



Definededge

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"/>

INDEX

Name of the document	Brief significance of the document	Page No.
	KYC Checklist (Please Tick Wherever Appropriate)	02
Know Your Client (KYC)	Document captures the basic information about the constituent, Document captures the additional information about the Constituent	03 - 07
BSE STAR MF/NSE MFSS	Terms and Conditions for availing BSE Star Mutual Fund and Mutual Fund Service System (MFSS) Facility	08
Policies and Procedures for Client Dealings	Policies and Procedures Document pursuant to the SEBI circular dated December 03, 2009	09 - 10
Internet & Wireless Technology Based Trading Facility Provided By Stock Broker To The Client	Internet & Wireless Technology Based Trading Facility	12
TARIFF SHEET	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	13 - 14
Additional KYC	Additional KYC details for opening Demat Account	15 - 17
FEMA Declaration	FEMA Declaration	17
Authorization To Opt/maintain Regular Demat Account (Non BSDA)	Authorization to opt/Maintain Regular Demat Account (Non BSDA)	18
FATCA	FATCA/CRS Declaration/Self Certification for Individual	18
Option Form for issue of DIS booklet	Option form for issue of Delivery Instruction Slip (DIS) booklet	19
Nomination Form	Nomination Form for appointing a nominee to the client's account (In case of nomination)	20 - 21
Declaration Form for Opting out of Nomination	Format for request letter in case of no nomination	22
Demat Debit and Pledge Instruction (DDPI)	Demat Debit and Pledge Instruction (DDPI)	23
SMS And E-mail Alerts To Investors By Stock Exchanges	SMS and E-mail Alerts To Investors By Stock Exchanges	24
Authority Letter For Running Account	Authorization to maintain account on running account basis	25
Authorization for receipt of Contract Notes and other Documents in Digital Mode	Authorization for receipt of Contract Notes and other Documents in Digital Mode	26
Applicable To Commodity Derivatives	Disclosure of Commodity-wise client categorization	27
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 Signatories 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 & Obligations of Beneficial Owners and Depository Participants	

IMPORTANT INSTRUCTIONS

- All details to be filled in Block letters in Black/Blue ink only
- Email ID and Mobile number is very important for account related passwords and transaction details
- Corrections in the KYC form should be counter signed
- All originals to be produced for physical verification
- Sole proprietor must make the application in his individual name and capacity
- Name and address of the applicant mentioned on the KYC form should match with the documentary proof submitted
- Account will be opened as per name appearing on Income Tax website

KYC CHECKLIST (PLEASE TICK WHEREVER APPROPRIATE)

Acceptable Documents should be clearly visible (Copies of all documents to be self-attested)

Please Tick

PAN Card	Account holder & Joint holders (If any)	
Photograph	One colored front face photograph on photographic paper (Passport Size) of ALL HOLDERS	
Additional proof of Identity (ANY ONE) (In case copy of PAN card is not clear)	1. Unique identification number (UID) (Aadhaar)	
	2. Valid Passport / Driving License (Name, Address and Photo page)	
	3. Voter ID (front and back)	
	4. NREGA Job Card	
Proof of Address (ANY ONE) Permanent/ Correspondence	1. Valid Passport / Driving License (Name, Address and Photo)	
	2. Voter ID (front and back)	
	3. Unique Identification Number (UID) (Aadhaar)	
	4. Bank Statement/Passbook (not more than 3 months old)	
	5. Banker's Verification Letter	
	6. Electricity or Resident Landline Telephone Bill (not more than 2 months old)	
	7. Registered Flat Sale Agreement of Residence or Registered Lease/Leave and License Agreement	
	8. Property or Municipal Tax receipt	
	9. Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address	
	10. 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	
Bank Proof With MICR/IFSC (1st Holder only)	1. Bank Statement/Bank passbook (not more than 3 months old)	
	2. Banker's certificate on letter head of the Bank (ORIGINAL)	
	3. Cancelled personalized cheque leaf	
Proof of Income (ANY ONE) (Mandatory for F&O/ Currency Segments/ Commodity Derivatives Segment)	1. Copy of ITR acknowledgement	
	2. Copy of Form 16 (Latest)	
	3. Salary Slip (not more than 3 months old)	
	4. Networth Certificate certified by CA (not more than 1 year old)	
	5. Copy of latest Demat account holding statement	
	6. Bank account statement for last 6 months	

SOLE/FIRST HOLDER

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

A. Identity Details

1. Name of the Applicant (As per PAN card)

Name [Grid]

2. a. Father's Name [Grid]

b. Mother's Name [Grid]

3. a. Gender : Male Female Transgender

b. Marital Status: Single Married c. Date of Birth : [DDMMYYYY]

4. a. Nationality : Indian Others : _____

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

(Passport copy Mandatory for NRIs & Foreign Nationals)

5. PAN : [Grid] 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 : _____

Photograph
Please affix the recent passport size photograph and sign across it
(1/31)

B. Address Details

1. Address for correspondence (residence) :

[Grid]

City/Town/Village [Grid] Pin Code [Grid]

State [Grid] Country [Grid]

2. Contact details

Tel. (Off.) : (ISD) (STD) [Grid] Tel. (Res.) (ISD) (STD) [Grid]

Mobile : (ISD) (STD) [Grid] FAX : (ISD) (STD) [Grid]

Email : [Grid]

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

4. Permanent address of resident applicant if different from above B1 OR overseas address (mandatory) for non-resident applicant.

[Grid]

City/Town/Village [Grid] Pin Code [Grid]

State [Grid] Country [Grid]

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 : [Grid]

Date : [DDMMYYYY]

SIGNATURE OF APPLICANT

[Signature Box] (2/31)

FOR OFFICE USE ONLY

IPV Done on [DDMMYYYY]

DEFINEDGE SECURITIES BROKING PRIVATE LIMITED

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

[Signature Box]

Name & Signature of the Authorized Signatory

Staff Name : _____
Designation : _____
Employee Code : _____
Name of the Organization : _____
Signature : _____

[Seal/Stamp intermediary]

JOINT APPLICANT DETAILS (SECOND HOLDER)

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

A. Identity Details

1. Name of the Applicant (As per PAN card)

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. Residential 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 (residence) :

City/Town/Village Pin Code

State Country

2. Contact details

Tel. (Off.) : Tel. (Res.)

Mobile : FAX :

Email :

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

4. Permanent address of resident applicant if different from above B1 OR overseas address (mandatory) for non-resident applicant.

City/Town/Village Pin Code

State Country

5. 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

ANNEXURE

For Individuals

TRADING ACCOUNT RELATED DETAILS

A. BANK ACCOUNT DETAILS

Bank name :

Branch address :

Account number :

MICR number : IFSC :

Account Type : Savings Current Others

In case of NRI account : NRE NRO

For NRI's RBI PIS NO. : _____

B. DEPOSITORY ACCOUNT DETAILS

Depository participant details of the Client

DP Name	DP ID							Beneficiary account No.				Beneficiary Name	
DEFINEDGE SECURITIES BROKING PVT. LTD.	1	2	0	9	4	7	0	0					

Note: First Holder of account should be same as that of Trading account.

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	.. / (3/31) _____	.. / (4/31) _____	.. / (5/31) _____	.. / (6/31) _____	.. / (7/31) _____	.. / (8/31) _____	.. / (9/31) _____

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.

(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 Reg. No. :

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 : _____

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)

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

2. Occupation

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

Please tick as applicable :

- Not a Politically Exposed Person (NPEP) 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 :

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

 (10/31) _____

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 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 my/our website, if any, for the information of the clients.

Signature of the Authorized Signatory

Date : _____

Seal/Stamp of the Stock Broker

Date : _____

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 : 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 (SEBI) 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 : (11/31) _____

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 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 (herein referred as DSBPL) has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account

M. PMLA DECLARATION

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

I further undertake and confirm that;

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

(b) I am 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 am a party to it. The investment money is derived from proper means and does not connect with the proceeds of crime nor am I 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

DSBPL 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 DSBPL

R. LOSS DUE TO TECHNICAL 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 : (12/31) _____

MOST IMPORTANT TERMS AND CONDITIONS (MITC) (FOR NON-CUSTODIAL SETTLED TRADING ACCOUNTS)

1. Your trading account has a "Unique Client Code" (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

Signature of Client : (13/31) _____

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 Stockbroker 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 stockbroker.
4. The stockbroker 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 authorized representative are not revealed to any third party including employees and dealers of the stockbroker.
6. The client shall immediately notify the stockbroker in writing if he forgets his password, discovers a 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 the client is trading using wireless technology, the stockbroker 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 stockbroker 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 stockbroker 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/Stockbrokers/Exchange end for any reason beyond the control of the stockbroker/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 policy and procedures of the stockbroker 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 stockbroker's designated website, if any.

Client Name : _____

Signature of Client : (14/31) _____

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 Re-Pledged/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

BROKERAGE FOR NRE/NRO	
Futures & Options brokerage	₹ 35 per order
Equity Delivery	0.25% (Minimum 5 Paisa per Share)
Equity Intraday	Not Allowed

BROKERAGE FOR NRI	
Futures & Options brokerage	₹ 2 per lot
Equity Delivery	0.25% (Minimum 5 Paisa per Share)
Equity Intraday	Not Allowed

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.

DEPOSITORY CHARGES	
Credit charges	NIL
Debit charges	₹ 18 per transaction per scrip
DP Annual Maintenance Charges (DP AMC)	₹ 300/- Per Annum
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 up to ₹ 12 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 500/- per annum for NRI client
 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

Sole/First Holder Signature	Second Holder Signature	Third Holder Signature
(15/31) _____		

Thanking You,
Yours truly,

I/We request you to send Electronic Transaction-cum-Holding Statement at the E-mail ID

Yes No _____

I/We would like to share the email ID with the RTA

Yes No _____

I/We would like to receive the Annual Report (Tick the applicable box. If not marked, the default option would be in Physical)

PHYSICAL ELECTRONIC BOTH PHYSICAL AND ELECTRONIC

I/We wish to receive dividend/interest directly in to my/our bank account as given below through ECS (If not marked, the default option would be 'Yes')
[ECS is mandatory for locations notified by SEBI from time to time]

YES NO

MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (TRANSFER, PLEDGE & FREEZE)

Jointly Anyone of the Holder

BANK DETAILS

Bank Code (9 digit MICR code)

IFSC (11 characters)

Account Number

Account Type SAVING CURRENT OTHERS (SPECIFY) : _____

Bank Name

Branch Name

Bank Branch Address

City

State

Country

PIN Code

SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4

Mobile Number (+91) _____

Mandatory , if you are giving Power of Attorney (POA)

(if POA is not granted & you do not wish to avail of this facility, cancel this option)

EASI

EASI To register for easi, please visit our website www.cdslindia.com.

EASI allows a BO to view his ISIN balances, transactions and value of the portfolio online.

BSDA - Basic Services Demat Account

- No AMC if valuation is up to 50,000/-

- AMC Rs. 100 if valuation exceeds 50,000/-

- Regular AMC if valuation exceeds 2,00,000/-

I / We wish to avail the following facility:

Basic Services Demat A/C facility: YES NO

OTHER DETAILS
GROSS ANNUAL INCOME DETAILS (Income Range per annum)

UP TO RS. 1 LAC RS. 10 LAC - RS. 25 LAC
 RS. 1 LAC - RS. 5 LAC MORE THAN RS. 25 LAC
 RS. 5 LAC - RS. 10 LAC

NET WORTH AS ON DATE (NOT OLDER THAN 1 YEAR)

VALUE IN Rs. : _____
 DATE (DD/MM/YYYY) : _____

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,

 DATE :
Definedge Securities Broking Private Limited

2nd floor, Ambashish, Plot no 3-4, Lane No. 9,
 Pakharbag, NDA Pashan Rd, Bavdhan, Pune, 411021

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 & 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 the First/Sole Holder/Authorized signatory (16/31)

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.

	Sole/First Holder Signature	Second Holder Signature	Third Holder Signature
Name			
(17/31)			

Depository Participant Seal and Signature

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/our demat account/BSDA) until opted otherwise by a written communication to Definedge Securities Broking Private Limited (hereafter referred as DSBPL) as BSDA account even if applicable by eligibility
2. Salient Features of BSDA are available on 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

	Sole/First Holder Signature	Second Holder Signature	Third Holder Signature
Name			
(18/31)			

FATCA/CRS DECLARATION/SELF CERTIFICATION FOR INDIVIDUAL

Client Name						
	First/Sole Holder		Second Holder (if any)		Third Holder (if any)	
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
	First/Sole Holder Signature		Second Joint Holder Signature		Third Joint Holder Signature	
(19/31)						

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

Date :

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

DP-ID :

1	2	0	9	4	7	0	0
---	---	---	---	---	---	---	---

BO ID :

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

First Holder :

--

Second Holder :

--

Third Holder :

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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**

Sole/First Holder Signature	Second Holder Signature	Third Holder Signature
(20/31)		

NOMINATION FORM

DP ID	Client ID	Nomination Registration No.	Dated
<input type="checkbox"/> I/We nominate the following persons who is/are entitled to receive security balances lying in my/our account, particulars where of are given below, in the event of my/our death.			
Nomination Details	Nominee 01	Nominee 02	Nominee 03
Nominee Name :			
*First Name			
Middle Name			
*Last Name			
Percentage of allocation of securities	%	%	%
Equally [If not equally, please specify percentage]			
Or			
Share of each Nominee			
Any odd lot after division shall be transferred to the first nominee mentioned in the form			
Nomination Identification Details [Please tick any one of the following and provide details of same]	Nominee 01	Nominee 02	Nominee 03
<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Savings Bank A/c No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> DEMAT Account ID [Optional Fields]			
*Address			
*City			
*State			
*Pin			
*Country			
Mobile/Telephone No. [Optional Field]			
Email Id [Optional Field]			
FAX No. [Optional Field]			
*Relationship with the BO :			

To be filled only if nominee(s) is a minor:			
Date of birth (mandatory) (if Nominee is a minor) dd-mm-yyyy			
*Name of the Guardian of Nominee (if nominee is a minor)			
*First Name			
Middle Name			
*Last Name			
*Address of the Guardian of nominee :			
*City			
*State			
*Pin			
*Country			
Age			
Mobile/Telephone No. [Optional Field]			
Email Id [Optional Field]			
FAX No. [Optional Field]			
*Relationship of the Guardian with Nominee :			
§ Guardian Identification details –[Please tick any one offollowing and provide details ofsame]			
<input type="checkbox"/> Photograph & Signature			
<input type="checkbox"/> PAN			
<input type="checkbox"/> Aadhaar			
<input type="checkbox"/> Savings Bank A/c No.			
<input type="checkbox"/> Proof of Identity			
<input type="checkbox"/> DEMAT Account ID			
[Optional Fields]			
	Name(s) of Holder(s)	Signature(s) of holder* (21/31)	
Sole First Holder (Mr./Ms.)			
Second Holder (Mr./Ms.)			
Third Holder (Mr./Ms.)			

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

§
Note :
This nomination shall supersede any prior nomination made by the account holder(s), if any.

Residual securities: in case in case of multiple nominees § remaining after distribution of securities as per percentage of allocation shall be transferred to the first nominee.

DECLARATION FORM FOR OPTING OUT OF NOMINATION

Date

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

To

Trading Member/Participant's Name

Trading Member/Participant's Address

UCC/DP ID

I	N								
---	---	--	--	--	--	--	--	--	--

Client ID (only for Demat account)

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

Sole/First Holder Name

Second Holder Name

Third Holder Name

I/We hereby confirm that I/We do not wish to appoint any nominee(s) in my/our trading/demat account and understand the issues involved in non-appointment of nominee(s) and further I/we am/are aware that in case of death of all the account holder(s), my/our legal heirs would need to submit all the requisite documents/information for claiming of assets held in my/our trading/demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading/demat account.

Name and Signature of Holder(s)*

(22/31) 1. _____ 2. _____ 3. _____

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

Name and address

1. _____ 2. _____ 3. _____

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	 (23/31)
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.	 (24/31)
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	 (25/31)
4.	Tendering shares in open offers through Stock Exchange platforms	 (26/31)

* 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	:
Email 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 EMAIL ID.

Further I/we hereby agree & 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 DSBPL that the same may be used for giving me any information/alert/SMS.

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

Client Signature

Sole/First Holder Signature	Second Holder Signature	Third Holder Signature
(27/31)		

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 (DSBPL). I/We also understand that these Terms and Conditions can be changed by DSBPL from time to time with prior notice of 10 days and subject to posting of the amendments and modifications therein on it's website and their applicability with prospective effect.

Signature of Client : (28/31) _____

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 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 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 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 : (29/31) _____

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 (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 email 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 :
* Signature (30/31) : _____ 	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 (DSBPL), 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 : (31/31) _____



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, 2nd Floor, Pakharbag, NDA Pashan Road, Bavdhan, Pune, Maharashtra – 411021 Phone : 020-61923200 URL : www.definedgesecurities.com CIN : U65990PN2021PTC198378
Corporate Office Address	:	Office No. 523, 5th 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 **Definedge 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