capital Market | | | | |
| BSE - Future | | | | |

| SEGMENT | Per Lot | |
|--------------|---------|------|
| | Buy | Sell |
| NSE - Option | | |
| BSE - Option | | |
| NSE-Currency | | |
| MCX-SX | | |
| USE | | |

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.

1. 

Client's Signature

Non-Mandatory

NON - MANDATORY

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. With reference to my/our trading account opened with you, I/we request you to maintain a running account for funds and securities on my/our behalf without settling the account on settlement of each transaction. I/We further request you to retain all amounts and securities receivable by me/us until specifically requested by me/us to be settled or to be dealt with in any other manner.
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 7 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,

10 

Signature of the Client

NON - MANDATORY

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,

1. 
Signature

Client Code: _____

NON - MANDATORY

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

20  _____
Client's Signature

Client's Name

**FOR OFFICE
USE ONLY**

RISK CATEGORY: ☐ High ☐ Medium ☐ Low ☐ Very Low

NON - MANDATORY

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 :

.....

Client Signature : 

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

MANDATE FOR AUTHORIZED REPRESENTATIVE

We are having a trading account bearing client code _____ with INTELLECT STOCK BROKING LIMITED do hereby authorize Mr./Ms _____, being our

_____ R/o _____ herein after referred to as authorized representative whose signature is given below, to trade on my behalf and I further accept that all obligations arising out of trades executed by such person will be met by me. Further, I authorize you to accept all instructions, from such person pertaining to settlement of transactions in our account.

I also undertake to indemnify INTELLECT STOCK BROKING LIMITED for all dues, penalties, and incidental expenses relating to, and arising out of and in connection with transactions pertaining to trading account no. _____ with INTELLECT STOCK BROKING LIMITED and operated by my authorized representative Mr / Mrs. _____.

Place :

Date :



(Signature of Mandate Holder) Attested

Authorised Signature of Authorised Representative

Note: In case the client does not sign this mandate, orders, instructions and payment / transfer advises shall not be accepted in the client account from the person (s) other than the client.

NON - MANDATORY

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:

- ☐ Our company is a Listed Company listed / Subsidiary or Controlled by a Listed Company
[If this category is selected, no need to provide UBO details]
- ☐ Unlisted Company ☐ Partnership Firm / LLP ☐ Unincorporated Association / Body of Individuals
☐ Public Charitable Trust ☐ Private Trust ☐ Religious Trust
☐ Trust created by a Will ☐ HUF ☐ 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 

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.

NON - MANDATORY

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.

24 
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 25 

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 26 

NON-MANDATORY

| Intellect Money | | FATCA & CRS Declaration - Individual | |
|--|---------|--|--|
| PAN | | Trading | |
| DP Code | | | |
| Name | | | |
| Place of Birth | | Country of Birth | |
| Nationality | | | |
| Annual Income <input type="checkbox"/> Below Rs. 1 Lac <input type="checkbox"/> Rs. 1 Lac to 5 Lac <input type="checkbox"/> Rs. 5 Lac to 19 Lac
<input type="checkbox"/> Rs. 10 Lac to 25 Lac <input type="checkbox"/> Rs. 25 Lac to 1 Crore <input type="checkbox"/> > Rs. 1 Crore | | | |
| Net Worth Amount Rs Net Worth as on
<i>(Net worth should not be older than 1 year)</i> | | | |
| Occupational <input type="checkbox"/> Business <input type="checkbox"/> Private Sector <input type="checkbox"/> Professional <input type="checkbox"/> Government Service
Detail <input type="checkbox"/> Agriculture <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer
<input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Others _____ | | | |
| Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP) <input type="checkbox"/> | | | |
| Are you a tax resident of any country other than India <input type="checkbox"/> Yes <input type="checkbox"/> No | | | |
| If yes please indicates the all countries in which you are resident for tax purpose and the associated Tax ID number below. | | | |
| Sr. No. | Country | Tax Identification Number | Identification Type
<i>(TIN or Other, Please specify)</i> |
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 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 Ltd 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). | | | |
| Sign here | | <div style="border: 1px solid black; width: 150px; height: 40px; margin-top: 10px;"></div> | |
| Date | | Place | |
| 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 th Floor
Near Girish Park Crossing, Kolkata – 700 006. | | | |
| For Detail Terms & Conditions please visit www.intellectmoney.com | | | |

NON-MANDATORY

| | | | | | | | | | | | | |
|---|--|--|--|---|---|--|--|--|--|--|--|--|
| Intellect Money | | FATCA & CRS Declaration - Non Individual | | | | | | | | | | |
| 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 1 of Part C) or Direct reporting NFE (Refer 3(vii) of Part C) (please tick as appropriate) | | | | GIIN
Note: 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 | | | | | | | |
| GIIN not available (Please tick as applicable) | | | | Applied for Not obtained – Not-participating FI
Not required to apply for - please specify 2 digit sub-category (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 (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 (if yes, please specify any one stock exchange on which the stock is regularly traded)
Name of listed company
Nature of relation Subsidiary of the Listed Company or Controlled by a Listed Company
Name of stock exchange | | | | | | | |
| 3 | Is the Entity an active NFE (Refer 2c of Part C) | | | | Yes Name of Business
Please specify the sub-category of Active NFE (Mention code - refer 2c of Part C) | | | | | | | |
| 4 | Is the Entity an active NFE (Refer 3(ii) of Part C) | | | | Yes 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) | | | | | | | | | | | | |

NON - MANDATORY

| Details | UBO1 | UBO2 | UBO3 |
|----------------------------------|--|--|--|
| Name of UBO | | | |
| UBO Code (Refer 3(iv) of Part C) | | | |
| Country of Tax residency* | | | |
| PAN# | | | |
| Address | Zip <input style="width: 150px;" type="text"/>
State _____
Country _____ | Zip <input style="width: 150px;" type="text"/>
State _____
Country _____ | Zip <input style="width: 150px;" 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:

Date :

Place

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, 7th Floor
 Near Girish Park Crossing, Kolkata – 700 006.

For Detail Terms & Conditions please visit www.intellectmoney.com

DEMAT ACCOUNT

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT FOR INDIVIDUAL

Intellect Money

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

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 | | 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)

| | | | | | | | | | | | | | | | | | | |
|--------------------------------|---|--------------------------------|---|--|------------------------------|------------------------------|-------------------------------------|---|-------------------|---------------------------------|---|---|---|---|---|---|---|--|
| Status | <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 | Sub-Status (To be filled by the DP) | | | | | | | | | | | |
| | <input type="checkbox"/> CM | <input type="checkbox"/> FI | <input type="checkbox"/> Clearing House | <input type="checkbox"/> Other (Specify) _____ | | | | | | | | | | | | | | |
| Date of Incorporation | D | D | M | M | Y | 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.
 -In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

OTHER DETAILS

| | |
|------------------------------------|--|
| Gross Annual Income Details | Income Range per annum :
<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) D D M M Y Y Y Y Rs. _____ (Net worth should not be older than 1y ear) |
| Please tick | 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 |
| Occupation | <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) _____ |
| Please tick, if applicable | <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP) |
| Any other information | |

| SMS Alert Facility
(Refer to Terms & Conditions given as Annexure 2.4) | Mobile No. +91 _____
[(Mandatory, if you are giving Power of Attorney / POA)]
(if POA is not granted & you do not wish to avail of this facility, cancel this option.) | | | | | | | | | | |
|--|---|--------------------------------|--------------------------|----------------------|--------------------------------|--|--|--|--|--|--|
| Transactions Using Secured Texting Facility (TRUST) . Refer to Terms and Conditions Annexure - 2.6 | I wish to avail the TRUST facility using 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;"> <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> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </table> | | Sotck Exchange Name / ID | Clearing Member Name | Clearing Member ID (Optoional) | | | | | | |
| Sotck Exchange Name / ID | Clearing Member Name | Clearing Member ID (Optoional) | | | | | | | | | |
| | | | | | | | | | | | |
| | | | | | | | | | | | |
| Easi | To register for easi, please visit our website www.cdslindia.com
Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online. | | | | | | | | | | |

NOMINATION DETAILS

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

- ☐ I/We **do not wish to nominate any one for this demat account.**
- ☐ I/We **nominate** the following person who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of my/our death.

| | |
|-------------------------|-------------------|
| | |
| Nomination Registration | Date (dd-mm-yyyy) |

Photograph of Nominee

Passport size photograph
(Please sign across
the photograph)

Photograph of Guardian (in case of Nominee is minor)

Passport size photograph
(Please sign across
the photograph)

| | | | | | | | |
|---|---|---|---|---|----------|---|---|
| Full Name of the Nominee | | | | | | | |
| Address | | | | | | | |
| City | | | | | | | |
| Country | | | | | State | | |
| Telephone No. | | | | | PIN Code | | |
| PAN | | | | | Fax No. | | |
| E-mail ID | | | | | UID | | |
| Relationship with BO (if any) | | | | | | | |
| Date of birth (mandatory if nominee is a minor) | D | D | M | M | Y | Y | Y |
| Signature of Nominee | | | | | | | |

As the nominee is a minor as on date, to receive the securities in this account on behalf of the nominee in the event of the death of the Sole holder / all Joint holders, I / We appoint following person to act as **Guardian** :

| | | | | | | | |
|---------------------------------------|--|--|--|--|----------|--|--|
| Full Name of Guardian of Nominee | | | | | | | |
| Address | | | | | | | |
| City | | | | | | | |
| Country | | | | | State | | |
| Telephone No. | | | | | PIN Code | | |
| E-mail ID | | | | | Fax No. | | |
| Relationship of Guardian with Nominee | | | | | | | |




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

Note : Two witnesses shall attest signature(s) / thumb impression(s)

Details of the Witness

| | First Witness | Second Witness |
|----------------------|---------------|----------------|
| Name | | |
| 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.

| | First / Sole Holder or
Guardian (in case of Minor) | Second Holder | Third Holder |
|-----------|--|--|--|
| Name | | | |
| Signature | 29  | 29  | 29  |

(Signatures should be preferably in black ink)

[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 / Wholesome Director s | 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 |  |  |  |

(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



Name _____

Address _____

RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT

General Clause

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

Beneficial Owner information

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

Fees/Charges/Tariff

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

Dematerialization

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

Separate Accounts

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

Transfer of Securities

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

Statement of account

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

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Signature of the 1st Holder

32 

Signature of the 2nd Holder

32 

Signature of the 3rd Holder

Manner of Closure of Demat account

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

Default in payment of charges

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

Liability of the Depository

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

Freezing/ Defreezing of accounts

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

Redressal of Investor grievance

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

Authorized representative

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

Law and Jurisdiction

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

39 

Signature of the 1st Holder

39 

Signature of the 2nd Holder

39 

Signature of the 3rd Holder

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. 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.

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

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warrant 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.

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.

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.

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)

| | | | | | | | | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| | | | | | | | | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|

(Please write your 8 digit DP ID)

(Please write your 8 digit Client ID)

Sole / First Holder's Name :

Second Holder's Name :

Third Holder's Name :

[illegible]


(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)

34 Sole / First Holder

3  _____
Second Holder

34  _____
Third Holder

Place : _____

Date : _____

ANNEXURE -

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 | | | |

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 | | | |

ANNEXURE -

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 is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
 9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO / CM should approach their DPs to ensure that the obligations are 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 through any other means such as electronic mail or written communication.
 16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.

17. Indemnity :



In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

18. Disclaimer :

Depository shall be absolved of any liability in case :

- a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
- b. There is any lapse or failure on the part of the service providers or any third party affecting the said facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
- c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the facility.

FOR BOTH INDIVIDUAL & NON-INDIVIDUAL

| | | | | | |
|---|----|---|--|---|--|
|  | | Central Depository Services (India) Ltd. (CDSL)
28th Floor, P.J. Towers, Dalal Street
Mumbai - 400 023, Phone: 22723333 Fax : 91 22 2723199
Electronic Access to Securities Information (easi)
Registration Form-Beneficial Owner (BO) | | 
CDSL
Your Depository | |
| Name of the Beneficial Owner(s) | 1. | | | | |
| | 2. | | | | |
| | 3. | | | | |
| Beneficial Owner ID | | | | | |
| Login Id | | | | | |
| DP Name | | INTELLECT STOCK BROKING LIMITED | | | |
| DP ID | | 12066400 | | | |
| DP Address | | 232, Chittaranjan Avenue, 7th Floor, Kolkata-700 006 | | | |
| E-mail Address of the BO
(compulsory and it should be correct) | | | | | |
| Tel. No. : | | | | | |
| Mobile : | | | | | |

I/We would like to register above mentioned account for the *easi* service. I/We am/are aware that *easi* service is available to me/us which only enables me/us to view the security balances lying in the said accounts. I/We hereby agree to the terms and conditions that I/We have read earlier for availing the said service.

Date

Place

Signature(s)

| | | |
|--|---|--|
| 
First Holder | 
Second Holder | 
Third Holder |
|--|---|--|

This is to certify that

1. _____ 2. _____ 3. _____

Date Place

are maintaining BO A/c no. 12066400 with us. We have verified the signatures of the said account holders and they match with the specimen signatures as per our records.

Date

Place

Signature (Authorised Signatory & Stamp of DP)

Dear Sir / Madam

Please fill up this form by following the guidelines as given below for viewing your holding through internet.

- Please leave the login id blank. It will be provided by us.
- Password will be sent by CDSL directly to your mail id.
- For viewing holding in future, go to the site www.cdslindia.com, put your login id (which will be provided by us) and password (which will be provided by CDSL) and then you can view your holding.

✂

ACKNOWLEDGEMENT RECEIPT

DP ☐

(To be filled by the Depository Participant)

Application No. :

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

Date **DDMMYY**

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

Depository Participant Seal and Signature

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 Service Tax |
| 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. 1100/- 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.

30 _____
Signature of First / Sole Holder

30 _____
Signature of Second Holder

30 _____
Signature of Third Holder



DP ☐ Trading ☐

ACKNOWLEDGMENT RECEIPT

DP ID : 12066400

(To be filled by the Depository Participant)

Application No. :

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

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

Date

| | |
|---------------------------------|--|
| 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. INB 2312963535, INF 231296535 and a member of Bombay Stock Exchange Ltd., bearing SEBI Regn. No. INB 011296531 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 ABOVENAMED 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 the securities laying in the Client(s) account in its own favour and /or in favour of the designated custodians, clearing houses/corporations and stock exchange, 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.

- 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 writing 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 37a
2. _____ Sign 37b
3. _____ Sign 37c

ANNEXURE:

CDSL NSE POOL A/C : 1206640000003094

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 30 

Client Name

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