



Definededge

NON-INDIVIDUAL ACCOUNT OPENING FORM

EQUITY & COMMODITY



DEFINEDEDGE SECURITIES BROKING PRIVATE LIMITED

Form No.	<input type="text"/>
Client Name	<input type="text"/>
Demat Account No.	<input type="text"/>
UCC	<input type="text"/>
KYC Mode	<input type="text"/>

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Policies and Procedures (Broker)	Document describing significant policies and procedures of the stock broker	Separately sent by email to the client
Rights and Obligations	Document stating the Rights and Obligations of stock broker/trading member, Authorised Person and client for trading on exchange (including additional rights and obligations in case of internet/wireless technology based trading)	
Risks Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market and commodities segment	
Guidance note	Document detailing do's and dont's for trading on exchange, for the education of the investors	
Rights & Obligations of Beneficial Owners & Depository Participants	Document stating the Rights and Obligations of Beneficial Owners and Depository Participants	

IMPORTANT INSTRUCTIONS

1. All details to be filled in Block letters in Black/Blue ink only
2. E-mail id and Mobile number is very important for account related passwords and transaction details
3. Corrections in the KYC form should be counter signed
4. All originals to be produced for physical verification
5. Name and address of the applicant mentioned on the KYC form should match with the documentary proof submitted
6. Account will be opened as per name appearing on Income Tax website

INSTRUCTION / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

01. Self-attested copy of PAN card is mandatory for all clients
02. 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
03. If any proof of identity or address is in a foreign language, then translation into English is required
04. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted
05. If correspondence & permanent address are different, then proofs for both have to be submitted
06. Sole proprietor must make the application in his individual name & capacity
07. 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
08. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given
09. 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:

01. PAN card with photograph. This is mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
02. Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving license
03. 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.)

01. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy

F. IN CASE OF NON-INDIVIDUALS, ADDITIONAL DOCUMENTS TO BE OBTAINED FROM NON-INDIVIDUALS, OVER & ABOVE THE POI AND POA, AS MENTIONED BELOW :

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

02. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old
03. Bank Account Statement/Passbook - Not more than 3 months old
04. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts
05. 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
06. 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 Professional Bodies such as ICAI, ICINAI, ICSI, Bar Council
07. 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
08. 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.)

01. 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.
02. Investors residing in the state of Sikkim
03. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India
04. SIP of Mutual Funds up to Rs. 50,000/- p.a.
05. In case of institutional clients, namely, FIIs, MFs, VCFS, FVCI, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary

E. LIST OF PEOPLE AUTHORIZED TO ATTEST THE DOCUMENTS:

01. 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)
02. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public Court Magistrate, Judge, Indian, and Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

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

Name of Applicant : _____ PAN of 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"/> NONE	Photograph Please affix the recent passport size photograph and sign across it
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NONE	Photograph Please affix the recent passport size photograph and sign across it
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NONE	Photograph Please affix the recent passport size photograph and sign across it

Name and Signature of Authorized Signatories (3/29) : _____ Date : DD MM YY

PEP : Politically Exposed Person | RPEP : Related to Politically Exposed Person

Know Your Client (KYC) Application Form | (Please fill this form in English and in BLOCK LETTERS)

To be filled by Promoters / Partners / Karta / Trustees and Whole-time Directors

A. Identity Details

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

Name

2. a. Father's Name

b. Mother's Name

3. a. Gender : Male Female Transgender

b. Marital Status: Single Married c. Date of Birth :

4. a. Nationality : Indian Others : _____

b. Status : Resident individual Non resident Person of Indian Origin Foreign National

(Passport copy Mandatory for NRIs & Foreign Nationals)

5. PAN : Please enclose a duly attested copy of your PAN card

6. Proof of Identity submitted for PAN exempt cases

UID (Aadhaar) Passport Voter ID Driving License Others : _____



B. Address Details

1. Address for correspondence :

City/Town/Village Pin Code

State Country

2. Contact details

Tel. (Off.) : (ISD) (STD) FAX : (ISD) (STD)

Mobile : (ISD) (STD) Tel. (Res.) (ISD) (STD)

Email :

3. Specify the proof of address submitted for residence/correspondence address: _____

4. Permanent address of resident applicant if different from above B1

City/Town/Village Pin Code

State Country

5. Specify the proof of address submitted for residence/permanent address : _____

DECLARATION

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

I/We hereby consent to receiving information from KRA through SMS/Email on the above registered number/Email address.

I/We am/are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other intermediaries with whom I have a business relationship for KYC purposes only.

Place :

Date :

SIGNATURE OF APPLICANT

FOR OFFICE USE ONLY

IPV Done on

DEFINEDGE SECURITIES BROKING PRIVATE LIMITED

- (Originals Verified) & self certified document copies received
 Attested True copies of documents received main intermediary

Name & Signature of the Authorized Signatory

Staff Name : _____

Designation : _____

Employee Code : _____

Name of the Organization : _____

Signature : _____

Seal/Stamp intermediary

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A. Identity Details

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

Name

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b. Mother's Name

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4. a. Nationality : Indian Others : _____

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Mobile : (ISD) (STD) Tel. (Res.) (ISD) (STD)

Email :

3. Specify the proof of address submitted for residence/correspondence address: _____

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Email :

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I/We hereby consent to receiving information from KRA through SMS/Email on the above registered number/Email address.

I/We am/are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other intermediaries with whom I have a business relationship for KYC purposes only.

Place :

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 Attested True copies of documents received main intermediary

Name & Signature of the Authorized Signatory

Staff Name : _____

Designation : _____

Employee Code : _____

Name of the Organization : _____

Signature : _____

Seal/Stamp intermediary

ANNEXURE

For Non - Individuals

TRADING ACCOUNT RELATED DETAILS

A. BANK ACCOUNT DETAILS

Bank name																															
Branch address																															
Account number																															
MICR number																IFSC															
Account Type :	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others																														

B. DEPOSITORY ACCOUNT DETAILS

Depository participant details of the Client													
DP Name	DP ID								Beneficiary Account No.				Beneficiary Name
DEFINIEDGE SECURITIES BROKING PVT. LTD.	1	2	0	9	4	7	0	0					

C. TRADING PREFERENCES

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

Exchange	NSE			BSE			MCX
ALL SEGMENTS	CASH	F&O	CURRENCY	CASH	F&O	MUTUAL FUND	COMMODITY DERIVATIVES
SIGNATURE	.. / (4/29) _____	.. / (5/29) _____	.. / (6/29) _____	.. / (7/29) _____	.. / (8/29) _____	.. / (9/29) _____	.. / (10/29) _____

If you do not wish to trade in any of segments / Mutual Fund, please mention here : _____.

D. PAST ACTION

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

(If yes, please give details) : _____.

E. DEALINGS THROUGH AUTHORIZED PERSON (herein referred as AP) AND OTHER STOCK BROKERS

If client is dealing through the AP, provide the following details:

AP Name :																SEBI Registration Number :															
Registered Office Address :																															
Phone :																Website :															

Whether dealing with any other stock broker/AP (if in case dealing with multiple stock brokers/AP provide details of all)

Name of Stock Broker :																AP if any :															
Client Code :																Exchange :															

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

F. ADDITIONAL DETAILS

• Whether you wish to receive Physical contract note or Electronic Contract Note (ECN)

If ECN, specify your Email id : _____

If you opt for Physical contract note you will be charged ₹ 5/- per page + ₹ 100/- courier charges.

• Whether you wish to avail of the facility of internet trading : Yes No

G. INTRODUCER DETAILS (Optional)

Name of the Introducer: _____

Address of the Introducer: _____

Status of the Introducer: Sub-broker Remisier Authorized Person Existing Client

Employee Others, please specify : _____

Mobile Number :

Signature of the Introducer :

H. Other Details - Information In Relation To The Prevention Of Money Laundering Act, 2002

1. Gross Annual Income Details Below 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac >25 Lacs

Net-worth in Rs. : _____ *Net worth should not be older than 1 year as on (date)

2. Occupation

Private Sector Public Sector Government Service Business
 Professional Agriculturist Retired Housewife
 Student Others _____

Please tick as applicable :

Not a Politically Exposed Person (PEP) Politically Exposed Person (PEP) Related to a Politically Exposed Person (RPEP)

Any other information : _____

3. Experience _____ Number of years of Investment/Trading Experience

4. Purpose of Opening the Account: Investment Trading Arbitrage

DECLARATION

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

Place : _____

Date : _____

 (11/29) _____

Signature of Client

FOR OFFICE USE ONLY

UCC allocated 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), Risk Disclosure Document (RDD) and Guidance Note. I/We have given/sent him/her 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 Risk Disclosure Document (RDD) would be made available on our website, if any, for the information of the clients.

Signature of the Authorized Signatory

Date : _____

Seal/Stamp of the Stock Broker

BSE STAR MF/NSE MFSS**VOLUNTARY**

Date : _____

DEFINEDGE SECURITIES BROKING PRIVATE LIMITEDSNO 6/6/1 7/7 10/4, Ambashish, Lane-9, 2nd Floor, Pakharbag,
NDA Pashan Road, Bavdhan, Pune, Maharashtra - 411021

Sub : BSE STAR MF/NSE MFSS

I/We am/are registered as your client with Unique Client Code No. _____ and have executed the "Trading Member and Client Agreement" for the purpose of trading in the Capital Market segment of Bombay Stock Exchange Ltd. (Exchange)/National Stock Exchange Ltd. (Exchange).

I/We am/are interested in availing the trading facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE STAR MF/NSE MFSS

For the purpose of availing this facility, I/we state that Know Your Client details as submitted by me/us for the stockbroking may be considered for the purpose of BSE STAR MF/NSE MFSS, and I/we further confirm that the details contained in the same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the Circular dated December 2, 2009, and as may be specified by the Exchange from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by the Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/We, therefore, request you to register me/us as your client for participating in BSE STAR MF/NSE MFSS.

Signature of client : (12/29) _____

POLICIES AND PROCEDURES FOR CLIENT DEALINGS**MANDATORY****A. REFUSAL OF ORDERS FOR PENNY STOCKS:**

The broker reserves his right to accept orders for buy or sell of stocks that quote at a relatively low price or have low floating stock. He/She will not be held responsible for any loss of opportunity by the client

B. SETTING UP CLIENT'S EXPOSURE LIMIT:

The Client is aware and agrees that the trading exposure limit provided to each client may not be of the same multiple, and it is the discretionary prerogative of the broker to allow distinct permissible exposure to each client. The broker may seek up to 100% margin before accepting any order

C. BROKERAGE RATE:

Brokerage will be charged to the clients at rates not exceeding the limit prescribed by the Exchange and at the value which is mutually agreed between the Client and the broker

D. IMPOSITION OF PENALTY/DELAYED PAYMENT CHARGES, SPECIFYING THE RATE AND THE PERIOD NOT RESULTING IN FUNDING BY THE BROKER IN CONTRAVENTION OF THE APPLICABLE LAWS:

The Client has executed a 'Running account authorization' in favor of the broker with the intent to have a ready margin to meet his or her/their trading needs. No interest is payable by the broker on credit balances if any. The broker is not into the business of funding client positions, delayed payment will be charged of 1½% per month

E. THE RIGHT TO SELL CLIENT'S SECURITIES OR CLIENT'S POSITIONS, ON ACCOUNT OF NON-PAYMENT OF CLIENT'S DUES (THIS SHALL BE LIMITED TO THE EXTENT OF SETTLEMENT/MARGIN OBLIGATION) :

In the event of non-payment of settlement obligations, the broker reserves the right to liquidate securities or open positions of the client to the extent of clearing the debit balance standing in a financial ledger or margin obligation

F. CONDITIONS UNDER WHICH A CLIENT MAY NOT BE ALLOWED TO TAKE FURTHER POSITION OR THE BROKER MAY CLOSE THE EXISTING POSITION OF A CLIENT :

Under any of the circumstances, such as, client's failure to meet pay-in or margin obligations or clearance of outstanding/debit balance with broker before permissible time limit or beyond such period as may be allowed by broker as per its RMS policy, the Client may not be permitted to take any fresh or further position until the full clearance of earlier dues, obligation, outstanding etc. Broker can firstly set-off or adjust the payment or securities towards various dues and obligation of the client and until the full clearance of the same, shall not allow the client to take further / fresh position

G. Further, it would be the duty of the client to monitor his/her/its position with the Broker from time to time. In case of any delay or failure in meeting any obligation, margin requirements, etc. from the client-side, the broker might close the existing position or open position WITHOUT ANY FURTHER INTIMATION to the client as per RMS policy. Such Circumstances may include (but not limited to) :

- (i) Failure to meet pay-in obligation on T+1 day,
- (ii) Delay in meeting the pay-in or margin requirement,
- (iii) Delay or failure in the clearance of outstanding or dues to the broker,
- (iv) Returning or frequent returning of cheque of the client,
- (v) Unnecessary / Unwarranted dispute from the client without any substantial cause/reason,
- (vi) Client's attitude of not coming to the amicable settlement for any dispute that can be settled without the involvement of Exchange and/or SEBI.
- (vii) As per the prevalent RMS policy of the Broker,
- (viii) Any direction from SEBI/Exchange or such other authorities,
- (ix) Under such other circumstances as the Broker might think just and proper on case to case basis

H. TEMPORARILY SUSPENDING OR CLOSING A CLIENT'S ACCOUNT BASED AT THE CLIENT'S REQUEST :

The Broker and/or client may suspend Client's Trading Account from further dealing in the securities market through the broker in the following circumstances :

- (a) As per Client's prior written request of at least 3 days submitted to broker at its Pune H.O. duly acknowledged by broker (Subject to clearance of entire outstanding/obligations),
- (b) Dormant or in-active status of the client beyond specified time limit as may be prescribed by broker,
- (c) Under any circumstances mentioned in (i) to (ix) above

I. DEREGISTERING A CLIENT :

Notwithstanding anything to the contrary stated in the mandatory and voluntary client registration documents, the stockbroker shall be entitled to terminate the mandatory and voluntary client registration document's, with immediate effect in any of :

- (i) Regulatory actions of the SEBI or any of its arms;
- (ii) Commencement of a legal process against the client under prevailing laws of the land;
- (iii) Death or lunacy or disability resulting in the inaction of the client.
- (iv) Breach of any term, condition or covenant of this mandatory & voluntary client registration document's
- (v) Detection of misrepresentation of facts by the client
- (vi) The client having voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- (vii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

J. TAPE RECORDING OF THE CONVERSATION

The client is aware that the member may record the conversation between the client and the member

K. DISPLAY OF POLICY AND OTHER INFORMATION ON THE WEBSITE OF MEMBER/ EXCHANGE/SEBI

The client is aware that the policies/ procedures of the member and other information are regularly hosted on the website of the member and he shall ensure to keep himself updated with the same. The client also agrees to keep himself updated with the circulars hosted on the SEBI/ exchange website

The client is also aware that Investor grievance email ID, Policy & Procedures, Copy of Standard KYC, Risk Management Policy, Literature of AML requirement, Links to the website of SEBI and Stock Exchanges of which Stock Broker is a member, other Information that a trading member is required to furnish to his clients is hosted on member's website as well as available on-demand from member's office

L. NO MARKET MANIPULATION

I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing, or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self-trades, etc. or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, Definedge Securities Broking Private Limited (hereinafter referred to as 'DSBPL') has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my/our trading account

M. PMLA DECLARATION

I/We declare that I/we have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me/us by DSBPL officials. I/We further declare that I/we shall adhere to all the provisions of the PMLA Act, 2002

I/We further undertake and confirm that;

(a) I/We do not have any links with any known unlawful persons/institutions

(b) I/We am/are a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I/we am/are a party to it. The investment money is derived from proper means and does not connect with the proceeds of crime nor am/are I/we a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner

N. THIRD-PARTY PAYMENTS

DSBPL shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along with adequate proof thereof as per proforma prescribed by DSBPL. DSBPL shall not be responsible for any loss or damage arising out of such refusal of acceptance of payments in the situations mentioned above

However, due to oversight, if any such third-party payment has been accepted by DSBPL and the credit for the same has been given in the client's ledger, DSBPL shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same. In such a case, DSBPL reserves the right to liquidate any of the open positions and/or any of the collaterals received/held on behalf of the client. DSBPL, its Directors and employees shall not be responsible for any consequential damages or losses

O. DELIVERIES

The client shall ensure that the shares are properly transferred to the designated demat account of DSBPL, for effecting delivery to the Exchange against the sale position of the client. Such transfers shall be entered by the client within the time specified by SEBI/Exchanges/DSBPL. In case the client fails to transfer the shares on time to DSBPL, DSBPL shall not be responsible for any loss/damages arising out of such delayed transfers

P. INDEMNIFICATION

I/We hereby indemnify and hold DSBPL, its Directors, and employees harmless from and against all trade-related claims, demands, actions, proceedings, losses, damages, liabilities, charges, and/or expenses that are occasioned or may be occasioned to DSBPL directly or indirectly, relating to bad delivery of shares/securities and/or third-party delivery, whether authorized or unauthorized and fake/forged/stolen shares/securities/transfer documents introduced or that may be introduced by or through me during the course of my dealings/operations on the Exchange(s) and/ or proof of address, identity and other supporting/documents provided by me at the time of registration and/or subsequently

Q. NO DEALINGS IN CASH

DEFINEDGE SECURITIES BROKING PRIVATE LIMITED as a policy neither accepts any funds for pay-in/margin in cash nor makes any payment or allows withdrawal of funds in cash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/Sub Broker/Remisier/Employee/Authorized Person of DEFINEDGE SECURITIES BROKING PRIVATE LIMITED

R. LOSS DUE TO TECHINCAL GLITCH/ANY ISSUE

I/We agree that I/we will not be compensated by the broker for any loss opportunity viz. notional profits on buy/sell orders which could not be executed due to any reason whatsoever, including but not limited due to time lag in the execution of the order or the speed at which the system of the broker/ the exchanges is operating, any shutting down by the broker of my/our system for any reason or the broker disabling me/us from trading on its system for any reason whatsoever.

Signature of Client : (13/29) _____

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

(All the clauses mentioned in the policies and procedures 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 phones, laptops with data-cards, etc. which use Internet Protocol (IP). The stockbroker 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 the 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 website provided that they are in line with the norms prescribed by Exchanges/SEBI
3. The stock broker shall bring to the notice of the client the features, risks, responsibilities, obligations, and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology that 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 is 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 a 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/her 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/she forgets his/her password, discovers a security flaw in stock broker's IBT system, discovers/suspects discrepancies/unauthorized access through his/her 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 the 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. which 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/her/their 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

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/we am/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 Policies 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

Client Name : _____

Signature of Client : (14/29) _____

UCC :

 Application Number :

TARIFF SHEET

Trading Account Processing Charges		Other Charges	
Account Opening : ₹ 180			Standard Charges
Brokerage		Pledge creation/Invocation	₹ 36
Segment	Rate	Pledge closure	₹ 36
Equity Delivery	Free	SLB Charges	₹ 36 + CDSL/NSDL Charges
Equity Intraday	0.03% or ₹ 18 per executed order whichever is lower	Margin Repledged/Release of Margin Repledged	₹ 2 + CDSL Charges
Equity Futures	0.03% or ₹ 18 per executed order whichever is lower	DEMAT - Per Certificate	₹ 18 + courier charges
Equity Options	₹ 18 per executed order	REMAT - Per Certificate OR Per 100 Units/shares (Whichever is higher)	₹ 18
Currency Futures	0.03% or ₹ 18 per executed order whichever is lower	Conversion of MF units/ Destatementisation Per SOA	₹ 18 + courier charges
Currency Options	₹ 18 per executed order	Reconversion of MF units to SOA or Redemption/Restatementisation Per SOA	₹ 18
Commodity Futures	0.03% or ₹ 18 per executed order whichever is lower	Courier charges per request shall be charged separately	₹ 100
Commodity Options	₹ 18 per executed order	Rejection/Failure Entry-DRF/Instruction slip per entry	₹ 54
Auction Charges	As per Definedge Securities Auction process criteria	Margin Pledge/Closure/Invocation	₹ 18

* Subject to Regulatory Caps

DEPOSITORY CHARGES	
Credit charges	NIL
Debit charges	₹ 18 per transaction per scrip
DP Annual Maintenance Charges (DP AMC)	₹ 300/- Per Annum

Note – DP AMC would be charged once a year in the fourth month after the opening of the account. There will be no AMC charges for the first three months.

First Delivery Instructions Booklet (5 Leaves)	Free
Every Additional Booklet (5 Leaves)	₹ 54
Modification in CML	₹ 18 per request
KRA upload and download	₹ 36
Cheque Bounce Charges	₹ 360

Physical transaction statement	
By email	Free
By physical	₹ 5/- per page + ₹ 100/- courier charges

Transaction Charges (Off market transfer)	
Off market transfer	₹ 18

Clearing Charges : NSE CD / MCX COMM

Future trade	Quantity * trade price	₹ 35 per crore
Option charges	Quantity * premium price	₹ 600 per crore
Delivery charges	Quantity * trade price	₹ 1000 per crore

Disclaimer : For Delivery based trades, a minimum of Rs. 0.01 will be charged per order. Clients who opt to receive physical contract notes will be charged ₹ 5/- per page + ₹ 100/- courier charges. A brokerage of 0.5% of the contract value will be charged for contracts where physical delivery happens.

- Inter-settlement/CUSA to pool /Collateral to pool and MTF to pool transfer would be charged at ₹ 18 per transaction per scrip (excluding GST and applicable taxes). The charges would be debited to the trading ledger on a weekly basis
 - In case you are using our Call Center to execute trades, then you will be charged ₹ 54 per order
 - Value of the transaction will be in accordance with rates provided by Depository
 - Statutory and other levies being charges related to the execution and/or settlement of transactions shall be separately chargeable as in force from time to time
 - Brokerage is also applicable in case of expiry of futures and exercise/assignment of option contracts @ ₹ 36/- per trade
 - Charges of ₹ 36/- per order will be charged for positions auto squared off by DSBPL
 - Charges of ₹ 11 for availing of E-Sign facilities shall be paid by the customer
 - Payment gateway charges upto ₹ 10 per transaction shall be payable by the customer, as the same will be charged by payment gateway vendor to DSBPL
 - Demat charges shall be applicable for MF transactions. Processing of Direct Mutual fund transactions will be charged at ₹ 18 exclusive of GST
 - Charges quoted above are for the services listed and any services availed other than the ones listed above will be charged separately
 - Charges/Service standards are subject to revision at sole discretion of Definedge Securities Broking Private Limited after due intimation to the customer over E-mail/SMS/ such other notification as may be. Management also reserves the discretion to partly/fully waive any charges and the right to freeze, discontinue or suspend any account, if required
1. DP AMC will be charged Rs.1000 per annum for corporate account
 2. Interest @ 0.05% per day will be charged on the debit balance/insufficient funds in ledger account
 3. Penalties Charged by Exchanges/SEBI/Any Regulatory Authorities ONLY if it is due to Clients Defaults/Errors/Violations if any
 4. The stock broker shall not charge brokerage more than maximum brokerage permissible as per the rules, regulation and By-laws of the relevant exchange and/or rules and regulation of SEBI
 5. Interest @ 13% p.a will be charged on the outstanding bill amount if not paid within the due date for DP debits
 6. The above tariff is subject to change. Changes if any, will be intimated 30 days in advance

The above charges are exclusive of GST, Securities Transaction Tax, other charges and stamp duty, if applicable and the same shall be charged to the Client's account on actual basis

GST charges applicable as per government regulations

Authorized Signatory/Holder	Authorized Signatory/Holder	Authorized Signatory/Holder
(15/29)		

Thanking You,
Yours truly,

OTHER DETAILS

GROSS ANNUAL INCOME DETAILS (Income Range per annum) UP TO RS. 1 LAC <input type="checkbox"/> RS. 10 LAC - RS. 25 LAC <input type="checkbox"/> RS. 1 LAC - RS. 5 LAC <input type="checkbox"/> MORE THAN RS. 25 LAC <input type="checkbox"/> RS. 5 LAC - RS. 10 LAC <input type="checkbox"/>	NET WORTH AS ON DATE (NOT OLDER THAN 1 YEAR) VALUE IN Rs. : _____ DATE (DD/MM/YYYY) : _____
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OCCUPATION :

PRIVATE GOVT. SERVICE BUSINESS PROFESSIONAL AGRICULTURE RETIRED
 PUBLIC HOUSEWIFE STUDENT OTHERS (SPECIFY) : _____

AFFILIATIONS :

NOT A POLITICALLY EXPOSED PERSON (NPEP) POLITICALLY EXPOSED PERSON (PEP)
 RELATED TO POLITICALLY EXPOSED PERSON (RPEP)
 ANY OTHER INFORMATION : _____

FEMA DECLARATION

To,
Definedge Securities Broking Private Limited
 2nd floor, Ambashish, Plot no 3-4,
 Lane No. 9, Pakharbag, NDA Pashan Rd,
 Bavdhan, Pune, 411021

DATE :

Dear Sir,

Application Number : _____
 Subject : Application for opening of an NRI/FN/FCB account

This has reference to my/our application for opening of a trading and demat account with you.

In this connection, I/we hereby declare that I/we have complied and will continue to comply with FEMA Regulations with respect to buying and selling of securities in the Indian Capital Market.

Thanking you,
 Yours truly,

Signature of Authorized signatories (16/29)

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

	Authorized Signatory/Holder	Authorized Signatory/Holder	Authorized Signatory/Holder
Name			
Signature (17/29)			

AUTHORIZATION TO OPT/MAINTAIN REGULAR DEMAT ACCOUNT (NON BSDA)

BO ID :

Pune

Dear Sir/Madam,

Keeping in view my/our past and proposed transaction and holding, I/we would like to continue/avail normal demat account.


I/We have also noted that being a normal demat account (Non BSDA), normal AMC as per the company's demat tariff would be applicable. The tariff for normal demat account (Non BSDA) are already provided and agreed under tariff sheet in KYC Form and changed through intimation by the company from time to time.

Terms and Conditions :

1. I/we hereby confirm and understand that by providing this authorization we specifically waive off the right to assess my demat account(BSDA) until opted otherwise by a written communication to Definedge Securities Broking Private Limited (hereinafter referred to as 'DSBPL') as BSDA account even if applicable by eligibility.
2. Salient Features of BSDA are uploaded to www.definedgesecurities.com. I/we hereby confirm to have read and understood the salient features of BSDA account.
3. I/we confirm and understand that my/our demat account would be charged and treated as normal demat account (Non BSDA) until opted otherwise by a written communication to 'DSBPL'.

	Authorized Signatory/Holder	Authorized Signatory/Holder	Authorized Signatory/Holder
Name			
Signature (18/29)			

FATCA/CRS DECLARATION/SELF CERTIFICATION FOR NON-INDIVIDUAL

Client Name						
	Authorized Signatory		Authorized Signatory		Authorized Signatory	
Are you U.S. Citizen?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Specify country of residence for tax purpose (Tax Residency)	<input type="checkbox"/> India	<input type="checkbox"/> Other	<input type="checkbox"/> India	<input type="checkbox"/> other	<input type="checkbox"/> India	<input type="checkbox"/> other
Specify country of citizenship	<input type="checkbox"/> India	<input type="checkbox"/> Other	<input type="checkbox"/> India	<input type="checkbox"/> other	<input type="checkbox"/> India	<input type="checkbox"/> other
	Authorized Signatory/Holder		Authorized Signatory/Holder		Authorized Signatory/Holder	
 (19/29)						

OPTION FORM FOR ISSUE OF DELIVERY INSTRUCTION SLIP (DIS) BOOKLET

Date :

DP-ID :

Client Id :

First Holder :

Second Holder :

Third Holder :

To,

Definedge Securities Broking Private Limited

SNO 6/6/1 7/7 10/4, Ambashish, Lane-9, 2nd Floor, Pakharbag,
NDA Pashan Road, Bavdhan, Pune, Maharashtra - 411021.

Dear Sir,

I/We hereby state that: [select one of the option given below]

Option 1 :

I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our CDSL account though I/we have issued a Power of Attorney (POA) in favour of Definedge Securities Broking Private Limited for executing delivery instructions for settling stock exchange trades (Settlement related transactions) effected through such Clearing Member.

OR

Option 2 :

I/We do not require the Delivery Instruction Slip (DIS) for the time being. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.

I/We hereby select : Option 1 Option 2

Authorized Signatory/Holder	Authorized Signatory/Holder	Authorized Signatory/Holder
(20/29)		

DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI)

VOLUNTARY

I/We, the client(s) mentioned herein below, holding BO ID 12094700 _____ authorize the Stock Broker and Depository Participant M/s. Definedge Securities Broking Private Limited (DSBPL) to access our BO account for the limited purpose of meeting pay-in obligations for settlement of trades executed by me/us.

I/We, the client(s) mentioned herein below, authorize the Stock Broker and Depository Participant M/s. Definedge Securities Broking Private Limited (DSBPL) to pledge securities held in my/our BO account to the Stock Broker for limited purpose of meeting my/our margin obligations in connection with my/our trades executed on recognized Stock Exchange(s) through DSBPL and to further repledge the same by DSBPL in favour of Clearing Corporation/ Clearing Member as may be required for the purpose of meeting my/our margin obligation(s).





These instructions shall continue to be valid and operative until it is revoked by me/us in writing by sending such revocation letter in hard copy to the registered office of DSBPL duly signed by me/us. The revocation instruction shall be operative from the next working day after the same is received by DSBPL at its registered office in hard copy.

I/We understand that providing this DDPI is voluntary on my/our part and there is no compulsion for me/us to sign the same. I/We declare that, I/we have signed the same voluntarily on our own volition.

The details of the settlement accounts of DSBPL to which securities towards settlement obligation may be transferred.

PARTICULARS	DP ID	CLIENT ID
CDSL EARLY PAYIN ACCOUNT	11000011	00021520
NSE POOL ACCOUNT	12094700	00000036
CLIENT UNPAID SECURITIES PLEDGEE ACCOUNT (CUSPA)	12094700	00100567
CM-BSE PRINCIPAL	12094700	00000040
CM-BSE POOL	12094700	00000055
CMTM-CLIENT MARGIN PLEDGE ACCOUNT	12094700	00000089
NSDL		
NSE POOL ACCOUNT	IN301330	22407040

Demat Debit and Pledge Instruction

Sr. No.	Purpose	Signature of Client *
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker	 (21/29)
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange. Any other transactions that may be allowed by SEBI/CDSL from time to time.	 (22/29)
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	 (23/29)
4.	Tendering shares in open offers through Stock Exchange platforms	 (24/29)

* The same may be eSigned or signed physically

** In case of Non individual client –signature of Authroised Signatory under seal of the entity

Accepted by

Definedge Securities Broking Private Limited	Signature
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SMS AND E-MAIL ALERTS TO INVESTORS BY STOCK EXCHANGES

Date :

To,

Definedge Securities Broking Private Limited

SNO 6/6/1 7/7 10/4, Ambashish, Lane-9, 2nd Floor, Pakharbag,
NDA Pashan Road, Bavdhan, Pune, Maharashtra - 411021.

Client Name	:
UCC	:
Mobile No	:
E-mail id	:

I/We hereby declare that the aforesaid mobile number belongs to :

I/We hereby declare that the aforesaid E-mail Id belongs to :

I/We request you to update the same in my/our trading and Demat account and send all the Confirmations and other communication through SMS and E-mail id.

Further, I/we hereby agree and undertake to indemnify and keep indemnified and save you against all claims/demands/penalties/suits/action or any loss or damages suffered or incurred as a consequence of such instruction.

Further, I/we authorize Definedge Securities Broking Private Limited (DSBPL) that the same may be used for giving me/us any information/alert/SMS.

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

Client Signature

Authorized Signatory/Holder	Authorized Signatory/Holder	Authorized Signatory/Holder
(25/29)		

Confirmation of receipt of executed documents

With reference to my/our registration as Client with you, I/We hereby confirm that I/we have received copies of the Know Your Client Form (KYC), Rights and Obligations, Risk Disclosure Documents (RDD), Power of Attorney (POA) (if any), and all other executed documents.

I/We understand that the Voluntary documents executed by me/us are out of my/our own free will. I/We hereby confirm that I/We have clearly understood and agree to abide by the Terms and Conditions described by Definedge Securities Broking Private Limited (hereinafter referred to as 'DSBPL'). I/We also understand that these Terms and Conditions can be changed by DSBPL from time to time and subject to posting of the amendments and modifications therein on it's website and their applicability with prospective effect.

Signature of Client : (26/29) _____

AUTHORITY LETTER FOR RUNNING ACCOUNT

I/We am/are dealing with you (NSE / BSE / MCX) and in order to facilitate ease of operations, I/we authorize you as under:

1. I/We request you to maintain running balance in my/our account and retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/we instruct you otherwise
2. I/We request you to retain securities with you for my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing Corporation, unless I/we instruct you to transfer the same to my/our account
3. I/We request you to settle my/our fund and securities account (choose one option)
 - Once in a calendar Month
 - Once in every calendar Quarter except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt
4. In case I/we have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligation for next 5 trading days, calculated in the manner specified by the exchanges
5. I/We confirm you that I/we will bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office
6. I/We confirm you that I/we can revoke the above mentioned authority at any time
7. This running account authorization would continue until it is revoked by me/us

Client Name - _____

UCC - _____

Thanking you,
Yours truly.

Signature of Client : (27/29) _____

AUTHORISATION FOR RECEIPT OF CONTRACT NOTES AND OTHER DOCUMENTS IN DIGITAL MODE

I/We hereby consent to receive from AUTHORISATION FOR RECEIPT OF CONTRACT NOTES AND OTHER DOCUMENTS IN DIGITAL MODE

I/We hereby consent to receive from Definedge Securities Broking Private Limited (hereinafter referred to as 'DSBPL') the digital contract notes, bills, ledgers, transaction statements, demat statement of accounts/demat transaction statement/holding statement (s)/bills/other statements, notices, circulars, amendments and such other correspondence documents, records by whatever name called in electronic form duly authenticated by means of a digital signature as specified in the Information Technology Act 2000 and the rules made thereunder to my below mentioned E-mail id (said E-mail id).

E-mail Id : _____

I/We further hereby agree that the DSBPL shall fulfil the legal obligation, if the above documents are sent electronically to the said email id and I/We am/are aware that I/We will not receive the statements/documents in paper form. In this regard, I/we further confirm and agree that :-

1. The above is my/our personal E-mail id. The same has been created by me/us and not by someone else. I/We shall take all necessary steps to ensure confidentiality and the secrecy of the login and password of the above mentioned E-mail account. DSBPL shall not be liable to or responsible for any breach of secrecy. I/We am/are aware that the statements/documents may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised. I/We will be solely responsible for the security of the information provided on my/our aforesaid E-mail id
2. E-mails sent to any of the above mentioned E-mail accounts, which have not bounced back, shall be deemed to be duly delivered to me/us. I/We am/are aware that non-receipt of bounced email notification by the member shall amount to delivery of the Contract Note and other documents to the above mentioned E-mail id(s)
3. DSBPL shall not take cognizance of out-of-office/out of station auto replies and I/we shall be deemed to have received such electronic mails. Such Statements shall be deemed to have been delivered on the day when the E-mail is sent by DSBPL
4. DSBPL shall not be liable or responsible for any Statement received from frauds or impostors or any consequences thereof
5. DSBPL shall not be liable for any problem, which arises at my/our computer network because of my/our receiving any Statement from DSBPL
6. I/We shall inform DSBPL by way of a letter in writing duly signed by me/us or informed through an internet platform if there is any change in the E-mail given above
7. I/We undertake to check the Statement and bring the discrepancies to your notice within the time period as specified under the relevant agreements entered into with DSBPL. My/Our non-verification or not accessing the Statement on a regular basis shall not be a reason for disputing the same at any time
8. I/We shall immediately inform DSBPL about change in E-mail address, if any. I/We further agree that DSBPL will not be responsible for non receipt of documents sent via electronic delivery due to change in/incorrect email address/correspondence address as mentioned or any other reason which inter alia include technical reasons or malfunction of my/our computer system/server/internet connection etc.
9. Further I/we agree and undertake to indemnify DSBPL and its group companies, that they will not be held liable/responsible for any losses, claims damages, cost and liabilities etc. caused to me/us due to misuse of this information or pursuant to any litigation cases, complaints, actions, etc. that may arise in future on account of my/our above authorization request
10. In case of bounced E-mail, DSBPL shall send physical copy of contract note to me/Us within the stipulated time under the extant regulations of SEBI/stock exchanges

Name :	Place :
* (28/29) : _____ 	Date :

APPLICABLE TO COMMODITY DERIVATIVES

To,

Definedge Securities Broking Private Limited

SNO 6/6/1 7/7 10/4, Ambashish, Lane-9, 2nd Floor, Pakharbag,
NDA Pashan Road, Bavdhan, Pune, Maharashtra - 411021

Sub : Disclosure of Commodity-wise client categorization

As per regulatory requirement, I/We here by submit/update my/our commodity-wise categorization depending on my/our nature of activity.

I/We further confirm that in case of any change in categorization, I/we shall update same with Definedge Securities Broking Private Limited, and I/we understand that you may be required to disclose to Exchanges/SEBI.

COMMODITY CATEGORIZATION (PLEASE TICK THE RELEVANT CATEGORY)

Name of Commodity	Farmers/FPOs	Value Chain Participants (VCPs)	Domestic Financial Institutional Investors	Foreign Participants	Others
ALUMINIUM					
CARDAMOM					
CASTORSEED					
COPPER					
COTTON					
CPO					
CRUDEOIL					
GOLD					
KAPAS					
LEAD					
MCXBULLDEX					
MENTHAOIL					
NATURALGAS					
NICKEL					
PEPPER					
SILVER					
ZINC					

Category Explanation

- 1) Farmers/FPOs : It includes participants such as farmers, farmers' cooperatives, Farmers Producers Organizations (FPOs) and such entities of like nature
- 2) Value chain participants (VCPs) : It includes participants such as Processors, Commercial users as Dal and Flour Millers, Importers, Exporters, Physical Market Traders, Stockists, Cash and Carry participants, Producers, SMEs/MSMEs & Wholesalers etc., but exclude farmers/FPOs
- 3) Domestic financial institutional investors : It includes participants such as Mutual Funds (MFs), Portfolio Managers, Alternative Investment Funds (AIFs), Banks, Insurance Companies and Pension Funds etc., which are allowed to trade in commodity derivatives
- 4) Foreign participants : It includes participants such as Eligible Foreign Entities (EFEs), NRIs etc. which are allowed to trade in commodity derivatives markets
- 5) Others : All other participants which cannot be classified in the above categories

Yours Faithful,

Name of Client : _____

Date : _____

Place : _____

Signature of Client : (29/29) _____

APPENDIX - 1
DECLARATION BY HUF AND CONSENT LETTER

VOLUNTARY

Date : _____

To,
Definedge Securities Broking Private Limited
SNO 6/6/1 7/7 10/4, Ambashish, Lane-9, 2nd Floor, Pakharbag,
NDA Pashan Road, Bavdhan, Pune, Maharashtra - 411021

Dear Sir/Ma'am,

Re: Opening of a Trading Account and Demat Account

We request that a Trading Account/Demat Account ("the Account") may be opened in the name of "_____HUF" with Definedge Securities Broking Private Limited (the Company) for the purpose of dealing in shares, securities, derivatives and other financial and saving instruments. We state that we are the only Members of the said Joint Hindu Family.

Mr._____ is the Karta/Manager of the above Hindu Undivided Family (HUF) and is authorized to open and operate singly the trading account and Demat account with Definedge Securities Broking Private Limited (hereinafter referred to as 'DSBPL') in the name of the HUF.

We confirm that the activities and business of the said HUF is carried on mainly by the said Karta as also by the other signatories hereto in the interest and for the benefit of the entire body or co-parceners of the HUF. We further confirm that the Karta is authorized to sign on behalf of the HUF and has full and unrestricted authority to bind all members of the HUF however constituted from time to time. We declare and state that the Karta is authorized to execute all deeds, documents, papers, mandatory and voluntary client registration document, power attorney(ies), documents creating security, Demat Promissory Notes etc in respect of the opening and operation of the Account.

We understand that in case of HUF a beneficiary account can be opened with Depository Participant by the Karta as per the current regulations. To facilitate the operation of Trading account with DSBPL and for the purpose of completing the obligations arising out of the same, we authorize DSBPL to effect transfers to and from the beneficiary account opened by the Karta. We also authorize the Karta to execute such power of attorney(ies) including but not limited to powers of attorney to operate any bank account of the HUF and any Demat account opened for the HUF.

We request and authorize the Companies to honour operations and instructions under the Signature(s) of the Karta in respect of the Account.

We note that all online transaction request placed by clients are authenticated by a user-id and password and other security features. We authorize the Companies to allot such user id, password etc to the above Karta on behalf of the HUF.

Details of our HUF and all its Co-parceners are stated as mentioned below :

Sr. No.	Name of Family Member	Date of Birth (DDMMYYYY)	Gender	Relationship with Karta	Signature *

I hereby, state that details mentioned above are true and any change in them would be intimated to you in writing

Title of HUF/Karta _____

Signature of Karta : _____

(HUF Rubber Stamp)

APPENDIX - 2
VOLUNTARY
FORMAT FOR DECLARATION FROM PARTNERSHIP FIRM
 (To be obtained on pre-printed letterhead of the partnership firm)

Date : _____

To,
Definedge Securities Broking Private Limited
 SNO 6/6/1 7/7 10/4, Ambashish, Lane-9, 2nd Floor, Pakharbag,
 NDA Pashan Road, Bavdhan, Pune, Maharashtra - 411021

Dear Sir/Ma'am,

We refer to the trading account being opened/opened with you in the name of _____ and declare and authorize you as under.

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a partnership firm as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations pursuant to the trading operations, we authorize you to recognize the beneficiary account no. _____ with depository _____ opened as a joint account in the names of the partner of the firm.

We agree that the obligations for shares purchased and/or sold by the firm will be handled and completed through transfer to/from the above-mentioned account. We recognize and accept transfers made by you to the above-mentioned beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

We hereby authorize _____, partner in the firm to execute/sign and submit mandatory and voluntary client registration document, deeds etc. as may be necessary to enter into and engage in business with Definedge Securities Broking Private Limited and to place order for buying and selling of securities, sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership firm and to sign any authority letter including adjustment of balances.

Further, we acknowledge that we undersigned been the partners of the above-mentioned firm are responsible for the liabilities thereof. We shall advice you in writing for any change that take place in consolation of the firm at any time in the future.

Name of partner (In Block Letters)	Signature *

* (To be signed by all the partners of the firm under stamp of the firm)

APPENDIX - 3
FORMAT OF BOARD RESOLUTION

FORMAT

ON LETTERHEAD OF COMPANY

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF _____ HELD ON _____ RESOLVED THAT the Company be authorized to open a Trading and Demat account with **Definedge Securities Broking Private Limited (hereinafter referred to as 'DSBPL')**.

RESOLVED THAT the Company to place orders with/give instructions to **DSBPL** for investment in securities market/dealing in Equities / Derivatives / Currencies / Commodities and other products in Derivatives, Currency and Cash segment of Bombay Stock Exchange Limited (BSE), National Stock Exchange of India Limited (NSE) and Multi-Commodity Exchange of India Ltd. (MCX).

RESOLVED FURTHER THAT any one of the following Directors/Executives/Officers of the Company, whose specimen signatures are appended here under.

No.	Name of Authorised Signatory	Designation	Specimen Signature

Be and are hereby authorize jointly / severally to

1. Sign, execute and deliver orders, instructions letters, notes, contracts, share transfer forms and such other documents as may deemed necessary from time to time for the aforesaid purpose, and
2. Take all such actions and do all such things, as may be deemed prudent, necessary and expedient for giving effects to the above resolution from time to time.

RESOLVED FURTHER THAT the above resolution shall remain effective and in force till such time as a fresh resolution cancelling or amending the same passed by the Board of Directors of the Company and is furnished to **DSBPL**.

RESOLVED FURTHER THAT a copy of the above resolution duly certified as true by any one of the Directors of the Company be furnished to **DSBPL** and such other parties as may be required from time to time.

CERTIFIED AS TRUE COPY OF THE ORIGINAL

Director/Authorized Signatory

APPENDIX - 4
FORMAT OF SHAREHOLDING PATTERN
 (For Corporates)

FORMAT

ON LETTERHEAD OF COMPANY

Certified Date : _____

Submitted by _____ to

SHARE HOLDING PATTERN of _____ as on _____

Equity/Preference (Please indicate and use separate sheet for Equity/preference shares)

Sr. No.	Name *	Number of shares held	Face value per share	Amount Paid up (Rs. in Lakh)	% of Total
01					
02					
03					
04					
05					
06					
07					
08					
Others					
					100 %

*** All initials to be expanded**

NOTE : Persons holding 5% or more of the paid up capital should be shown separately and not clubbed in 'Others'.

Date : _____

Place : _____

Authorized Signatory/Director(s) : _____

CERTIFICATE

This is to certify that the shareholding in _____ as given above, based on my/our scrutiny of the books of accounts, records and documents is true and correct to the best of my/our knowledge and as per information provided to my/our satisfaction.

Place : _____

Date : _____

For (Name of Accounting firm) : _____

Name of Partner/Proprietor : _____

Chartered Accountant : _____

Membership Number : _____



Definededge



DEFINEDGE SECURITIES BROKING PRIVATE LIMITED

NSE Membership Number	: NSE - 90237
NSE Clearing Membership Code	: M70017
BSE Membership Number	: BSE - 6766
SEBI Registration Number	: INZ000301132
CDSL Membership Number	: CDSL - 12094700
SEBI Registration Number	: CDSL - IN-DP-662-2021
MCX Membership Number	: MCX - 56960
Registered and Head Office Address	: SNO 6/6/1 7/7 10/4, Ambashish, Lane – 9, 2 nd Floor, Pakharbag, NDA Pashan Road, Bavdhan, Pune, Maharashtra – 411021 Phone : 020-61923200 URL : www.definedgesecurities.com CIN Number : U65990PN2021PTC198378
Corporate Office Address	: Office No. 523, 5 th Floor, Chintamani Plaza, Andheri – Kurla Road, Near WEH Metro Station, Andheri (East), Mumbai, Maharashtra – 400099
Compliance Officer Name	: BHAGYASHREE ZAD
Phone number and E-mail Id	: 020-22953395 ; compliance@definedge.com
Director's Name	: PRASHANT PRAVINCHNDRA SHAH
Phone number and E-mail Id	: +91 9764800700 ; prashant.shah@definedge.com

For any grievance/dispute please contact **Definededge Securities Broking Private Limited (DSBPL)** at the above address or Email : grievances@definedge.com | Phone number : 020-22953395

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

EXCHANGE	EMAIL	TELEPHONE NUMBER
BSE	is@bseindia.com	022-2272 8097
NSE	ignse@nse.co.in	1800-220-058
CDSL	complaints@cdslindia.com	022-2305 8658
MCX	grievance@mcxindia.com	022-6649 4000
SEBI Website : http://scores.gov.in Toll Free : 1800227575		

Also refer our website : www.definedgesecurities.com for updated details, if any