

## CLIENT REGISTRATION FORM

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

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

### **INA STOCK BROKING CO. PVT. LTD.**

CIN : U67120MH1997PTC112247

**MEMBER : BOMBAY STOCK EXCHANGE LIMITED.**

**MEMBER : NATIONAL STOCK EXCHANGE OF INDIA LIMITED.**

Stock Exchange, PM-16, Mezzanine Floor, Rotunda Bldg.,

Mumbai Samachar Marg, Fort, Mumbai - 400 001.

Tel No.: 3027 6120 - 25 Fax : 2272 1760

**Annexure - 1**  
**ACCOUNT OPENING KIT**  
**INDEX OF DOCUMENTS**

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**VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER**

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**INA STOCK BROKING CO. PVT. LTD.**

BSE CLEARING NO.: 217 • NSE CLEARING NO.:09955

CASH SEGMENT : BSE SEBI Regn. No. : INB010995530

• NSE SEBI Regn. No. : INB230995533

DERIVATIVES SEGMENT : BSE SEBI Regn. No. : INF

• NSE SEBI Regn. No. : INF230995533

DERIVATIVES CLEARING NO.: M51823

Stock Exchange, PM-16, Mezzanine Flr., Rotunda Bldg., M. S. Marg, Fort, Mumbai - 01. Tel.: 3027 6120-25 Fax : 2272 1760

**EDELWEISS CUSTODIAL SERVICES LIMITED**

EDELWEISS HOUSE, OFF CST ROAD, KALINA, MUMBAI, PIN-400098

NSE F & O : ESL SEBI Regn. No. : INF231193310

NSE F & O CLEARING NO.: M51118

Compliance officer (BSE) : **MR. HITESH A. FOZDAR**

Compliance officer (NSE) : **MR. HITESH A. FOZDAR**

Phone no. : +91 22 3027 6120

Phone no. : +91 22 3027 6121

Email Id : pcomplianceina@gmail.com

Email Id : inacompliance@gmail.com

For any grievance/dispute please contact **INA STOCK BROKING CO. PVT. LTD.** at the above mentioned address and phone nos. **+91 22 3027 6120** or email id: **ina217@gmail.com**. In case not satisfied with our response, please contact :

BSE at: is@bseindia.com and Phone No. +91 22 2272 8097 NSE at: ignse@nse.co.in and Phone No. +91 22 2659 8190

**INA STOCK BROKING CO. PVT. LTD.**

**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.



<b>For office use only</b> <i>(To be filled by financial institution)</i>	Application Type* <input type="checkbox"/> New <input type="checkbox"/> Update
	KYC Number <input style="width: 100px;" type="text"/> <i>(Mandatory for KYC update request)</i>
	Account Type* <input type="checkbox"/> Normal <input type="checkbox"/> Simplified (for low risk customers) <input type="checkbox"/> 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 style="width: 30px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>
Maiden Name (If any*)	<input style="width: 30px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>
Father / Spouse Name*	<input style="width: 30px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>
Mother Name*	<input style="width: 30px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>
Date of Birth*	<input style="width: 20px;" type="text"/>	<input style="width: 20px;" type="text"/>	-	<input style="width: 20px;" type="text"/>
Gender*	<input type="checkbox"/> M-Male <input type="checkbox"/> F-Female <input type="checkbox"/> T-Transgender			
Marital Status*	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others			
Citizenship*	<input type="checkbox"/> IN-Indian <input type="checkbox"/> Others (ISO 3166 Country Code <input style="width: 20px;" 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-Busienss <input type="checkbox"/> X-Not Categories			

PHOTO

Signature / Thumb Impression

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

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

ISO 3166 Country Code of Jurisdiction of Residence\*

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

Place / City of Birth\*  ISO 3166 Country Code of Birth\*

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

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

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

**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\*  Resident / Business  Residential  Business  Registered Office  Unspecified

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

Voter Identity Card  NREGA Job Card  Others

Simplified Measures Account-Document Type code

**Address**

Line 1\*

Line 2\*

Line 3\*

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

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

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

Line 1\*

Line 2

Line 3  City / Town / Village\*

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

**4.3 ADDRESS IN THE WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES\*** (Applicable if section 2 is ticked)

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

Line 1\*

Line 2

Line 3  City / Town / Village\*

State\*  ZIP / Post Code\*  ISO 3166 Country Code\*

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

Tel. (Off)   Tel. (Res)   Mobile

FAX   Email ID

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

Addition of Related Person  Deletion of Related Person KYC Number of Related Person (if available\*)

Related Person Type\*  Guardian of Minor  Assignee  Authorized Representative

Name\* Prefix  First Name  Middle Name  Last Name

(If KYC number and name are provided, below details of section 6 are optional)

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

A- Passport Number  Passport Expiry Date  -  -

B- Voter ID Card

C- PAN Card

D- Driving Licence  Driving Licence Expiry Date  -  -

E- UID (Aadhaar)

F- NREGA Job Card

Z- Others (any document notified by the central government)  Identification Number

S- Simplified Measures Account - Document Type code  Identification Number

**7. REMARKS (if any)**

**8. APPLICANT DECLARATION**

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number /email address.

Date  -  -  Place:

(Signature / Thumb Impression)

Signature / Thumb Impression of Applicant

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

Documents Received  Certified Copies

**KYC VERIFICATION CARRIED OUT BY**

Date  -  -

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

(Employee Signature)

**INSTITUTION DETAILS**

Name

Code

(Institution Stamp)

**General Instructions:**

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

**A Clarification / Guidelines on filling ‘Personal Details’ section**

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

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

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

**C Clarification / Guidelines on filling ‘Proof of Identity [PoI]’ section**

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

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

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

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

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

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

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

**F Clarification / Guidelines on filling ‘Contact details’ section**

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

**G Clarification / Guidelines on filling ‘Related Person details’ section**

- 1 Provide KYC number of related person if available.

**H Clarification / Guidelines on filling ‘Related Person details – Proof of Identity [PoI] of Related Person’ section**

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

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

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

**List of ISO 3166 two- digit Country Code**

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent 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		

**KNOW YOUR CLIENT (KYC) APPLICATION FORM**

*For Individuals*

<b>PHOTOGRAPH</b>
Please affix your recent passport size photograph and sign across it
<b>S</b>

Please fill this form in ENGLISH and in BLOCK LETTERS.

**A. IDENTITY DETAILS**

1. Name of the Applicant : \_\_\_\_\_
2. Father's/Spouse Name : \_\_\_\_\_
3. a) Gender: Male/Female b) Marital Status : Single/Married  
c) Date of Birth: \_\_\_\_\_ (dd/mm/yyyy)
4. a) Nationality: \_\_\_\_\_ b. Status : Resident Individual / Non-Resident / Foreign National
5. a) PAN : \_\_\_\_\_ b) Aadhaar Number, if any : \_\_\_\_\_
6. Specify the proof of identity submitted : \_\_\_\_\_

**B. ADDRESS DETAILS**

1. Residence Address : \_\_\_\_\_  
 \_\_\_\_\_ City/Town/Village: \_\_\_\_\_  
 Pin Code: \_\_\_\_\_ State : \_\_\_\_\_ Country : \_\_\_\_\_
2. Contact Details: Tel. (Off.) \_\_\_\_\_ Tel.(Res.) \_\_\_\_\_ Fax: \_\_\_\_\_  
 Mobile No.: \_\_\_\_\_ Email Id : \_\_\_\_\_
3. Specify the proof of address submitted for residence address : \_\_\_\_\_
4. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant): \_\_\_\_\_  
 \_\_\_\_\_ City/Town/Village: \_\_\_\_\_  
 Pin Code: \_\_\_\_\_ State : \_\_\_\_\_ Country : \_\_\_\_\_

**DECLARATION**

I hereby declare that the details furnished above are true & 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.

\_\_\_\_\_  
Signature of the Applicant

Date: \_\_\_\_\_ (dd/mm/yyyy)

**FOR OFFICE USE ONLY**

Originals verified and Self-Attested Document copies received

(.....)  
Name & Signature of the Authorised Signatory

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

Seal/Stamp of the intermediary

**KNOW YOUR CLIENT (KYC) APPLICATION FORM**

*For Non-Individuals*

Please fill this form in ENGLISH and in BLOCK LETTERS.



**A. IDENTITY DETAILS**

- 1. Name of the Applicant : \_\_\_\_\_
- 2. Date of incorporation : \_\_\_\_\_ (dd/mm/yyyy) &  
Place of Incorporation \_\_\_\_\_
- 3. Date of commencement of business: \_\_\_\_\_
- 4. a) PAN : \_\_\_\_\_ b) Registration No. (e.g. CIN) : \_\_\_\_\_
- 5. Status (please tick any one):  
 Private Limited Co.  Public Limited Co.  Body Corporate  Partnership  Trust  Charities  NGO's  FI  FII  
 HUF  AOP  Bank  Government Body  Non-Government Organization  Defense Establishment  BOI  
 Society  LLP  Others (please specify) \_\_\_\_\_

**B. ADDRESS DETAILS**

- 1. Address for correspondence : \_\_\_\_\_  
 \_\_\_\_\_ City/Town/Village: \_\_\_\_\_  
 Pin Code: \_\_\_\_\_ State : \_\_\_\_\_ Country : \_\_\_\_\_
- 2. Contact Details: Tel. (Off.) \_\_\_\_\_ Tel.(Res.) \_\_\_\_\_ Fax: \_\_\_\_\_  
 Mobile No.: \_\_\_\_\_ Email Id : \_\_\_\_\_
- 3. Specify the proof of address submitted for correspondence address : \_\_\_\_\_
- 4. Registered Address (if different from above): \_\_\_\_\_  
 \_\_\_\_\_ City/Town/Village: \_\_\_\_\_  
 Pin Code: \_\_\_\_\_ State : \_\_\_\_\_ Country : \_\_\_\_\_

**C. OTHER DETAILS**

- 1. Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors:  
 \_\_\_\_\_
- 2. a) DIN of whole time directors: \_\_\_\_\_  
 b) Aadhar number of Promoters/Partners/Karta : \_\_\_\_\_

**DECLARATION**

I/We hereby declare that the details furnished above are true & 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.

\_\_\_\_\_  
Name & Signature of the Authorised Signatory

Date: \_\_\_\_\_ (dd/mm/yyyy)

**FOR OFFICE USE ONLY**

Originals verified and Self-Attested Document copies received

(.....)  
Name & Signature of the Authorised Signatory

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

Seal/Stamp of the intermediary





## 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/ OCI 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, 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 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.



## 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/ OCI 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, 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 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.

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

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

**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 \_\_\_\_\_

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

Name & Signature of the Authorised Signatory(ies)

Date: / /

PEP: Politically Exposed Person

RPEP: Related to Politically Exposed Person

**DECLARATION BY HUF**

Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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

To,  
**INA STOCK BROKING CO. PVT. LTD.**

Dear Sir,

We, the undersigned members of \_\_\_\_\_ (HUF)

are desirous of Opening Account in the above-mentioned name with you. The said account will be operated by \_\_\_\_\_ (Karta) on behalf

of \_\_\_\_\_ (HUF). We hereby undertake that all the transaction undertaken by the said HUF shall be binding not only the present members of the said joint family (both adults and minor) but also on all future members thereof (both adults and minor) and all persons entitled to a share therein and ourselves personally.

Also that whenever any change occurs in the management or in the constitution of the said joint family of the whatsoever nature, we undertake to give notice thereof to you.

Thanking you,

Yours faithfully,

Members of \_\_\_\_\_

Sr. No.	Name of Member	Relationship	Date of Birth	Signature	Sex
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					

Client Signature \_\_\_\_\_



## Annexure - 3

### TRADING ACCOUNT RELATED DETAILS

*For Individuals & Non-Individuals*

#### A. BANK ACCOUNT(S) DETAILS

1. Bank Name : \_\_\_\_\_
2. Branch Address :: \_\_\_\_\_
3. Bank Account No. : \_\_\_\_\_
4. Account Type :  Saving  Current  Others - In case of  NRI  NRE  NRO
5. MICR No. : \_\_\_\_\_
6. IFSC Code : \_\_\_\_\_
7. Authority to remit funds payout Electronically into Client Bank Account ( Yes  No) :

#### B. DEPOSITORY ACCOUNT(S) DETAILS

1. Depository Participant Name : \_\_\_\_\_
2. Depository Name :: NSDL / CDSL
3. Beneficiary Name : \_\_\_\_\_
4. DP ID : \_\_\_\_\_
5. Beneficiary ID (BO ID) : \_\_\_\_\_

#### C. TRADING PREFERENCES

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

Exchange	Segments		Exchange	Segments	
BSE	Cash	<input checked="" type="checkbox"/>	NSE	F&O	<input checked="" type="checkbox"/>

1. # If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter would 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/Authorised 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/ Remisier/AP, provide the following details:
- Sub-broker/Remisier/AP Name : \_\_\_\_\_ Sebi Registration No. : \_\_\_\_\_
- Registered Office Address : \_\_\_\_\_
- Phone : \_\_\_\_\_ Fax : \_\_\_\_\_ Website : \_\_\_\_\_
- Whether dealing with any other stock broker/sub-broker (In 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. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) : \_\_\_\_\_  
Specify your Email id, if applicable : \_\_\_\_\_
- Whether you wish to avail of the facility of internet trading/wireless technology (please specify) : \_\_\_\_\_
- Number of years of Investment/Trading Experience : \_\_\_\_\_
- In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorised to deal in securities on behalf of company/firm/others :

Sr. No.	Name of the Signatories	Signature	Designation	PAN No.

- Any other information : \_\_\_\_\_

## G. INTRODUCER DETAILS (Optional)

- Name of the Introducer : \_\_\_\_\_  
(Surname) (Name) (Middle Name)
- Status of the Introducer : Sub-broker/Remisier/Authorized Person/Existing Client/Other, please specify \_\_\_\_\_
- Address & Phone of the Introducer : \_\_\_\_\_  
: \_\_\_\_\_
- Signature of the of the Introducer : \_\_\_\_\_

## H. NOMINATION DETAILS (for individual only)

- I/We wish to nominate  I/We do not wish to nominate
- Name of the Nominee : \_\_\_\_\_
- Relationship with the Nominee : \_\_\_\_\_
- PAN of Nominee : \_\_\_\_\_ Date of Birth of Nominee : \_\_\_\_\_
- Address and phone no. of the Nominee : \_\_\_\_\_  
: \_\_\_\_\_

### If Nominee is a minor, details of guardian:

- Name of the Guardian : \_\_\_\_\_
- Address and phone no. of the Guardian : \_\_\_\_\_  
: \_\_\_\_\_
- Signature of the of the Guardian : \_\_\_\_\_

### WITNESSES (Only applicable in case the account holder has made nomination)

- |                   |                   |
|-------------------|-------------------|
| Name : _____      | Name : _____      |
| Signature : _____ | Signature : _____ |
| Address : _____   | Address : _____   |
| Address : _____   | Address : _____   |



**DECLARATION :**

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

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

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

\_\_\_\_\_  
**Signature of the Client (all) Authorised 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.

**S** \_\_\_\_\_  
**Signature of the Authorised Signatory**

**Seal/Stamp of the stock broker**

Date \_\_\_\_\_

## **Annexure - 4**

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

*as prescribed by SEBI and Stock Exchanges*

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

#### **CLIENT INFORMATION**

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

#### **MARGINS**

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

#### **TRANSACTIONS AND SETTLEMENTS**

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).

17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

#### **BROKERAGE**

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

#### **LIQUIDATION AND CLOSE OUT OF POSITION**

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

#### **DISPUTE RESOLUTION**

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

#### **TERMINATION OF RELATIONSHIP**

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

#### **ADDITIONAL RIGHTS AND OBLIGATIONS**

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in

respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.

31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

#### **ELECTRONIC CONTRACT NOTES (ECN)**

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

#### **LAW AND JURISDICTION**

43. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is

executed, that may be in force from time to time.

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

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

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

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



## Annexure - 5

### **RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS**

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

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

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

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

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

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

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

#### **1. BASIC RISKS:**

##### **1.1 Risk of Higher Volatility:**

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

##### **1.2 Risk of Lower Liquidity:**

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

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

##### **1.3 Risk of Wider Spreads:**

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

##### **1.4 Risk-reducing orders:**

The placing of orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain amounts may not

be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

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

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

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

## 1.5 **Risk of News Announcements:**

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

## 1.6 **Risk of Rumors:**

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

## 1.7 **System Risk:**

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

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

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

## 1.8 **System/Network Congestion:**

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

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

### 2.1 **Effect of “Leverage” or “Gearing”:**

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

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

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

B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker



may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

- C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

## **2.2 Currency specific risks:**

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

## **2.3 Risk of Option holders:**

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

## **2.4 Risks of Option Writers:**

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

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

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

## **4. GENERAL**

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

## **Annexure - 6**

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

#### **BEFORE YOU BEGIN TO TRADE**

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

#### **TRANSACTIONS AND SETTLEMENTS**

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

## **IN CASE OF TERMINATION OF TRADING MEMBERSHIP**

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

## **DISPUTES/ COMPLAINTS**

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

## **POLICIES & PROCEDURES OF INA STOCK BROKING CO. PVT. LTD.**

**INA STOCK BROKING CO. PVT. LTD. (herein after called 'ISBCPL') has specific Operational Policies & procedures in place for smooth operations & Risk management which are listed as follows**

### **1. Refusal of orders for penny stocks:**

A stock that trades at a price which is less than Face or paid-up value is considered as penny stock. ISBCPL does not encourage trading in penny stocks or securities falling in T2T or Z group or illiquid stocks & reserves its right to refuse, prohibit or restrict or impose or vary limits on the orders that the client can place in all or some of the penny stocks and Illiquid Stocks. Exchange provide the list of illiquid securities on a periodic basis & the same is available at the website of exchange

Under exceptional circumstances and considering merits on case to case basis, trading in penny stocks/T2T/Z GROUP/Illiquid Stocks may be allowed to clients subject to stringent verifications of the client's intentions and bona fide reasons given by intending clients. Further trading limits will be allowed subject to history and financial details of the client, Intention of doing the trades and 100% upfront payment. The said trading limits may not be allowed to clients on a regular basis.

ISBCPL reserves its rights to suspend the client account if it is observed that the client is indulging in trading activities only in penny stocks/T2T/Z GROUP/Illiquid stocks or carrying on any insider trading activity, without any reasons being given to the client.

### **2. Setting up client's exposure limits:**

ISBCPL uses trading software provided by BSE LTD./NSE LTD. where feature of setting up individual client limit is not available hence ISBCPL will setup client exposure limits manually based on the relationship, track record, financial detail & credit worthiness of the client. Compliance officer of the ISBCPL will continuously monitor the limit & in case of any increase in the limit required then compliance officer would first check the need for doing so & would then increase the limits on the case to case basis at his own discretion. The exposure limit will defer from client to client at the discretion of the ISBCPL.

ISBCPL may need to vary or to reduce the limits or impose restrictions urgently on the basis of ISBCPL's risk perception and other factors consider relevant by ISBCPL, ISBCPL may be unable to inform the client of such variation, reduction or imposition in advance. ISBCPL shall not be responsible for such variation, reduction or imposition or loss of opportunity by client or client's inability to place orders.

### **3. Applicable brokerage rate:**

ISBCPL will charge brokerage to client at a rate mutually agreed between them subject to minimum brokerage of RS 50/- per scrip Or minimum RS 100/- per contract which ever is higher, however brokerage will always be charged within the limit prescribed by SEBI/exchange. ISBCPL may specify different brokerages for executing transaction for different clients

In addition to brokerage ISBCPL will charge other charges like Transaction charges, stamp duty, service tax, security transaction tax (STT), SEBI turnover charges etc. as may be applicable from time to time.

### **4. Imposition of penalty/delayed payment charges by either party:**

ISBCPL reserves its right to pass on any penalty charged by SEBI/Exchange as a result of any violation or non-compliance Committed by the client with respect to submitting wrong KYC information, trading & position violations, indulging in price rigging abnormal & circular trading, creating artificial market, doing financial transactions using trading systems of the exchange etc.

After the introduction of T+1 settlement pay-in & pay-out takes place much faster than it used to take place. As per rule though ISBCPL needs to collect at least 10% upfront margin before execution of trade but for sake of convenience ISBCPL is not collecting margin but will collect 100% payment on execution of trade or maximum by next day evening. Simultaneously ISBCPL will release pay-out cheques (unless otherwise requested by client to withheld the same) on day of pay-out or maximum within one working day of pay-out or as per applicable rules from time to time.

ISBCPL will charge delayed payment charges (DPC) @ 15% p.a. (subject to minimum of RS 50/- per scrip) on a daily basis on a sum due from date of trade to cheque realization date. The client understands that such DPC is deterrent in nature and as such ISBCPL can not be assumed to be financing/funding the client's settlement obligations.

ISBCPL reserves its right to change the DPC rate at its sole discretion without assigning any reason thereof. any change in DPC shall be communicated to client from time to time in writing, preferably 15 days notice.

### **5. The right to sell clients' securities or sell clients' positions, without giving notice to client, on account of non-payment of clients' dues to the extent of margin/settlement obligations.**

The client shall ensure timely availability of funds/securities in form & manner at designated time & in designated bank & depository

account for meeting his pay-in obligation of funds/securities.

ISBCPL reserves its rights to liquidate/close out all or any of the clients' position without giving notice to the client for non-payment of margins or other amounts including the pay-in obligation, out standing debts etc & adjust the proceeds of such liquidations/close-out, if any, against the client's liabilities/obligation. all such liquidations/closing out shall be done by ISBCPL on the best effort basis & while doing so, if any surplus left, the same will be credited to the client's account & any losses & financial charges on account of such liquidations/closing out shall be charged to & borne entirely by client.

#### **6. Shortages in obligations arising out of internal meeting of trades**

Internal shortages arises when both the buyer & seller of a scrip (Other than T2T & Z group) is clients of ISBCPL & the seller fails to deliver scrip to fulfill his settlement obligation.

In such case, ISBCPL will purchase the said scrip on T+3 day, which is the auction day on the exchange, on behalf of seller to make available the delivery of the said securities to the buyer.

If securities can not be purchased from the market due to any force majeure condition, then all shortages not bought-in are deemed to be closed out and short delivering seller client will be debited at the higher of highest price recorded in the scrip from the trading day on which the transaction took place up to a day prior to the day of auction i.e. pay-in day or 20% above the closing price on the day prior to the day of auction i.e. pay-in day.

#### **7. Conditions under which client may not be allowed to take further position or the broker may close the existing position of the client**

The ISBCPL may at its sole discretion may reduce/restrict client to take further position or may close the existing position of client without any prior intimation/notice due to all or any of the following:-

- a) shortage of margin amount
- b) Any restrictions in relation to volume of trading/outstanding business or margin stipulated by the exchange, clearing corporation/clearing house and/or the ISBCPL
- c) Delay by clients in meeting his obligations/dues to ISBCPL and/or the clearing house
- d) Observing/discovery any abnormal behavior/action/deed/trading pattern of the clients dealing with ISBCPL, for example repeated cheque bouncing, frequent non-fulfillment of sell obligation etc
- e) Any regulatory action taken by any regulatory authority on client
- f) Abnormal volatility in the market or political/financial instability in the country
- g) In view of impending price sensitive announcements by the exchange/listed company
- h) Scrip which is re listed and where the circuit filters are not applicable on the day of re listing
- i) Any extra ordinary event warranting such action

#### **8. Temporarily suspending or closing a client's account at the Client's request**

1. Client account will be temporarily suspended if a client fails to submit details pertaining to KYC or any other details sought by ISBCPL also ISBCPL will withheld funds and securities pay-out if ISBCPL has a reason to take such action which may arise due to the alerts generated by the surveillance system of the ISBCPL. The account of such clients will remain suspended till suitable explanations are not received.
2. Client's account will be temporarily closed at client's request when client will intimate the ISBCPL to do so in writing

#### **9. Deregistering a client**

Client will be debarred from doing a business or client will be deregistered due to all or any one of the following

- a) If client fails to meet his financial obligations/dues to ISBCPL
- b) The client become un-discharged insolvent
- c) The client applies to be adjudicated as an insolvent
- d) The client being declared a defaulter by any of the regulatory bodies of the country or under any law being in force
- e) The client has found to be of unsound mind by a court of competent jurisdiction and the findings is in force
- f) The client has been convicted by a court of any offence involving turpitude

- g) If client is found to be indulging (directly or indirectly) in to any act or carry out any transaction or any transactions which are in violation of Acts, Rules, Regulations ,Bye-laws & circulars governing security transactions
- h) If client fail to give any information which is either required by the ISBCPL/exchange/SEBI on the specific written direction of any statutory /legal authority/regulatory authority
- i) In case of dispute with any client due to any reason, ISBCPL will hold payments /securities of the client till ISBCPL satisfies itself or till arbitration award is awarded by arbitration bench of exchange/any court & such client's account will not be reactivated by ISBCPL
- j) If particulars/information/statements given by client in KYC are found to be Incorrect or false or untrue or misleading or misrepresenting or any particulars/ information/statements have been suppressed or omitted there from
- k) The client makes voluntary written request to de-register himself
- l) The death of the client

**10. Treatment of inactive account**

ISBCPL will treat client account as inactive if client has not executed a single trade in a year. Such client's a/c will be reactivated after due verification and on receiving a request letter from client to restart the business along with his/her latest financial details & a full cheque for the purchase he/she wants to make.

As ISBCPL makes payments to clients on T+1 basis and client being a known entity, ISBCPL will not hold payments of such clients .

**11. Disclosure-Pro-Account Trading**

As required by SEBI Circular No. SEBI/MRD/SE/Cir-42/2003 dated 19/11/2003, ISBCPL hereby discloses that it undertakes proprietary trading as well as client based trading from time to time.

The above policies & procedures are adopted by ISBCPL & areSubject to change/updation from time to time & clients are requested to abide by the same

**FOR INA STOCK BROKING CO. PVT. LTD.**

sd/-

Director / Authorised Signatory

I/WE hereby acknowledge that I/WE have received, read & understood policies & procedures of INA STOCK BROKING CO. PVT. LTD. with respect to dealing with them in security markets and state that I/we will strictly abide by the conditions laid in this policy

These policies & procedures may be amended unilaterally by INA STOCK BROKING CO. PVT. LTD., provided the amendment is inform to me/us in writing preferably 15 days notice.

These policies & procedures shall always be read along with the agreement & shall be compulsorily referred to while deciding any disputes or claim between me/us & INA STOCK BROKING CO. PVT. LTD. before any regulator or arbitrator or court of law

**S** \_\_\_\_\_

Customer's signature (if partner. corporate or other signatory then attest with company seal)

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



**INTIMATION TO CLIENTS AND NOTING**

From:

**INA STOCK BROKING CO. PVT. LTD.**  
Stock Exchange, PM-16, Mezzanine Floor,  
Rotunda Bldg., Mumbai Samachar Marg,  
Fort, Mumbai - 400 001.

Sir(s),

**Re: Confirmation of noting**

I/We confirm that I/we have made note of the following:

1. That you do trade in your OWN/ PRO account however Directors of the firm in their individual capacity do invest/trade in capital/derivative segment
2. That your investor grievance email ID is **complaint.inastock@gmail.com / ina217@gmail.com**

Thank you,

Client Signature : S \_\_\_\_\_

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

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

---

FROM : \_\_\_\_\_

To,  
**INA STOCK BROKING CO. PVT. LTD.**  
Stock Exchange, PM-16, Mezzanine Floor, Rotunda Bldg.,  
Mumbai Samachar Marg, Fort, Mumbai - 400 001.

Dear Sir,

I, undersigned hereby authorise any of following person to collect / confirm, bill cum contract / cheque / shares statement of account or any other documents on my behalf.

**NAME**

**SIGN**

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

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

Signature : \_\_\_\_\_

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

**TARIFF SHEET**

<b>CASH SEGMENT</b>					
	Trading			Delivery	
	Minimum Rs.	Percent		Minimum Rs.	Percent
		1st Side	2nd Side		
General Rates					
Special Rates					

  

<b>DERIVATIVES FUTURES</b>					
	Trading			Any Day	
	Minimum Rs.	Percent		Minimum Rs.	Percent 2nd Side
		1st Side	2nd Side		
General Rates					
Special Rates					

  

<b>DERIVATIVES OPTION</b>					
	Trading			Any Day	
	Minimum Rs.	Percent		Minimum Rs.	Percent 2nd Side
		1st Side	2nd Side		
General Rates					
Special Rates					

Note : The Member Broker shall Charge in addition to the Brokerage mentioned hereinabove, other Charges like Stamp Duty, Service Tax, Security Transaction Tax (S.T.T.), Turnover Charges, Clearing Charges etc. as may be applicable from time to time .

You are also requested to refer point no. 3 & 4 of Policies & Procedures before signing Tariff Sheet.

SUB-BROKER / REMISSER NAME : \_\_\_\_\_

SUB-BROKER / REMISSER (%) : \_\_\_\_\_

CLIENT SIGNATURE : S \_\_\_\_\_

SUB-BROKER / REMISSER SIGN : SB \_\_\_\_\_

BROKER SIGNATURE : \_\_\_\_\_



## Ina Stock Broking Co. Pvt. Ltd.

### FATCA-CRS Declaration & Supplementary KYC Information Declaration Form for Individuals

Please seek appropriate advice from your professional tax professional on your tax residency, related FATCA & CRS guidance

Back Office Code		PAN*				
	DP ID	Client ID				
CDSL						
NSDL	I N					
Full Name						
Father / Spouse Name						
Address Type [for KYC address]	<input type="checkbox"/> Residential <input type="checkbox"/> Residential/Business <input type="checkbox"/> Business <input type="checkbox"/> Registered Office					
Date of Birth	DD/MM/YYYY	City/Country of Birth				
Gross Annual Income Details In INR	<input type="checkbox"/> Below 1 Lakh <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> 25 Lacs - 1 Cr <input type="checkbox"/> Above 1 Crore	Occupation Details (Please tick any one (""))	<input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Public Sector <input type="checkbox"/> Private Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Agriculturist <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Forex Dealer Others [Please specify] _____			
Net Worth in INR In Lacs [Optional]	_____					
Net Worth Date [Optional]	<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 20px;">DD</td> <td style="width: 20px;">MM</td> <td style="width: 20px;">YYYY</td> </tr> </table>			DD	MM	YYYY
DD	MM	YYYY				
Politically Exposed Person [PEP]	<input type="checkbox"/> Yes <input type="checkbox"/> Related to PEP <input type="checkbox"/> Not Applicable	Any other information [if applicable]	[Please specify] _____			

\*IF PAN IS NOT AVAILABLE, PLEASE SPECIFY FOLIO NO(S)

Is your Country of Tax Residency other than India -  Yes                       No  
 If 'Yes' please specify the details of all countries where you hold tax residency and its Tax Identification Number & type

S. No.	Country of Tax Residency#	Tax Payer Identification Number   Functional Equivalent	Identification Type {TIN or other, please specify}
1.			
2.			

# to include all countries other than India, where investor is Citizen / Resident / Green Card Holder / Tax Resident in those respective countries especially of USD Declaration:

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

#### FATCA & CRS Terms and Conditions:

**Details under FATCA & CRS:** The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income Tax rules, 1962, where we required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance with such laws, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate with holding from the account or any proceeds in relation thereto. Should there be any change in any information provided by you, please ensure you advise us promptly i.e. within 30 days.  
 It is important that you response to our request, even if you believe you have already supplied any previously requested information.

**Please submit the form duty filled, signed for all the holders separately.**

Date: DD / MM / YYYY

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

Signature : \_\_\_\_\_

Name : \_\_\_\_\_

**Ina Stock Broking Co. Pvt. Ltd.**

PM-16, Mezzanine Floor, Rotunda Bldg Stock Exchange, M.S. Marg, Fort, Mumbai-400 023. Tel:- 3027 6120-126 Email: ina217@gmail.com Compliance ID : pccomplianceina@gmail.com

**CLIENT MASTER DATA**

**GENERAL DETAILS**

Code No.	NAME		PAN	
Address				
PH (O)®		Mobile		FAX
EMAIL ID				
OCCUPATION				
Financial data	Income as per IT Return	Net Worth	As per new (SEBI) guideline, your trade limits shall be decide on the basis of income/net worth data provided by you	
FY				
FY				
FY				
Name of other brokers with whom you are dealing with code no.				
<b>BANK ACCOUNT DETAILS</b>				
Account No.	IFSC CODE	MICR	Bank Name and branch	
<b>DEMAT ACCOUNT DETAILS</b>				
	DPID	CL ID	DP Name	

\* Please inform us the changes if any as and when occur supported with documentary proofs, in the details mentioned above. It is mandatory to keep these details updated periodically.

\* The bank account mentioned first shall be considered is default for pay-out purpose.

\* Please send Xerox copy of cheque having IFSC CODE on it.

\* Bank pass book & client master list of all demat accounts if not sent earlier with client registration from

Please update this form, sign and send us back at the earliest as it is mandatory.

**Client's Name :** \_\_\_\_\_ **Signature :** \_\_\_\_\_

FROM: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

To,  
**INA STOCK BROKING CO. PVT. LTD.**  
Stock Exchange, PM-16, Mezzanine Floor,  
Rotunda Bldg., Mumbai Samachar Marg,  
Fort, Mumbai - 400 001.

DEAR SIR,

**SUB: RECEIPT OF COPY OF KNOW YOUR CLIENT FORM (KYC)**

I/WE, HAVE RECEIVED THE COPY OF KYC FORM, (ANNEXURE 1 TO 6) & COPIES OF

1) POLICIES & PROCEDURES

2) PMLA

3) ADDITIONAL LITERATURE ON ANTI MONEY LAUNDERING (AML)

4) CLIENT COMPLAINT HANDLING PROCEDURES.

5) CODE OF CONDUCT FOR PREVENTION OF INSIDER TRADING

6) RISK MANAGEMENT SYSTEM

ALONG WITH THE COPY OF ALL THE DOCUMENTS SUBMITTED BY ME/US.

**S** \_\_\_\_\_

THANKING YOU,

YOURS SINCERELY,

CLIENT NAME : \_\_\_\_\_

UNIQUE CLIENT CODE NO : \_\_\_\_\_

DATE : \_\_\_\_\_

**RUNNING ACCOUNT AUTHORISATION - VOLUNTARY**

CLIENT NAME: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

TO,  
**INA STOCK BROKING CO. PVT. LTD.**  
Stock Exchange, PM-16, Mezzanine Floor,  
Rotunda Bldg., Mumbai Samachar Marg,  
Fort, Mumbai - 400 001.

Dear Sir,

**Re: Running Account Authorization**

I/We am/are aware that as per the SEBI/ Exchange requirements, the settlement of funds/securities shall be done within one working day of the payout. However, In order to facilitate operations, I/We hereby request & authorized you to maintain my/our account, both securities and funds, with you on a running account basis and consider the balances In my/our account, with you for the purpose of margins or any other obligations due to you across any segment of exchange & also authorize you to withheld my/our credit/securities in anticipation of future debits in my/our account till my/our further instruction or demand to release the same. I/We understand that no interest will be payable to me/us on such withheld amount & I/We undertake to bear all the charges in respect of aforesaid adjustments. I/We further authorized you to set off/ adjust any of my/our Debit/dues in any segment of exchange with credit of any other segment of exchange in my/our account.

**I/We understand that:**

1. The Authorisation shall be inforce from date mentioned below & shall remain inforce till it is revoked by me/us.
2. The manner of renewal will be as per your policies which under all circumstances shall be conforming to the norms prescribed by SEBI/ Exchanges
3. I/We can revoke this running account authorization at any time
4. The actual settlement of Funds & Securities shall be done by you once a month / once a quarter.
5. You shall transfer the funds / securities lying in our credit within one working day of the request if the same are lying with you and within three working days from the request if the same are lying with the Clearing Member/ Clearing Corporation

I/We, am/are under an obligation to bring any dispute arising from the statement of account or settlement to your notice within 7 working days from the date of receipt of funds/securities or statement as the case may be

Thanking you,  
Yours faithfully,

Client Signature: S \_\_\_\_\_

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

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

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

Note: The authorization shall be signed by the client only and not by any authorized person on his behalf or any holder of the Power of Attorney

**AUTHORITY TO DEBIT THE DEMAT ACCOUNT OPERATION CHARGES** **VOLUNTARY**

From: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

To,  
Dear Sir,

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

This is to inform that

- a. I/We have a beneficiary account with \_\_\_\_\_ (DP) & with client id \_\_\_\_\_.
- b. Further I/We have a trading account with \_\_\_\_\_ (trading code as mentioned below) for investment and trading purpose.
- c. I/We find it extremely inconvenient to give cheques against your depository bills.

With respect to the above mentioned subject and consideration, I hereby authorize you to debit the trading account maintained with \_\_\_\_\_ for the debit charge payable to \_\_\_\_\_.

As Depository Participant for providing depository services. Any Such sum debited to my/our account shall be binding on me/us.

Yours faithfully,

Signature of Client :  \_\_\_\_\_

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

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

**DECLARATION FOR MOBILE NO.**

**VOLUNTARY**

To,  
**INA STOCK BROKING CO. PVT. LTD.**  
Stock Exchange, PM-16, Mezzanine Floor,  
Rotunda Bldg., M. S. Marg, Fort,  
Mumbai - 400 001.

Dear Sir,

I \_\_\_\_\_ having PAN NO. \_\_\_\_\_ do hereby declare that my mobile no. is \_\_\_\_\_ Further, I authorize \_\_\_\_\_ that the same may be used for giving me any information /alter/sms/ call.

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

Thanking you  
Yours faithfully,

Signature of the Client :  \_\_\_\_\_

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

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

**FORMAT OF BOARD RESOLUTION FOR APPOINTING INA STOCK BROKING CO. PVT. LTD. (FOR CORPORATE)**

(On Company's Letter Head)

To,  
**INA STOCK BROKING CO. PVT. LTD.**  
Stock Exchange, PM-16, Mezzanine Floor,  
Rotunda Bldg., Mumbai Samachar Marg,  
Fort, Mumbai - 400 001.

Dear Sirs,

We hereby certify that the following is a true copy of a resolution duly adopted by the Board of Directors of \_\_\_\_ Ltd.(said company) in accordance with their authority, at a meeting duly held on\_\_\_\_ and not subsequently rescinded or modified and that the said company in the general meeting has not imposed any restrictions and conditions on the exercise by the Board of any of their powers to invest the funds of the company.

**RESOLVED:**

That INA STOCK BROKING CO. PVT. LTD. (hereinafter called 'ISBCPL') be appointed to act as our Stock Broker.

Further resolved that following person whose Signature is appended against their name be Individually / jointly be and is/are authorised to represent us & to give instructions to 'ISBCPL' for

1. Placing / modifying cancelling orders on our behalf
2. Acknowledging contract notes issued by you to us for our trades
3. Communicating changes in our KYC details
4. All other communications from us to you

(1)	Name	Signature	Title
_____	_____	_____	_____
_____	_____	_____	_____

Further resolved that the Company will communicate a certified copy of the said resolution to SADCO.

**PLACE :** \_\_\_\_\_

**DATE :** \_\_\_\_\_

ATTESTED TRUE COPY

NAME, SIGNATURE & SEAL OF COMPANY SECRETARY