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Note: **Booklet 1** to be filled by client and returned to PL. **Booklet 2** to be read, understood & retained with client for future reference

**Prabhudas Lilladher Private Limited** Trading Member (TM) / Clearing Member (CM) / Trading cum Clearing Member (TCM):

<b>Bombay Stock Exchange Limited</b> Equity Segment: INB010502855 – May 17, 2000   Derivatives Segment (TM): INF010502855 – Jun. 2, 2000   Currency Derivatives Segment (TM): INE010597738 - Dec. 18, 2008	<b>National Stock Exchange of India Limited Capital Market</b> Segment: INB230597738 - May 27,1994   Futures & Options Segment (TM): INF230597738 - March 29, 2006   Currency Derivatives Segment (TCM): INE230597738 - August 25, 2008
Mutual Funds Distribution: AMFI ARN No.29889	CDSL SEBI Reg. No. IN-DP-CDSL-14-99 – May 14, 1999, NSDL SEBI Reg. No. IN-DP-NSDL-329-2010 – July 16, 2010

**Registered & Correspondence office address:** 3rd Floor, Sadhana House, 570, P. B. Marg, Worli, Mumbai – 400018; Tel.: (91) (22) 66322366 (Broking), (91) (22) 66322456 (DP); Fax: (91) (22) 66322439 (Broking), (91) (22) 66322459 (DP); Website: www.plindia.com  
**CIN:** U67190MH1983PTC029670

**Compliance Officer Name:** Mr. A. Subrahmanian Phone No. (91) (22) 66322420 E-mail ID: asubrahmanian@plindia.com

**Joint MD Name:** Mr. Dhiren P. Sheth Phone no. (91) (22) 66322321 E-mail ID: jtmd@plindia.com

For any grievance/dispute: Please contact Prabhudas Lilladher Private Limited at the above address or email id - grievance-br@plindia.com & Tel. No. (91) (22) 66322366 (Broking related) / grievance-dp@plindia.com & Tel. No. (91) (22) 66322456 (DP related)

**In case not satisfied** with the response, please contact the concerned exchange(s) at **NSE:** ignse@nse.co.in **BSE:** is@bseindia.com

**CDSL:** complaints@cdslindia.com Phone no. **NSE:** (91) (22) 26598190/91 / 1800 22 0051/58 **BSE:** (91) (22) 2721233/34 **CDSL:** 1800 200 5533

### CHECKLIST FOR FILLING KYC FORM (List of documents to be Submitted)

	Acceptable Documents (Self attested copies required)	Please Tick
PAN Card	Mandatory for all - including joint holders of demat account & Guardian of Minor applicant	
Photograph	One Colored Front Face Photograph on photographic Paper (Passport Size) Signed across	
Proof of Identity (Any One)	1. Unique identification number (UID) (Aadhaar)	
	2. Valid Passport (Name, Address & Photo page)	
	3. Voter ID (front and back)	
	4. Valid Driving License (Name, Address & Photo page)	
	5. PAN Card	
	6. Other (Pls. Specify) _____	
Proof of Address (Any One)	1. Valid Passport (Name, Address & Photo page)	
	2. Voter ID (front and back)	
	3. Valid Driving License (Name, Address & Photo page)	
	4. Unique identification number (UID) (Aadhaar)	
	5. Bank Statement/Passbook (not more than 3 months old, seal & signature of the bank official)	
	6. Banker's Certificate on letter head of the Bank (ORIGINAL)	
	7. Electricity Bill (not more than 3 months old)	
	8. Resident Landline Tel. Bill (not more than 3 months old)	
	9. Registered Flat Sale Agreement of Residence	
	10. Registered Lease/Leave & License Agreement	
	11. Other (Pls. Specify) _____	
Bank Account Proof (Any One)	1. Cancelled Personalized Cheque leaf (ORIGINAL)	
	2. Bank Statement / Bank Passbook with cheque leaf (not more than 3 months old, seal & signature of Bank Official) specifying name of the constituent, MICR Code & IFSC Code of the bank	
	3. Banker's Certificate on letter head of the Bank (ORIGINAL) specifying name of the constituent, MICR Code & IFSC Code of the bank	
Demat Account Proof (Any One)	1. Client Master duly stamped by Client's DP (with client as first-holder in the account)	
	2. Latest Transaction / Holding Statement of BO account (BO Means Beneficial Owner or Demat Account holder)	
Proof of Income (Any One)	1. Copy of ITR Acknowledgement	
	2. Copy of Annual Account	
	3. In case of salary income - Salary Slip, Copy of Form 16	
	4. Net-worth certificate issued by C.A.	
	5. Copy of Demat Account Holding Statement with valuation	
	6. Bank Account Statement for last 6 months reflecting income	

**CLIENT CATEGORYWISE – ADDITIONAL DOCUMENTS**

(1) Passport / PIO Card / OCI Card (2) Overseas Address Proof (3) Bank Passbook / Statement for PIS Account & NRE/ NRO account (as applicable)	Mandatory for NRIs / Foreign Nationals
Mariner's Declaration or Certified Copy of CDC (Continuous Discharge Certificate)	Mandatory for Merchant Navy NRIs
(1) Permanent Address (other than that mentioned in correspondence address column) & proof thereof (2) NOC from the person/entity whose address is provided as correspondence address	Mandatory if any Client wishes to get his correspondence on address of some other entity such as C/o address, Office address, POA holder's address etc.
(1) Any one of the document of Minor duly Notarised - Birth Certificate / School Leaving Certificate / Mark sheet issued by Higher Secondary Board / Passport (2) KRA-KYC Form along with PAN Card & Proof of Address of Guardian (3) Passport size photograph of Minor & Guardian (4) Copy of Court Order in case the Guardian is not a Natural parent & is appointed by Court	Mandatory for Minor's Demat Account

## INSTRUCTIONS/ CHECKLIST FOR FILLING KNOW YOUR CLIENT (KYC) & ACCOUNT OPENING FORM (AOF)

1. Trading Account will be in the name of First/Sole holder of Demat only.
2. All the fields in the Form must be filled up otherwise the Form may be rejected.
3. All details to be filled in CAPITAL letters and in English. Use Black/Blue Ink Only. The account holder/s will have to paste (not staple) their latest photograph in the relevant boxes provided and sign across it i.e. half on photo and half on the page.
4. KYC form, AOF & all relevant documents are to be signed by the account holder/s in case of Individual Accounts. A Power of Attorney holder cannot open an account i.e. sign KYC form and AOF on behalf of the account holder/s.
5. The Applicant has to sign wherever sign mark F,S,T is mentioned {F-First Holder, S-Second Holder, T-Third Holder}
6. Signature should be preferably in black ink. **In case of any correction/cancellation, please provide counter signature on the left side of the page.**
7. Details in columns marked \* in the AOF must be furnished mandatorily. The section of AOF which is not relevant & kept blank by the applicant is to be struck off as "N.A"
8. Thumb impression and signatures other than English, Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a special Executive Magistrate
9. Name of applicant on AOF must match with that given on PAN Card / PAN website. Name & address of account holder/s mentioned on KYC form should match with the documentary proof submitted.
10. Self attested documents as provided for in the checklist should be 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 instructions given on the reverse side of the KYC form.
11. Every cancellation/correction/overwriting must be authenticated (full signature) by all holders. Use of white ink will render the document invalid. So please avoid cancellations & use of white ink on the KYC form, AOF and POA.
12. Self attested copy of PAN card of all holders is mandatory.
13. In case photo on PAN Card is not legible, submit alternate proof of identity, from the list of SEBI approved documents, which is clear & legible
14. If proof of identity or address is in regional or foreign language, then translation into English is required.
15. If Correspondence & Permanent addresses of holder(s) are different, then proofs for both addresses have to be submitted.
16. If Client wishes to receive correspondence at address of some other person or entity, then SEBI approved proof of identity and address documents (as given in the checklist) in the name of such other persons or entities may be provided. In all such cases, the address of such person or entity must be mentioned in the AOF and also permanent address of the applicant, other than that given as correspondence address must be provided. NOC for such other persons / entities should be provided.
17. Applicant must register his/her own Mobile Number & E-mail ID with Stock-broker / Depository Participant as per SEBI guidelines. However, client under a "family" can seek registration of Mobile number/E-mail ID owned by a family member restricted to spouse, dependant father, dependent mother, dependent son & dependant daughter as per SEBI.
18. ECS of Dividend / Interest / Redemption Amount / IPO Refund is mandatory for locations notified by SEBI from time to time. So please mention your Bank Account No, MICR Code & IFSC Code correctly
19. In case of Individual Clients, Nomination or Dissent for Nomination is to be provided mandatorily. Joint- holders cannot be appointed as Nominee or Guardian of Minor Nominee.

20. 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.
21. SMS Alert facility is a service provided by CDSL directly and applicants opting for POA facility for their demat accounts must mandatorily register for this facility. In case applicant does not have his/her own Mobile number, he/she can provide that of any other person at his/her discretion to receive SMS alerts on his/her behalf.
22. Sole proprietor must make the application in his individual name & capacity.
23. 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.
24. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
25. In case of Minor's Demat Account:
  - The Minor shall be the first & sole holder in the account i.e. there shall not be any joint holder
  - Guardian of the minor to sign at all places where minor has to sign.
  - Photograph of Guardian to be affixed alongside Minor's photo.
25. In case of joint applicants for Demat Account, copy of PAN, Proof of Address and Proof of Identity for all Applicants is mandatory.
26. Demat Account cannot be linked with Trading Account where minor is the holder in Demat account
27. Witness should be a person other than co-holder / joint holder.

#### **SUB-BROKERS (SB), AUTHORISED PERSONS (AP) AND BRANCHES**

1. In case of Individual Clients, the person authorised by PL or registered SB / AP should personally verify photograph affixed on KRAKYC and on proof of identity documents of account holder(s) and must sign on the documents collected as proof of identity for all of them to the effect that "Identity of applicant is verified in person". Details of person authorised to carry out In-person verification should be duly filled.
2. All copies of proof documents must be verified against their originals, stamped as "Verified with Original" and signed by person authorised by PL or registered SB / AP under **PL / Sub broker / Authorised persons** Stamp with his name mentioned alongside his signature.

## CENTRAL KYC REGISTRY (CKYCR) INSTRUCTIONS/ CHECKLIST

- CERSAI, performing the function of CKYCR, is a centralized repository of KYC records of customers in financial sector with uniform KYC norms & inter-usability of KYC records across the sector. The KYC data and documents are stored in a digitally secure electronic format.
- If a bank or mutual fund or insurance company or pension fund has uploaded their client's KYC data with CKYCR, then stock-broker or DP can fetch the same KYC data to open Broking/Demat account or vice-versa. They need not ask for fresh proof of Identity and Address unless client's details have changed
- CKYCR has a unique 14-digit KYC Number for each applicant. The applicant needs to quote this ID in all applications where KYC details are to be given. Data is de-duplicated under various parameters to ensure single KYC identifier per applicant.

### GENERAL INSTRUCTIONS

- Please state name with Prefix (Mr./Mrs./Ms./Dr.)
- The name should match the name as mentioned in the PAN Card/PAN Website failing which the application is liable to be rejected.
- Father's name is mandatory in case PAN is not available.
- District, City, State, Country & Pin-code is mandatory for all addresses in India.
- In KRA-KYC Form under Contact Details, please mention 2-digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999). Do not add '0' in the beginning of Mobile number
- In case of landline telephone numbers, please mention STD or ISD code and then the telephone number
- Expiry dates must be mandatorily furnished for proof documents having expiry date

### DOCUMENTS ACCEPTED AS PROOF OF IDENTITY & ADDRESS BY CKYC RECORDS REGISTRY

- In case of 'Normal' Accounts, any one of the six Officially Valid Documents (OVDs) i.e. PAN, Aadhaar, Voter ID, Passport, Driving Licence, NREGA Job card are accepted as proof of identity & address
- In case of 'Simplified Measures' Account any one of the following documents under proof of identity & proof of address are accepted

#### Proof of Identity:

- (a) Identity Card with applicant's photograph issued by Central/State Government Department or Statutory / Regulatory authority or Public Sector Undertaking or Scheduled Commercial Bank or Public Financial Institution
- (b) Letter issued by Gazetted Officer, with duly attested photograph of the person

#### Proof of Address:

- (a) Utility Bill not more than 2 months old (i.e. Electricity Bill, Landline/post-paid Mobile Phone Bill, Piped Gas/Water Bill)
  - (b) Property or Municipal Tax Receipt
  - (c) Bank Account or Post Office Savings Bank Account Statement
  - (d) Pension or Family Pension Payment Orders (PPO) bearing address issued to retired employees by Government Departments or public sector undertakings
  - (e) Letter of allotment of accommodation from employer or Leave & License agreements allotting official accommodation issued by Central/State Government Department or Statutory / Regulatory authority or Public Sector Undertaking or Scheduled Commercial Bank or Public Financial Institution or listed companies
  - (f) Documents issued by Government departments of foreign jurisdictions or by Foreign Embassy or Mission in India '
- "Small" accounts are not applicable for accounts to be opened in securities market

**KYC REGISTRATION FORM – INDIVIDUAL (KRA cum CERSAI FORM)  
(Applicable for Equity Trading, Commodity Trading & Demat Account)  
FIRST / SOLE -HOLDER**

Fields marked \* are mandatory fields  
Please fill in English and in BLOCK letters

**CENTRAL KYC REGISTRY – KYC APPLICATION DETAILS**

Application Type     New     Update

KYC Number (to be provided mandatorily if already registered with CKYCR)

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Account Type     Normal     Simplified (for low risk customers)     Small

**PERSONAL DETAILS**

Name\*: Mr./Mrs./Ms. \_\_\_\_\_  
(Same as per PAN Name at Income Tax)    (First Name)    (Middle Name)    (Last Name)

PAN No.*													
UID (Aadhaar) No.													

Father's Name\*: Mr./Mrs./Ms. \_\_\_\_\_  
(First Name)    (Middle Name)    (Last Name)

Mother's Name\*: Mr./Mrs./Ms. \_\_\_\_\_  
(First Name)    (Middle Name)    (Last Name)

Spouse Name\*: Mr./Mrs./Ms. \_\_\_\_\_  
(First Name)    (Middle Name)    (Last Name)

Spouse Name\*: Mr./Mrs./Ms. \_\_\_\_\_  
(for married applicants only)    (First Name)    (Middle Name)    (Last Name)

Maiden Name\*: Mr./Mrs./Ms. \_\_\_\_\_  
(for married women only)    (First Name)    (Middle Name)    (Last Name)

Date of Birth\*: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_



- Gender\*:     Male     Female     Transgender
- Marital Status\*:     Married     Unmarried     Others
- Nationality\*:     Indian     Others (ISO 3166 Country Code )
- Residential Status\*:     Resident Individual     Non Resident Indian  
                                    Foreign National     Foreign National
- Occupation Type\*:     Private Sector Service     Public Sector Service     Government Service     Professional  
                                    Business     Retired     Housewife     Student  
                                    Agriculturist     Forex Dealer     Others (please specify) \_\_\_\_\_



**ADDITIONAL DETAILS**

Place &amp; City of Birth\*: \_\_\_\_\_

Country of Birth\*: \_\_\_\_\_ (ISO 3166 Country Code )Are you a Resident of a Country/Territory outside India for tax purpose?\*  Yes  NoIf Yes, Country of Jurisdiction of Residence for tax purpose: \_\_\_\_\_  
(ISO 3166 Country Code )

Tax Identification Number or equivalent issued by jurisdiction: \_\_\_\_\_

Tax Identification Type: \_\_\_\_\_

**ADDITIONAL DETAILS****A. PERMANENT / OVERSEAS ADDRESS**Address Type\*:  Residential  Business  Residential/Business  Registered Office  Unspecified

Address Line 1\*: \_\_\_\_\_

Address Line 2 : \_\_\_\_\_

Address Line 3 : \_\_\_\_\_

City/Town/Village\*: \_\_\_\_\_ District\*: \_\_\_\_\_ Pin Code\*: \_\_\_\_\_

State\*: \_\_\_\_\_ Country\*: \_\_\_\_\_ (ISO 3166 Country Code )

Proof of Address submitted\*: (# document must not be more than 3 months old)

 Passport  Driving License  UID (Aadhaar)  Voter Identity Card  NREGA Job Card  
 Bank Account Statement/Passbook #  Landline Telephone Bill #  Electricity Bill #  Gas (piped line) Bill #  
 Ration Card  Registered Lease/Sale Agreement of Residence  Others \_\_\_\_\_

Validity / Expiry of proof of address submitted (if applicable): \_\_\_\_/\_\_\_\_/\_\_\_\_

**B. CORRESPONDENCE ADDRESS** Same as Permanent / Overseas Address details

Address Line 1\*: \_\_\_\_\_

Address Line 2 : \_\_\_\_\_

Address Line 3 : \_\_\_\_\_

City/Town/Village\*: \_\_\_\_\_ District\*: \_\_\_\_\_ Pin Code\*: \_\_\_\_\_

State\*: \_\_\_\_\_ Country\*: \_\_\_\_\_ (ISO 3166 Country Code )

Proof of Address submitted\*: (# document must not be more than 3 months old)

 Passport  Driving License  UID (Aadhaar)  Voter Identity Card  NREGA Job Card  
 Bank Account Statement/Passbook #  Landline Telephone Bill #  Electricity Bill #  Gas (piped line) Bill #  
 Ration Card  Registered Lease/Sale Agreement of Residence  Others \_\_\_\_\_

Validity / Expiry of proof of address submitted (if applicable): \_\_\_\_/\_\_\_\_/\_\_\_\_

**C. ADDRESS IN THE JURISDICTION OUTSIDE INDIA WHERE APPLICANT IS RESIDENT FOR TAX PURPOSES***(to be filled only if applicant is a Resident of a Country/Territory outside India for Tax purpose) (for more than one country, please fill details on a separate page in the same format & attach to this KYC form)* Same as Permanent / Overseas Address details Same as Correspondence Address details

Address Line 1\*: \_\_\_\_\_

Address Line 2 : \_\_\_\_\_

Address Line 3 : \_\_\_\_\_

City/Town/Village\*: \_\_\_\_\_ District\*: \_\_\_\_\_ Pin Code\*: \_\_\_\_\_

State\*: \_\_\_\_\_ Country\*: \_\_\_\_\_ (ISO 3166 Country Code )**CONTACT DETAILS**

	ISD Code	STD Code	Contact Number
Telephone No. (Office)			
Telephone No. (Residence)			
FAX Number			
Mobile Number *			
E-Mail ID *			

**PROOF OF IDENTITY (Certified copy of any one of the following needs to be submitted)** PAN Card UID (Aadhaar) Passport: \_\_\_\_\_ Expiry Date: \_\_\_/\_\_\_/\_\_\_ Voter Identity Card: \_\_\_\_\_ NREGA Job Card: \_\_\_\_\_ Driving License: \_\_\_\_\_ Expiry Date: \_\_\_/\_\_\_/\_\_\_ Others (any document notified by Central Government): \_\_\_\_\_

Identification No.: \_\_\_\_\_

 Simplified Measures Account: Document: \_\_\_\_\_

Identification No.: \_\_\_\_\_

**DETAILS OF RELATED PERSON (to be filled only if applicable)**Related Person Type\*:  Guardian of Minor  Assignee  Authorised RepresentativeKYC Number of Related person *(to be provided mandatorily if related person is already registered with CKYCR)*

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Name\*: Mr./Mrs./Ms. \_\_\_\_\_  
(First Name) (Middle Name) (Last Name)

If KYC Number &amp; name is provided, then below details are optional)

**Proof of Identity of Related Person** Identity Proof submitted: \_\_\_\_\_ Identification No.: \_\_\_\_\_ Expiry Date: \_\_\_/\_\_\_/\_\_\_ Others (any document notified by Central Government): \_\_\_\_\_ Identification No.: \_\_\_\_\_ Simplified Measures Account: Document: \_\_\_\_\_ Identification No.: \_\_\_\_\_

**REMARKS (if any)****DECLARATION**

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

I hereby consent to receiving information from Central KYC Registry thro SMS/Email on the above registered number / e-mail address.

Date: \_\_/\_\_/201\_\_

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

✍ F1

Signature / Thumb Impression of Applicant

**ATTESTATION / FOR OFFICE USE ONLY**

<b>Documents Received</b>	<input type="checkbox"/> Self Certified copies received		<input type="checkbox"/> True copies of documents received
	<b>KYC Verification Done by</b>	<b>In-person verification Done By</b>	<b>INSTITUTION DETAILS</b>
Date of verification	/ /201__	/ /201__	<b>PRABHUDAS LILLADHER PVT. LTD.</b>
Name of the person who carried out verifications			<b>Code: IN0483</b>
Branch/AP Name			Institution Stamp
Employee Code			
Employee Designation			
Employee Signature			

**KYC REGISTRATION FORM - INDIVIDUAL (KRA cum CERSAI FORM)  
JOINT - HOLDER 1 OF DEMAT ACCOUNT / GUARDIAN OF A MINOR APPLICANT**

Fields marked \* are mandatory fields  
Please fill in English and in BLOCK letters

**CENTRAL KYC REGISTRY – KYC APPLICATION DETAILS**

Application Type     New     Update

KYC Number (to be provided mandatorily if already registered with CKYCR)

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

Account Type     Normal     Simplified (for low risk customers)     Small

**PERSONAL DETAILS**

Name\*: Mr./Mrs./Ms. \_\_\_\_\_

(Same as per PAN Name at Income Tax)    (First Name)    (Middle Name)    (Last Name)

PAN No.*													
UID (Aadhaar) No.													

Father's Name\*: Mr./Mrs./Ms. \_\_\_\_\_  
(First Name)    (Middle Name)    (Last Name)

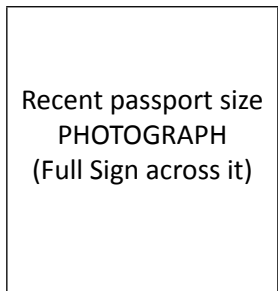
Mother's Name\*: Mr./Mrs./Ms. \_\_\_\_\_  
(First Name)    (Middle Name)    (Last Name)

Spouse Name\*: Mr./Mrs./Ms. \_\_\_\_\_  
(First Name)    (Middle Name)    (Last Name)

Spouse Name\*: Mr./Mrs./Ms. \_\_\_\_\_  
(for married applicants only)    (First Name)    (Middle Name)    (Last Name)

Maiden Name\*: Mr./Mrs./Ms. \_\_\_\_\_  
(for married women only)    (First Name)    (Middle Name)    (Last Name)

Date of Birth\*:    \_\_\_\_ / \_\_\_\_ / \_\_\_\_



Gender\*:     Male     Female     Transgender  
 Marital Status\*:     Married     Unmarried     Others  
 Nationality\*:     Indian     Others (ISO 3166 Country Code   
 Residential Status\*:     Resident Individual     Non Resident Indian  
                                   Foreign National     Foreign National

Occupation Type\*:     Private Sector Service     Public Sector Service     Government Service     Professional  
                                   Business     Retired     Housewife     Student  
                                   Agriculturist     Forex Dealer     Others (please specify) \_\_\_\_\_

**ADDITIONAL DETAILS**

Place &amp; City of Birth\*: \_\_\_\_\_

Country of Birth\*: \_\_\_\_\_ (ISO 3166 Country Code )Are you a Resident of a Country/Territory outside India for tax purpose?\*  Yes  NoIf Yes, Country of Jurisdiction of Residence for tax purpose: \_\_\_\_\_  
(ISO 3166 Country Code )

Tax Identification Number or equivalent issued by jurisdiction: \_\_\_\_\_

Tax Identification Type: \_\_\_\_\_

**ADDITIONAL DETAILS****A. PERMANENT / OVERSEAS ADDRESS**Address Type\*:  Residential  Business  Residential/Business  Registered Office  Unspecified

Address Line 1\*: \_\_\_\_\_

Address Line 2 : \_\_\_\_\_

Address Line 3 : \_\_\_\_\_

City/Town/Village\*: \_\_\_\_\_ District\*: \_\_\_\_\_ Pin Code\*: \_\_\_\_\_

State\*: \_\_\_\_\_ Country\*: \_\_\_\_\_ (ISO 3166 Country Code )

Proof of Address submitted\*: (# document must not be more than 3 months old)

 Passport  Driving License  UID (Aadhaar)  Voter Identity Card  NREGA Job Card  
 Bank Account Statement/Passbook #  Landline Telephone Bill #  Electricity Bill #  Gas (piped line) Bill #  
 Ration Card  Registered Lease/Sale Agreement of Residence  Others \_\_\_\_\_

Validity / Expiry of proof of address submitted (if applicable): \_\_\_\_/\_\_\_\_/\_\_\_\_

**B. CORRESPONDENCE ADDRESS** Same as Permanent / Overseas Address details

Address Line 1\*: \_\_\_\_\_

Address Line 2 : \_\_\_\_\_

Address Line 3 : \_\_\_\_\_

City/Town/Village\*: \_\_\_\_\_ District\*: \_\_\_\_\_ Pin Code\*: \_\_\_\_\_

State\*: \_\_\_\_\_ Country\*: \_\_\_\_\_ (ISO 3166 Country Code )

Proof of Address submitted\*: (# document must not be more than 3 months old)

 Passport  Driving License  UID (Aadhaar)  Voter Identity Card  NREGA Job Card  
 Bank Account Statement/Passbook #  Landline Telephone Bill #  Electricity Bill #  Gas (piped line) Bill #  
 Ration Card  Registered Lease/Sale Agreement of Residence  Others \_\_\_\_\_

Validity / Expiry of proof of address submitted (if applicable): \_\_\_\_/\_\_\_\_/\_\_\_\_

**C. ADDRESS IN THE JURISDICTION OUTSIDE INDIA WHERE APPLICANT IS RESIDENT FOR TAX PURPOSES**

(to be filled only if applicant is a Resident of a Country/Territory outside India for Tax purpose) (for more than one country, please fill details on a separate page in the same format & attach to this KYC form)

Same as Permanent / Overseas Address details

Same as Correspondence Address details

Address Line 1\*: \_\_\_\_\_

Address Line 2 : \_\_\_\_\_

Address Line 3 : \_\_\_\_\_

City/Town/Village\*: \_\_\_\_\_ District\*: \_\_\_\_\_ Pin Code\*: \_\_\_\_\_

State\*: \_\_\_\_\_ Country\*: \_\_\_\_\_ (ISO 3166 Country Code )

**CONTACT DETAILS**

	ISD Code	STD Code	Contact Number
Telephone No. (Office)			
Telephone No. (Residence)			
FAX Number			
Mobile Number *			
E-Mail ID *			

**PROOF OF IDENTITY (Certified copy of any one of the following needs to be submitted)**

PAN Card

UID (Aadhaar)

Passport: \_\_\_\_\_

Expiry Date: \_\_/\_\_/\_\_\_\_

Voter Identity Card: \_\_\_\_\_

NREGA Job Card: \_\_\_\_\_

Driving License: \_\_\_\_\_

Expiry Date: \_\_/\_\_/\_\_\_\_

Others (any document notified by Central Government): \_\_\_\_\_

Identification No.: \_\_\_\_\_

Simplified Measures Account: Document: \_\_\_\_\_

Identification No.: \_\_\_\_\_

**DETAILS OF RELATED PERSON (to be filled only if applicable)**

Related Person Type\*:  Guardian of Minor

Assignee

Authorised Representative

KYC Number of Related person (to be provided mandatorily if related person is already registered with CKYCR)

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Name\*: Mr./Mrs./Ms. \_\_\_\_\_  
(First Name) (Middle Name) (Last Name)

If KYC Number & name is provided, then below details are optional)

**Proof of Identity of Related Person**

Identity Proof submitted: \_\_\_\_\_ Identification No.: \_\_\_\_\_ Expiry Date: \_\_/\_\_/\_\_\_\_

Others (any document notified by Central Government): \_\_\_\_\_ Identification No.: \_\_\_\_\_

Simplified Measures Account: Document: \_\_\_\_\_ Identification No.: \_\_\_\_\_

**REMARKS (if any)****DECLARATION**

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

I hereby consent to receiving information from Central KYC Registry thro SMS/Email on the above registered number / e-mail address.

Date: \_\_/\_\_/201\_\_

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

 <b>F1</b>
<b>Signature / Thumb Impression of Applicant</b>

**ATTESTATION / FOR OFFICE USE ONLY**

<b>Documents Received</b>	<input type="checkbox"/> Self Certified copies received		<input type="checkbox"/> True copies of documents received
	<b>KYC Verification Done by</b>	<b>In-person verification Done By</b>	<b>INSTITUTION DETAILS</b>
Date of verification	/ /201__	/ /201__	<b>PRABHUDAS LILLADHER PVT. LTD.</b>
Name of the person who carried out verifications			<b>Code: IN0483</b>
Branch/AP Name			Institution Stamp
Employee Code			
Employee Designation			
Employee Signature			

**KYC REGISTRATION FORM – INDIVIDUAL (KRA cum CERSAI FORM)  
(Applicable for Equity Trading, Commodity Trading & Demat Account)  
“JOINT HOLDER 2 OF DEMAT ACCOUNT”**

Fields marked \* are mandatory fields  
Please fill in English and in BLOCK letters

**CENTRAL KYC REGISTRY – KYC APPLICATION DETAILS**

Application Type     New     Update

KYC Number (to be provided mandatorily if already registered with CKYCR)

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Account Type     Normal     Simplified (for low risk customers)     Small

**PERSONAL DETAILS**

Name\*: Mr./Mrs./Ms. \_\_\_\_\_  
(Same as per PAN Name at Income Tax)    (First Name)    (Middle Name)    (Last Name)

PAN No.*													
UID (Aadhaar) No.													

Father's Name\*: Mr./Mrs./Ms. \_\_\_\_\_  
(First Name)    (Middle Name)    (Last Name)

Mother's Name\*: Mr./Mrs./Ms. \_\_\_\_\_  
(First Name)    (Middle Name)    (Last Name)

Spouse Name\*: Mr./Mrs./Ms. \_\_\_\_\_  
(First Name)    (Middle Name)    (Last Name)

Spouse Name\*: Mr./Mrs./Ms. \_\_\_\_\_  
(for married applicants only)    (First Name)    (Middle Name)    (Last Name)

Maiden Name\*: Mr./Mrs./Ms. \_\_\_\_\_  
(for married women only)    (First Name)    (Middle Name)    (Last Name)

Date of Birth\*:    \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Gender*:	<input type="checkbox"/> Male	<input type="checkbox"/> Female	<input type="checkbox"/> Transgender	Recent passport size PHOTOGRAPH (Full Sign across it)
Marital Status*:	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Nationality*:	<input type="checkbox"/> Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="checkbox"/> <input type="checkbox"/> )		
Residential Status*:	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National		
Occupation Type*:	<input type="checkbox"/> Private Sector Service	<input type="checkbox"/> Public Sector Service	<input type="checkbox"/> Government Service	
	<input type="checkbox"/> Business	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife	<input type="checkbox"/> Student
	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Forex Dealer	<input type="checkbox"/> Others (please specify) _____	



**ADDITIONAL DETAILS**

Place &amp; City of Birth\*: \_\_\_\_\_

Country of Birth\*: \_\_\_\_\_ (ISO 3166 Country Code )Are you a Resident of a Country/Territory outside India for tax purpose?\*  Yes  NoIf Yes, Country of Jurisdiction of Residence for tax purpose: \_\_\_\_\_  
(ISO 3166 Country Code )

Tax Identification Number or equivalent issued by jurisdiction: \_\_\_\_\_

Tax Identification Type: \_\_\_\_\_

**ADDITIONAL DETAILS****A. PERMANENT / OVERSEAS ADDRESS**Address Type\*:  Residential  Business  Residential/Business  Registered Office  Unspecified

Address Line 1\*: \_\_\_\_\_

Address Line 2 : \_\_\_\_\_

Address Line 3 : \_\_\_\_\_

City/Town/Village\*: \_\_\_\_\_ District\*: \_\_\_\_\_ Pin Code\*: \_\_\_\_\_

State\*: \_\_\_\_\_ Country\*: \_\_\_\_\_ (ISO 3166 Country Code )

Proof of Address submitted\*: (# document must not be more than 3 months old)

 Passport  Driving License  UID (Aadhaar)  Voter Identity Card  NREGA Job Card  
 Bank Account Statement/Passbook #  Landline Telephone Bill #  Electricity Bill #  Gas (piped line) Bill #  
 Ration Card  Registered Lease/Sale Agreement of Residence  Others \_\_\_\_\_

Validity / Expiry of proof of address submitted (if applicable): \_\_\_\_/\_\_\_\_/\_\_\_\_

**B. CORRESPONDENCE ADDRESS** Same as Permanent / Overseas Address details

Address Line 1\*: \_\_\_\_\_

Address Line 2 : \_\_\_\_\_

Address Line 3 : \_\_\_\_\_

City/Town/Village\*: \_\_\_\_\_ District\*: \_\_\_\_\_ Pin Code\*: \_\_\_\_\_

State\*: \_\_\_\_\_ Country\*: \_\_\_\_\_ (ISO 3166 Country Code )

Proof of Address submitted\*: (# document must not be more than 3 months old)

 Passport  Driving License  UID (Aadhaar)  Voter Identity Card  NREGA Job Card  
 Bank Account Statement/Passbook #  Landline Telephone Bill #  Electricity Bill #  Gas (piped line) Bill #  
 Ration Card  Registered Lease/Sale Agreement of Residence  Others \_\_\_\_\_

Validity / Expiry of proof of address submitted (if applicable): \_\_\_\_/\_\_\_\_/\_\_\_\_

**C. ADDRESS IN THE JURISDICTION OUTSIDE INDIA WHERE APPLICANT IS RESIDENT FOR TAX PURPOSES***(to be filled only if applicant is a Resident of a Country/Territory outside India for Tax purpose) (for more than one country, please fill details on a separate page in the same format & attach to this KYC form)* Same as Permanent / Overseas Address details Same as Correspondence Address details

Address Line 1\*: \_\_\_\_\_

Address Line 2 : \_\_\_\_\_

Address Line 3 : \_\_\_\_\_

City/Town/Village\*: \_\_\_\_\_ District\*: \_\_\_\_\_ Pin Code\*: \_\_\_\_\_

State\*: \_\_\_\_\_ Country\*: \_\_\_\_\_ (ISO 3166 Country Code )**CONTACT DETAILS**

	ISD Code	STD Code	Contact Number
Telephone No. (Office)			
Telephone No. (Residence)			
FAX Number			
Mobile Number *			
E-Mail ID *			

**PROOF OF IDENTITY** *(Certified copy of any one of the following needs to be submitted)* PAN Card UID (Aadhaar) Passport: \_\_\_\_\_ Expiry Date: \_\_\_/\_\_\_/\_\_\_ Voter Identity Card: \_\_\_\_\_ NREGA Job Card: \_\_\_\_\_ Driving License: \_\_\_\_\_ Expiry Date: \_\_\_/\_\_\_/\_\_\_ Others (any document notified by Central Government): \_\_\_\_\_

Identification No.: \_\_\_\_\_

 Simplified Measures Account: Document: \_\_\_\_\_

Identification No.: \_\_\_\_\_

**DETAILS OF RELATED PERSON** *(to be filled only if applicable)*Related Person Type\*:  Guardian of Minor  Assignee  Authorised RepresentativeKYC Number of Related person *(to be provided mandatorily if related person is already registered with CKYCR)*

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Name\*: Mr./Mrs./Ms. \_\_\_\_\_  
(First Name) (Middle Name) (Last Name)

If KYC Number &amp; name is provided, then below details are optional)

**Proof of Identity of Related Person** Identity Proof submitted: \_\_\_\_\_ Identification No.: \_\_\_\_\_ Expiry Date: \_\_\_/\_\_\_/\_\_\_ Others (any document notified by Central Government): \_\_\_\_\_ Identification No.: \_\_\_\_\_ Simplified Measures Account: Document: \_\_\_\_\_ Identification No.: \_\_\_\_\_

**REMARKS (if any)****DECLARATION**

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

I hereby consent to receiving information from Central KYC Registry thro SMS/Email on the above registered number / e-mail address.

Date: \_\_\_/\_\_\_/201\_\_

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

✍ F1

Signature / Thumb Impression of Applicant

**ATTESTATION / FOR OFFICE USE ONLY**

Documents Received	<input type="checkbox"/> Self Certified copies received		<input type="checkbox"/> True copies of documents received
	KYC Verification Done by	In-person verification Done By	INSTITUTION DETAILS
Date of verification	/ /201__	/ /201__	PRABHUDAS LILLADHER PVT. LTD.
Name of the person who carried out verifications			Code: IN0483
Branch/AP Name			Institution Stamp
Employee Code			
Employee Designation			
Employee Signature			

Fields marked \* are mandatory fields  
Please fill in English and in BLOCK letters

TRADING AND DEMAT ACCOUNT RELATED DETAILS														
TRADING ACCOUNT CODE														
DEMAT ACCOUNT ID	1	2	0	1	1	3	0	0	0	0				

TYPE OF ACCOUNT (please tick whichever is applicable)			
<input type="checkbox"/> INDIVIDUAL	<input type="checkbox"/> Individual Resident	<input type="checkbox"/> Individual Director #	<input type="checkbox"/> Individual Director's Relative
	<input type="checkbox"/> Individual Promoter	<input type="checkbox"/> Individual Minor ##	<input type="checkbox"/> Individual HUF /AOP
	<input type="checkbox"/> Individual Margin Trading Account (MANTRA)		<input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable	<input type="checkbox"/> NRI Non-Repatriable	<input type="checkbox"/> NRI Repatriable Promoter
	<input type="checkbox"/> NRI Non-Repatriable Promoter	<input type="checkbox"/> NRI Depository Receipts	<input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> FOREIGN NATIONAL	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign Depository Receipts	<input type="checkbox"/> Others (specify) _____

# Securities held in the capacity of a Director must be held in a separate demat account & cannot be mixed with other normal holdings  
## Minor can open only demat account and cannot hold a Trading account in his own name

ACCOUNT HOLDER DETAILS			
I/We request you to open account/s in my/our name/s as per following details			
<input type="checkbox"/> Both Trading and Demat Account	<input type="checkbox"/> Only Trading Account	<input type="checkbox"/> Only Demat Account	
1st Holder Name*		PAN	
2nd Holder Name		PAN	
3rd Holder Name		PAN	
Please mention below the name of Partnership Firm, Association of Persons (AOP), Unregistered Trust or Society in case its Demat account is being opened in the name of natural persons			
Entity Name		Entity PAN	
Nature	<input type="checkbox"/> Partnership Firm	<input type="checkbox"/> Association of Persons (AOP)	<input type="checkbox"/> Unregistered Trust
	<input type="checkbox"/> Unregistered Society	<input type="checkbox"/> Others (specify) _____	

DETAILS OF MINOR APPLICANT'S GUARDIAN	
Name	
PAN *	
UID	
Relationship with Minor *	

ADDITIONAL KYC DETAILS									
	1st Holder			2nd Holder			3rd Holder		
KYC Registered with KRA #	<input type="checkbox"/> CVL	<input type="checkbox"/> NDML	<input type="checkbox"/> DOTEX	<input type="checkbox"/> CVL	<input type="checkbox"/> NDML	<input type="checkbox"/> DOTEX	<input type="checkbox"/> CVL	<input type="checkbox"/> NDML	<input type="checkbox"/> DOTEX
	<input type="checkbox"/> CAMS	<input type="checkbox"/> KARVY		<input type="checkbox"/> CAMS	<input type="checkbox"/> KARVY		<input type="checkbox"/> CAMS	<input type="checkbox"/> KARVY	
	<input type="checkbox"/> Not Registered			<input type="checkbox"/> Not Registered			<input type="checkbox"/> Not Registered		
KYC Details same as registered in KRA #	<input type="checkbox"/> Yes	<input type="checkbox"/> No		<input type="checkbox"/> Yes	<input type="checkbox"/> No		<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Gross Annual Income*	<input type="checkbox"/> Below 1 Lac	<input type="checkbox"/> 1-5 Lac		<input type="checkbox"/> Below 1 Lac	<input type="checkbox"/> 1-5 Lac		<input type="checkbox"/> Below 1 Lac	<input type="checkbox"/> 1-5 Lac	
	<input type="checkbox"/> 5-10 Lac	<input type="checkbox"/> 10-25 Lac		<input type="checkbox"/> 5-10 Lac	<input type="checkbox"/> 10-25 Lac		<input type="checkbox"/> 5-10 Lac	<input type="checkbox"/> 10-25 Lac	
	<input type="checkbox"/> Above 25 Lac			<input type="checkbox"/> Above 25 Lac			<input type="checkbox"/> Above 25 Lac		
Net-worth (not older than 1 year)	Rs. _____ as on ____ / ____ /201__			Rs. _____ as on ____ / ____ /201__			Rs. _____ as on ____ / ____ /201__		
Education	<input type="checkbox"/> Graduate	<input type="checkbox"/> Post Graduate		<input type="checkbox"/> Graduate	<input type="checkbox"/> Post Graduate		<input type="checkbox"/> Graduate	<input type="checkbox"/> Post Graduate	
	<input type="checkbox"/> Professional	<input type="checkbox"/> High School		<input type="checkbox"/> Professional	<input type="checkbox"/> High School		<input type="checkbox"/> Professional	<input type="checkbox"/> High School	
	<input type="checkbox"/> Others _____			<input type="checkbox"/> Others _____			<input type="checkbox"/> Others _____		
PEP Status *	<input type="checkbox"/> Politically Exposed Person			<input type="checkbox"/> Politically Exposed Person			<input type="checkbox"/> Politically Exposed Person		
	<input type="checkbox"/> PEP Relative			<input type="checkbox"/> PEP Relative			<input type="checkbox"/> PEP Relative		
	<input type="checkbox"/> Not Applicable			<input type="checkbox"/> Not Applicable			<input type="checkbox"/> Not Applicable		

# KRA-KYC Registering Agency. Please submit duly filled KRA-KYC application form if applicant is not registered his KYC with any KRA before. If any KYC details registered with KRA has changed, then please submit fresh KRA-KYC Form with relevant proofs wherever required.

### BANK ACCOUNT DETAILS

Please provide details of all Bank Accounts from where you wish to make pay-in of funds alongwith proofs thereof.

**Only 1st Bank Account marked "Yes" as Default will be considered as default account for pay-out of funds & for Demat a/c.**

Applicant must be the first-holder in bank account marked as Default Bank account.

Bank Name	Branch Name	Bank Account Number	A/c Type (Savings/Current/Other)	MICR Code (9-digit)	IFSC Code (11characters)	Default (Yes/No)
						YES
						NO
						NO
						NO

Attach Proof (any one):

(a) Original Cancelled Cheque having name of the account holder

(b) Copy of Bank Statement/Passbook bearing name & address of the accountholder and MICR/IFSC of Bank Branch.

(c) Letter from Bank confirming the details of accountholder and MICR/IFSC of Bank Branch.

### DEMAT ACCOUNT DETAILS

Please provide details of all Demat Accounts from where you wish to make pay-in of securities alongwith proof thereof.

Proof not required if demat account is opened or to be opened with PL-DP.

**Only one Demat Account marked "Yes" as Default will be considered as default account for making pay-out of securities.**

Applicant must be the first-holder in demat account marked as Default demat account.

Depository (CDSL/NSDL)	DP Name	DP ID	Client ID	Account Name	Default (Yes/No)
CDSL	Prabhudas Lilladher Pvt. Ltd.	12011300	00		

Attach Proof (any one):

(a) Original Client-master bearing DP Sign & Stamp

(b) Copy of Transaction/Holding Statement (not more than 3 months old) bearing name & address of the accountholder

### TRADING ACCOUNT DETAILS

#### A. TRADING PREFERENCES – EXCHANGE SEGMENTS

Please put your full signature in each of the relevant boxes where you wish to trade. (Blank boxes should be struck off)

NSE (Capital Market) ✍️ <b>F2</b>	NSE (Futures & Options) ✍️ <b>F3</b>	NSE (Currency Derivatives) ✍️ <b>F4</b>
BSE (Equity) ✍️ <b>F5</b>	BSE (Derivatives) ✍️ <b>F6</b>	BSE (Currency Derivatives) ✍️ <b>F7</b>
BSE (STAR MF) ✍️ <b>F8</b>	NSE (MFSS) ✍️ <b>F9</b>	NSE (SLBS) ✍️ <b>F10</b>

#### B. ADDITIONAL DETAILS

Mobile belongs to *	<input type="checkbox"/> Self <input type="checkbox"/> Others – Name of Person _____ PAN No. _____ Relationship of Mobile Owner with Applicant: <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parent
E-Mail ID belongs to *	<input type="checkbox"/> Self <input type="checkbox"/> Others – Name of Person _____ PAN No. _____ Relationship of E-mail ID Owner with Applicant: <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parent
I wish to receive trade confirmation SMS/E-mail directly from Exchanges	<input type="checkbox"/> SMS <input type="checkbox"/> E-Mail <input type="checkbox"/> Both
Do you wish to receive Contract Note and other related reports/statement / documents in Electronic Mode? (If not marked, default value would be "Yes")	<input type="checkbox"/> Yes <input type="checkbox"/> No
Do you wish to avail the facility of Internet Trading / Wireless technology? (for Mobile Trading please submit consent letter – Refer page no. 34 )	<input type="checkbox"/> Yes <input type="checkbox"/> No
Number of years of Investment / Trading Experience	_____ years
I authorize and agree to receive call or SMS from Prabhudas Lilladher Pvt. Ltd. & its associates with reference to products and offerings. This authorization shall override my registration for DND / DNC/ NDNC, if any	<input type="checkbox"/> Yes <input type="checkbox"/> No

**C. DEALINGS THRO SUB-BROKERS & OTHER STOCK-BROKERS**

If applicant is dealing thro PL sub-broker, please provide  
 Sub-Broker Name \_\_\_\_\_  
 SEBI Registration Number: NSE IN23 \_\_\_\_\_ BSE INS01 \_\_\_\_\_

If applicant is dealing with any other Stock-broker/sub-broker (in case dealing with multiple stock-brokers/sub-brokers, provide all details on a separate sheet in same format)  
 Name of Stock-broker: \_\_\_\_\_  
 Name of Sub-broker/Authorised Person: \_\_\_\_\_  
 Client Code: \_\_\_\_\_ Exchange: \_\_\_\_\_  
 Details of disputes/dues pending from/to such Stock-broker/sub-broker/authorised person: \_\_\_\_\_

**D. PAST ACTIONS \***

Details of any action/proceedings initiated/pending/taken by SEBI/Stock Exchange/any other authority against the applicant / constituent or its Partners/Promoters/Whole-time Directors/Authorised Persons in charge of dealing in securities during last 3 yrs

No action/proceedings against me/related persons during last 3 years

Yes, the details of actions/proceedings during last 3 years are attached herewith (please provide details on separate sheet)

**E. INTRODUCER DETAILS**

Name of Introducer	_____
Status	<input type="checkbox"/> Sub-Broker <input type="checkbox"/> Remiser <input type="checkbox"/> Authorised person <input type="checkbox"/> Existing Client <input type="checkbox"/> Employee <input type="checkbox"/> Others _____
Address	_____
Signature of Introducer	_____

**F. NOMINATION DETAILS (for trading account)**

Do you wish to nominate any person who will be entitled to receive securities/fund balances lying in your Trading account in the event of your death?  Yes  No  
 (If yes, please fill in below details)

Nominee Name	_____															
Nominee PAN	_____	Nominee UID	_____													
Nominee Address	_____															
Nominee E-mail ID	_____										Tel/Mobile No.	_____				
Relationship with Applicant *	_____															
Date of Birth *	_____															

As Nominee is a Minor as on date, I appoint following person to act as Guardian to receive the securities/fund in this account on behalf of the Nominee

Guardian Name	_____															
Guardian PAN	_____	Guardian UID	_____													
Guardian Address	_____															
Guardian E-mail ID	_____										Tel/Mobile No.	_____				
Relationship with Nominee*	_____										Guardian Age	_____				
Witness Name & Address *	_____										Witness Sign *	_____				

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

**DEMAT ACCOUNT DETAILS**  
*(to be filled only if demat account to be opened with this application form)*

**A. ACCOUNT OPTIONS**

BSDA Confirmation (for more details on BSDA (Basic Services Demat A/c), please refer page ____ of Instruction Booklet - for other charges applicable to BSDA account refer Tariff sheet)	<input type="checkbox"/> I/We do not wish to opt for BSDA <input type="checkbox"/> I/We wish to opt for BSDA
--	--

<i>applicable to BSDA account refer Tariff sheet)</i>		
Statement Requirement	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly <input type="checkbox"/> As per SEBI Regulation	
Receipt of Annual Reports from RTA/Company <i>(Default option would be "Physical")</i>	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both physical & electronic	
I/We wish to share the E-mail ID with RTA/Company <i>(Default value would be "Yes" if opted for Electronic Annual Reports above)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I/We wish to receive debit/credit information in my/our demat account directly from depository at my E-mail ID & Mobile number as mentioned in KYC Form <i>(Default option would be "Yes")</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I/We wish to instruct DP to accept all pledge instructions in my/our account without any further instruction from my/our end <i>(Default option would be "No")</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I/We wish to receive Dividend/Interest directly into my/our bank account mentioned above through ECS <i>(Default option would be "Yes")</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I/We instruct the DP to receive each & every credit in my/our account <i>(Default option would be "Yes")</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I/We request CDSL and DP to send Electronic Transaction cum Holding Statement and all DP related documents/information at my E-mail ID as specified in KYC Form <i>(Default option would be "Yes")</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Registration for EASI facility at E-mail ID as specified in KYC Form of 1st/Sole Holder <i>(Default option would be "Yes") (for more details please refer terms &amp; conditions on page _____ of Instruction booklet)</i> <i>(EASI allows a BO to view his ISIN balances, transactions &amp; value of portfolio online at CDSL's website www.cdslindia.com)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
SMS Alert Facility at Mobile Number as specified in KYC Form of 1st/Sole Holder <i>(Mandatory if you are giving Power of Attorney to CM/3rd party) (please sign terms &amp; conditions given on page 27 to 29)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I/We wish to receive Consolidated Account Statement (CAS) from Depository <i>(CAS gives a consolidated view of all investments of an investor across his demat accounts at CDSL &amp; NSDL and his mutual fund units held with MF-RTA/AMCs.)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	

### B. APPLICABLE TO NRI / FOREIGN NATIONAL APPLICANT ONLY

#### FEMA Declaration

I/We hereby declare that I/We have complied with & will continue to comply with FEMA regulations & other applicable laws

#### RBI Approval for Repatriation

Permission Ref. No. \_\_\_\_\_ RBI Approval Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

#### Undertaking to be given mandatorily only if 1st Holder has provided P. O. Box Address

I declare that I am presently residing in \_\_\_\_\_ *(name of city & country)* at the below mentioned address *(please provide residence address which is other than P. O. Box address)*. Since all correspondences will be received at my P. O. Box address as mentioned in the KRA-KYC Form, I undertake to inform you whenever there is a change in the below mentioned residential address.

Address Line 1 : \_\_\_\_\_

Address Line 2 : \_\_\_\_\_

Address Line 3 : \_\_\_\_\_

City: \_\_\_\_\_ District: \_\_\_\_\_ Pin Code: \_\_\_\_\_

State: \_\_\_\_\_ Country: \_\_\_\_\_

### C. NOMINATION DETAILS *(for demat account)*




I / We do not wish to nominate any one for this demat account

I / We nominate following person/s that is/are entitled to receive security balances lying in my / our account, particulars whereof are given below, in event of death of Sole holder or death of all Joint holders. This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.

DETAILS	NOMINEE 1	NOMINEE 2	NOMINEE 3
Nominee's First Name *			
Nominee's Middle Name			
Nominee's Last Name *			
Nominee's Date of Birth *			
Address *			
City & State *			

Pin / Zip Code *			
Country *			
Telephone / Mobile no.			
PAN No. / UID No.			
E-mail ID			
Relationship with BO *			
%age of Securities Allocation *			
Residual Securities * (tick only one nominee who shall receive any odd lot left after division)			
<b>MINOR NOMINEE'S GUARDIAN DETAILS (to be filled only if the Nominee is a Minor)</b>			
Guardian's First Name *			
Guardian's Middle Name			
Guardian's Last Name *			
Age *	_____ years	_____ years	_____ years
Address *			
City & State *			
Pin / Zip Code *			
Country *			
Telephone / Mobile no.			
PAN No. / UID No.			
E-mail ID			
Relationship with Nominee *			
Witness Name*			
Witness Address *			
Witness Signature*			

I/We have received and read the Rights & Obligations document, Risk Disclosure document, Policies & Procedures, Tariff Sheet and Terms & Conditions and agree to abide by and be bound by the Bye-laws that are in force from time to time. I/We declare that the particulars given by me/us above are true & to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP/Member any changes in the details / particulars mentioned by me/us in this form. I 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. I/We have also been informed that the standard set of document has been displayed for information on PL's website and the same is made available to me.

	First / Sole Holder or Guardian (in case of Minor)	Second Holder	Third holder
Name			
Signature	 <b>F11</b>	 <b>S2</b>	 <b>T2</b>

Note: To be signed by Client only and not by his Power of Attorney Holder

For PL-HO Office use only:

Demat A/c Nomination Registration No.		Registration Date	d	d	m	m	2	0	1	y
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**TARIFF SHEET  
RELATED TO TRADING & DEMAT ACCOUNT**

**BROKERAGE:**

	Opening%	Same Day Square-up %	Open Position %	Next Day Square-up %	Minimum Paise
Delivery					
Trading					
Futures					
Options					
Currency Futures					
Currency Options					

*Brokerage per Lot on Options (If you opt as below, percentage rates specified against options in the above table will not be considered)*

	Opening (Rs.)	Same Day (Rs.)	Open Position (Rs.)	Next Day square-up (Rs.)
Nifty				
Bank Nifty				
Others				

**OTHER CHARGES:**




- i. Account Opening Charges plus applicable tax if any
- ii. In addition to brokerage, statutory charges like Service Tax, Stamp Duty, Securities Transaction Tax, Exchange Transaction Charges, SEBI Turnover Fees and Stamp Duty on Power of Attorney (POA) as applicable from time to time shall be borne by client.
- iii. Processing charges shall be debited to client on Futures expiry close-out, exercise/assignment of options by way of journal entries at rates equal to futures brokerage as above.
- iv. Delayed payment charges @1.5% per month or such other rate applicable and intimated to the client, shall be borne by client.
- v. If brokerage per Contract Note at any cash segment-book type comes to less than Rs.25/-, brokerage of Rs.25/- per contract note or brokerage as permitted by Exchange/SEBI whichever is less shall be applied to trades (Maximum brokerage permitted by rules: 2.5% of stock value for stock priced > Rs.10 and Rs.0.25 per share for stock priced < = Rs.10. For Options, maximum brokerage permitted by rules: 2.5% of premium or Rs. 100 per lot whichever is higher)
- vi. A charge of Rs. 25/- for issuing physical contract note, provided the client had opted to receive electronic contract note
- vii. Any other charges levied with due intimation to the client, shall be borne by client.

**SCHEME PLAN OPTED FOR DEMAT ACCOUNT**

*(For scheme details & charges applicable therein, please refer DP tariff sheet attached to Booklet 2)*

Scheme Opted (please tick on relevant scheme)	<input type="checkbox"/> Standard POA	<input type="checkbox"/> Standard No POA	<input type="checkbox"/> Supersaver	<input type="checkbox"/> Lifetime No AMC
	<input type="checkbox"/> BSDA POA	<input type="checkbox"/> BSDA No POA	<i>(BSDA schemes can be opted only if you have opted for BSDA on page# 23; other schemes cannot be availed for BSDA)</i>	

*(Change of scheme at a later date shall have to be intimated to DP in writing or from your registered e-mail ID)*

	First / Sole Holder or Guardian (in case of Minor)	Second Holder	Third holder
Name			
Signature	 <b>F12</b>	 <b>S3</b>	 <b>T3</b>

*Note: To be signed by Client only and not by his Power of Attorney Holder*

Demat A/c Nomination Registration No.		Registration Date	d	d	m	m	2	0	1	y
---------------------------------------	--	-------------------	---	---	---	---	---	---	---	---

<b>Name &amp; Signature of Sub-broker / Authorised Person (alongwith rubber-stamp)</b>	<b>Entered in the system by: (Name &amp; Signature)</b>
--	---

For PL-HO Office use only:

	Name	Signature	Date
Verified by			

**ANNEXURE FOR TERMS AND CONDITIONS-CUM-REGISTRATION /  
MODIFICATION FORM FOR RECEIVING SMS ALERTS FROM CDSL**

**Definitions:**

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. “Depository” means Central Depository Services (India) Limited a company incorporated in India under the Companies Act,1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. ‘DP’ means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. ‘BO’ means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means “Short Messaging Service”
5. “Alerts” means a customized SMS sent to the BO over the said mobile phone number.
6. “Service Provider” means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. “Service” means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

**Availability:**

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider’s service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

**Receiving Alerts:**

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in ‘ON’ and in a mode to receive the SMS. If the mobile phone is in ‘Off’ mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.

3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depends on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at [complaints@cdslindia.com](mailto:complaints@cdslindia.com). The BO is advised not to inform the service provider about any such unauthorized debit to/transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

**Fees:**

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

**Disclaimer:**

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

**Liability and Indemnity:**

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

**Amendments:**

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction:

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.




I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.**

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We authorize the DP to use the contact information (Email ID / Mobile no.) as provided in the KYC form of First/Sole holder for the purpose of Registration.

	First / Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signature	 F13	 S4	 T4

Place:

Date: \_\_\_/\_\_\_/201\_\_\_

## VOLUNTARY TERMS AND CONDITIONS

Whereas the client intends to open securities trading accounts with Prabhudas Lilladher Private Limited (hereinafter referred as PL) for the purpose of trading at Equity, Equity Derivatives, Currency Derivatives and Mutual Fund segments of Stock Exchanges and whereas for the purpose of more fully and conveniently availing of the services agreed to be provided by PL and also the additional services that may be made available by PL from time to time, the Client, on its own free will and volition, agrees to accept and be bound by the following terms and conditions. The Client understands that these terms and conditions are voluntary i.e., non mandatory in nature but on their acceptance, these shall constitute the contract between the parties and bind them fully and be enforceable by each party against the other.

1. **Authorization to debit additional charges with regard to Trading and Demat Account:** Without prejudice to the other rights and obligations of the parties, the client understands and agrees that PL may levy additional charges including Annual Maintenance Charges and all transaction charges with respect to Clients Demat account for any service rendered by PL and as may be required by the Client, and recover from the Client all reasonable costs, as may be incidental or consequential for rendering the said services. The said charges will be debited to the client's Trading ledger account with PL
2. **Payment by cheque:** Where payment by the client towards margin money is made through cheque / pay order / demand draft issued in favor of PL, trades may be executed at the discretion of PL only upon realization of the funds of the said cheque/pay order/demand draft.
3. **Margins:** Client agrees to deposit margins as per SEBI/Stock Exchange/PL requirements. Client authorizes PL to dispose the securities and/or benefits thereon, in the event of default in payment of obligations to PL. Client warrant that, save to the extent of the rights hereby conferred on PL, client is the sole, absolute and beneficial owner of the security and the securities are free from any mortgage, pledge, charge (whether fixed or floating), lien or any other form of encumbrance. Client agrees to give 48 hours advance notice to PL excluding clearing holidays, Saturdays & Sundays for withdrawal of client securities not under Lien to PL.
4. **Lien:** All securities, funds and/or properties of the Client as may be permitted by the Exchange(s) from time to time to be placed with PL shall be subject to a lien for the payments or fulfillment of all undischarged liabilities and obligations of the Client in relation to its transactions or owing to any of the group companies of PL. PL shall be entitled to withhold such securities, funds and/or property of the Client as security towards any such undischarged liabilities or obligation of the Client and to sell and/or appropriate to itself all such securities, funds or properties at its sole discretion and at any point of time.
5. **Authorization for delivering/pledging shares:** The client understands and agrees that PL may deliver to the Exchange any securities held by it on behalf of the client to discharge settlement obligation in respect of securities sold by the client or pledge the same with the clearing house of the recognized stock exchange in any segment where the Client is registered for trading for the purpose of providing margin for the trading positions contracted or to be contracted by the Client or with any scheduled commercial bank, Non-Banking Financial Institution or other financial institution for raising funds to the extent account of the client carries debit balance but without any obligation on its part to so raise funds by pledging the securities and without prejudice to the right of PL to enforce, at its option, the collateral security in the securities to recover the debit balance at any time. The client hereby authorises PL to do all acts, deeds, undertakings and other formalities necessary to carry out the above delivery/pledge.
6. **Authorization for Inter segment fund balance transfer and stock transfers:** The client hereby authorizes PL to transfer its debit/credit balances in the ledger account arising during the course of trades in any segment to its ledger account in any other segment or to transfer any stock purchased/lying in its account in any segment to its account in any other segment as often as may be required. The transfers may be completed by passing journal entries in the books of PL.
7. **Disclaimer:** The Client understands and agrees that neither PL nor any other party disseminating any market data, message or information through the Website of PL or in any other media shall be liable for:
  - (a) Any inaccuracy, error, omission or delay in the transmission or delivery of any such data, information or message, or
  - (b) Any loss or damage arising from or occasioned by (i) Any such inaccuracy, error, delay or omission, (ii) Non performance, or (iii) Interruption in making available any such data, information or message, due to either

any act or omission by PL or any disseminating party or to any “force majeure” (e.g. flood, extraordinary weather condition, earthquake or other act of nature, fire, war, insurrection, riot, labour dispute /unrest, accident, action of government, communications or power failure, equipment or software malfunction) or any other cause beyond the reasonable control of PL or any disseminating party.

- 8. Manner and Mode of placing orders/instructions:** The Client may communicate orders and other instructions to PL or the sub-broker/authorised person as the case may be over phone at the designated contact telephone number, or in writing, or through designated email, or by personally visiting the designated office. Client may use any one or more of these means as may be permitted by the SEBI / Exchanges from time to time for placing orders.
- 9. Non-execution/delay/cancellation of Orders:** The client hereby agrees that PL or the Exchanges shall not be liable for non execution or partial execution of any orders caused due to suspension, interruption, or malfunctioning of the online as well as offline trading services, disruptions or congestion of communication net works, hardware or software problems, or failure of the electronic trading system generally in any manner due to one or the other reasons beyond the control of PL or the Exchange.
- 10. Client not to act on representations of agents, employees:** Client is aware that PL has not authorized any agents, representatives, employees or other persons to make any representation, or to give any promise, assurance, warranty, undertaking or commitment as to return on investment of the Client whether in writing or otherwise on behalf of PL.
- 11. Recording of Conversation:** The client is aware and agrees that PL may tape record the conversation between the client/client’s representative and PL, whether over the telephone or in person. PL may produce before competent authorities, voluntarily or on such production being required by such authorities, recorded conversation or transcript thereof or both as valid evidence of the content of the conversation so recorded.
- 12. Confidentiality of Client Details:** PL may disclose the client information to any person /entity as required under the law or to any broker’s Association or organisations in case of dispute in order to take informed decision. The Client hereby agrees and give its consents for the disclosure by PL to any person or entity including but not limited to any independent third parties or any entities of PL Group, whether within or outside India, of any information and data relating to Client or relating to Client’s trading account with PL for the purposes of or in connection with, any present or proposed initiatives, including but not limited to any marketing or cross sell initiatives, business proposals, activities, facilities or services availed of or to be availed, by Client in future.
- 13. Disclosure as to Proprietary Trades by PL:** PL may carry out proprietary trades in addition to trades on behalf of its Clients.
- 14. Severance:** In case any one or more of the terms and conditions contained in this document become invalid, illegal or unenforceable in any respect under any applicable law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereby.
- 15. No Waiver:** No forbearance, relaxation or inaction by any party to require from the other performance or discharge of any obligation to be performed or discharged by the other under this document shall in any way affect, diminish, or prejudice the right of such party to require of the other party at any time such performance or discharge, or performance or discharge of any other obligations under this document or be considered to be a waiver of any rights, unless the waiver is specifically agreed in writing.
- 16. Notices:** All notices or communications issued by PL shall be served on the Client in any one or more or all of the following ways at the ordinary business address and/or ordinary place of residence and/or last known address of the client:
  - 16.1 (a) By ordinary post or (b) By registered post (c) Under certificate of posting or (d) By express delivery post or (e)by SMS on registered mobile or by telephonic call or (f) By affixing it on the door at the last known business or residential address or (g) By oral communication to the party or on the last known telephone number or on the recording machine of such number or (h) By advertising it in at least one prominent daily newspaper having circulation in the area where the last known business or residential address of the client is situated or (i) By publishing it in the website of PL wherein secured log-id and password to Client is provided or (j) By a notice posted on the notice board of the Exchange if no address be known or (k) By electronic mail or fax or (l) By hand delivery or By Courier or any other mode as may be allowed for communication.

16.2 Notwithstanding anything stated above, communication relating to orders, margins, maintenance calls and other similar matters in the ordinary course of dealings between PL and the Client may be made orally.

**17. Electronic Contract Note (ECN) and SMART facility:**

17.1. Client agrees to receive contract notes in Electronic/Digital Form (ECN) authenticated by means of a digital signature in lieu of Physical Contract notes through e-mail by authorizing PL in this connection and registering the e-mail Id (s) through the KYC form. The Client shall access and verify the ECN and all information contained therein, In case of discrepancy the Client, shall inform PL either in writing or via E-mail within 2 working days of the receipt of the same.

17.2. Client agrees to enroll for the Strategic Monitoring and Review Tool (SMART) Account to view Back Office details, Research Reports, etc., through PL website [www.plclients.com](http://www.plclients.com). Client authorizes PL to allot User ID & Password and communicate the Password to client's registered e-mail Id.

17.3. Client undertakes to inform any change in my E-mail ID through duly signed Modification Form or any other mode permitted by PL from time to time. Till change of email ID is informed to PL, e-contracts, etc shall be sent to existing email ID of Client.

17.4. Client acknowledge that the Client registration documents will be available on PL website [plclients.com](http://plclients.com) and ECN will be available on the said site for a period of at least 120 calendar days from the date of trade. The Client can login in to his account and view/save/print the ECN. Should the Client experience any difficulty in opening the ECN, PL may, on advice by the Client, make the Contract Note available by any other means (e-mail, electronic mail attachment, or in the form of an available download from the back office web site or by delivery of a hard copy). Client's failure to advice PL of such a difficulty shall amount to valid delivery and viewing of the document by the Client.

17.5. Client agree and understand that SMART login facilitates to view and verify Client's trade details, financial details, margin details and security details with PL's records from time to time. Client agrees to inform any discrepancies immediately on notice thereof. Client authorizes PL to reverse the excess credit of shares in client's BO Account with PL and / or excess credit from my ledger account with PL. Client agree and undertake to immediately return excess funds / Securities received from PL. Client undertakes to keep login ID /password confidential and be solely responsible for unauthorized use thereof.

**18. Electronic Transmission of other Documents:** The Client who have opted for ECN agrees that PL may transmit to the Client any statements, documents or intimation including, but not limited to, Margin Statement, Statements of Funds and Securities, margin and maintenance calls & other notices/communications in electronic mode either at the email ID designated for delivery of ECN or to the mobile number of the Client or both and, in case of non receipt of bounced mail/non delivery of SMS notification, PL shall be deemed to have fulfilled his obligation to deliver to the Client such documents. Discrepancies if any in documents should be brought to the notice of PL within seven working days from issuance failing which the documents shall be deemed to be true and correct record of transactions stated therein & shall be binding on the client.

**19. Electronic Payment Gateway for Net Banking Services:** PL may provide on its internet trading website, without additional cost to the Client, access to Electronic Payment Gateways provided by various banks for facilitating transfer of funds from Client's bank account to the account of the Client with PL. Client understands that PL is only providing access to the electronic fund transfer facility provided by the banker of the Client through PL's website by means of an interface and is not liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous elements, frauds, and/or any incidental or consequential claims arising thereout. Client undertakes not to make PL a party to any litigation, claim, dispute, difference or complaint that the Client may initiate in respect of, arising out of or in connection with any transactions on the Gateway and agrees that PL's liability shall at all time be limited to the amount actually received in its account by electronic transfer from Client's account with the Bank.

**20. Pay-out of funds:** Client agrees and understands that PL would be free to decide the mode of fund pay-out, viz., either as direct credit to client bank account by way of NEFT/RTGS/Fund Transfer or by way of Account Payee Cheque in favor of client as per cheque print name registered with PL. Client agrees that if any funds are moved by PL to client bank account that are not due to client for any reasons including but not limited to an error or fraud, client undertake to immediately return the funds to PL. Client shall be solely liable for any losses and/or delayed credit arising out of any mistake by client in quoting Bank account number and client name, bank name, branch name & IFSC code or updating PL for any changes therein.

**21. Internet / Wireless Technology based Trading facility:**

- 21.1. PL offers Internet and mobile Trading facility for transaction in securities on the concerned Exchanges including facilities for online application of IPO/FPO/NFO/Bond issues or any other issues of securities or services to apply/purchase/redeem/ sale/buyback or otherwise deal in the units of Mutual Funds (hereinafter referred to as “the Internet/wireless Trading system”) through Exchange approved software. The Client can route its orders to PL over the internet/mobile/laptop with data card or any other devices which use internet protocol for purchasing, selling and dealing in securities. The Client may avail of such Trading facility provided by PL by complying with the formalities prescribed therefor.
- 21.2. Non-usage of Internet/Wireless Trading Facility: If the Client does not use the Internet/Wireless Trading Facility for a continuous period of 3 months or such other period as PL may notify, the facility may be deactivated without notice and the Client shall comply with the prescribed formalities for reactivating the facility. Trades can, however, be executed at all time by placing orders off-line with the concerned branch of PL.
- 21.3. The client understands and agrees that PL has different product of the Internet Trading /Wireless Trading softwares which have been approved by the Exchanges and the client shall be allotted such product as may be chosen by him. The client also understands and agrees that depending on the trading activity of the client, PL shall have the exclusive right and liberties to change the product version allotted to the client and allot a different product version of the Internet Trading/Wireless Trading facility.
- 21.4. Orders of Client subject to review by PL: The Client agrees that the PL may, on being suspicious of any of the transactions, review any order placed by a Client, which may cause delays in the processing of the Client’s order or may result in rejection of such order.”

**22. Extra Ordinary Events and termination/suspension of trading facility:** PL will not be liable for losses caused directly or indirectly by government restriction, Exchange rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, lack of connectivity, congestion or disruption of communication network or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond PL’s control resulting in non-execution, partial or incomplete execution of orders and the resulting financial loss, if any PL may at any time terminate, discontinue or temporarily suspend trading facility provided to the Client in the event of any such extraordinary event occurring without giving prior notice to the Client.

**23. Amendments to the terms and conditions:** PL reserves the right to amend the terms and conditions herein contained by adding, deleting, modifying or varying the provisions thereof by giving 15 days notice to the Client. In the event where the client has not objected to revised terms and conditions within 15 days of receiving the notification, the same shall be binding on the client.

**Yours faithfully,**

 **F14**

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



## SECURITIES TRADING USING WIRELESS TECHNOLOGY

Date: \_\_\_ / \_\_\_ / 201\_\_\_\_\_

Client Code	
Client Name	

Prabhudas Lilladher Pvt. Ltd.  
3rd Floor, Sadhana House,  
570 P B Marg, Worli, Mumbai 400 018

### Sub: Securities trading using wireless technology

Dear Sir(s),

I am registered as your client with Client Code as stated above.

I have submitted the account opening form to you whereby the rights and obligations of stock brokers, sub-brokers and clients for executing trades at Capital Market segment, Futures & Options segment and/ or Currency Derivatives segment of National Stock Exchange of India Ltd. (NSE) / Bombay Stock Exchange Ltd. (BSE) are mentioned. The aforesaid rights and obligations for trading through wireless technology have been read and understood by me. \*

I have executed Trading Member and Client Agreement and also the agreement for Internet based trading for the purpose of trading in the Capital Market segment and Futures & Options segment of National Stock Exchange of India Ltd. (NSE) / Bombay Stock Exchange Ltd. (BSE). \*

(\* Strike off whichever is not applicable)

I am interested in carrying out securities trading through use of wireless technology which shall include devices such as mobile phone, laptop with data card etc using Internet Protocol (IP).

I understand that the terms and conditions applicable to Internet based trading will also be applicable to securities trading through use of wireless technology. I am aware of all the possible risks, responsibilities and liabilities associated with securities trading using wireless technology.

I understand that your website [www.plclients.com](http://www.plclients.com) shall provide detailed information about securities trading done through the use of wireless technology. I understand that I will get the information by using Login ID/ Password provided to me by you at the time of registration as your client. I understand that you shall send the Order / Trade confirmation details through e-contract on our existing E-mail id registered with you within 24 hours of the execution of trade on the NEAT / BOLT system, as the case may be.

I agree that the information sent by you on my E-mail id / Wireless Device would be deemed to be a valid delivery of such information by you. The aforesaid information regarding order and trade confirmation shall also be provided to me on the device used for securities trading through the use of wireless technology.

I am aware that authentication technologies and strict security measures are required for the securities trading using wireless technology through order routed system and undertake to ensure that my Login Id and / or Password is not revealed to any third party. In case the device used by me for securities trading through wireless technology is lost, misplaced, stolen, etc. I shall inform the same to you within 24 hours from the occurrence of such event and request you to deactivate my Login Id and / or Password. I will be solely liable to settle all transactions executed in my trading account using such device or otherwise.

I therefore request you to enable me for carrying securities trading through use of wireless technology.

**Yours faithfully,**

 F15

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

Prabhudas Lilladher Private Limited  
3rd Floor, Sadhana House,  
570, P. B. Marg, Worli,  
Mumbai – 400018

**Sub: Authorization for maintaining Running Account**

Dear Sir(s),

I am registered client with you and dealing in Capital Market/ Derivative Market/ Currency Market having client code as mentioned below.

I am aware that payout / dividend received / credited from the exchange(s) against settlement of transaction as per settlement cycle is available within 1 working day of the payout from the Exchange. It is difficult for me to make available the required funds on every pay-in of funds obligation / margin obligation, hence I request you to maintain my account on a running basis and retain the payout received / credit balance in our account for my future obligation / margin obligation or other liabilities unless I instruct otherwise.

If payment of funds is required, I shall request you in writing or through the web option for funds withdrawal on the web login. Further it may be noted that if required I may revoke this authorization at any time after giving request in writing.

This running account authorization would continue until it is revoked by me. The actual settlement of funds shall be done at least once in the preference period selected below:

Once in a calendar Quarter                      OR                       Once in a calendar month

While settling the account having outstanding obligations on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.

I authorize you to retain an amount up to Rs. 10,000/- or such other amount as may be prescribed by stock exchanges / SEBI from time to time to address the administrative / operational difficulties at your end in periodic settlement of my account.

I shall bring any dispute arising from the statement of account or settlement so made to your notice within 7 working days from the date of receipt of funds or statement, as the case may be. In case of non receipt of any such communication the statement / settlement of running account shall be considered as final as agreed and accepted by me.

**Yours faithfully,**

 **F16**

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

Date: \_\_\_ / \_\_\_ / 201\_\_\_\_\_

Prabhudas Lilladher Private Limited  
3rd Floor, Sadhana House, 570,  
P. B. Marg, Worli, Mumbai – 400018

**Sub: Mutual Fund Service System (MFSS) Facility of NSE/ BSE STAR MF**

Dear Sir,

I am registered as your client with Client Code as mentioned below for the purpose of trading in the Capital Market Segment. I am interested in availing the facility of the following Exchange for the purpose of dealing in the units of Mutual funds Scheme permitted to be dealt with.

NSE MFSS  BSE STAR MF 

For the purpose of availing the facility, I state that Know Your Client details as submitted by me for the securities broking may be considered for this purpose and I further confirm that the details contained in same remain unchanged as on date. I am willing to abide by the terms and conditions as mentioned in the Circular dated November 24, 2009 and as may be specified by the Exchange from time to time in this regard.

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

I 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 choose to subscribe / redeem. I further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

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

**Terms and Conditions**

- The client shall be bound by circulars issued by NSEIL/ BSE, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
- The client shall notify the Participant in writing if there is any change in the information in the 'client registration form' provided by the client to the Participant at the time registering as a client for participating in the New MFSS/ BSE STAR MF or at any time thereafter.
- The client shall submit to the Participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the Participant.
- The client has read and understood the risks involved in investing in Mutual Fund Schemes.
- The client shall be wholly responsible for all his investment decisions and instruction.
- The client shall ensure continuous compliance with the requirements of the NSEIL, BSE, SEBI and AMFI.
- The Client shall pay to the Participant fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Participant renders to the Client.
- The client will furnish information to the Participant in writing , if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
- In the event of non-performance of the obligation by the Participant, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL/ BSE or NSCCL/ ICCL
- In case of any dispute between the Participants and the investors arising out of this facility, NSEIL/BSE and / or NSCCL/ ICCL agrees to extend the necessary support for the speedy redressal of the disputes.

Yours faithfully,



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

Note: Signature required in case opted for NSE MFSS or BSE StAR MF under Trading Preferences Confirmation of the arrangement with Sub-broker/Authorized Person

**CONFIRMATION OF THE ARRANGEMENT WITH SUB-BROKER/AUTHORIZED PERSON**

**VOLUNTARY**

Date: \_\_\_ / \_\_\_ /201\_\_

Prabhudas Lilladher Private Limited  
3rd Floor, Sadhana House, 570,  
P. B. Marg, Worli, Mumbai – 400018

I confirm that I have been introduced to Prabhudas Lilladher Private Limited (PL) by a Sub-broker (SB) / an Authorised Person (AP) (as mentioned below) appointed by PL pursuant to relevant Exchange (s) norms.

In this connection I am aware of the following:

1. The SB/AP shall not receive or pay any money or securities in his/her/its own name or account. All receipts and payments of securities and funds shall be made only in the name or account of the PL;
2. The SB/AP shall receive his/its remuneration-fees, charges, commission, salary etc for his/its services only from the PL and he/she/it shall not charge any amount whatsoever from the clients;

In view of the foregoing, I acknowledge that the SB/AP is not authorised by PL to enter into any private arrangement with any clients of PL including those introduced by him. I further agree and accept that I will not hold PL responsible for any loss, damage, other liability or consequence, direct or indirect, arising out of any error of commission or omission by the SB/AP with regard to any dealings and or transactions based on or resulting out of any private agreements (if any), between me and the SB/AP.

I agree that all debit instruction slips and other documents in respect of my depository Beneficiary Owner account with Prabhudas Lilladher Private Limited (PL) shall not be left in the custody of the SB/AP, either blank, partially filled up and/ or executed / signed.

I further agree and accept that I will not hold PL responsible for any loss, damage, other liability or consequence, direct or indirect, arising out of my action in leaving such blank, partially filled up and/ or executed /signed documents with the SB/AP.

**Yours faithfully,**




 **F18**

I hereby agree for the arrangement with the client
Signature
Partner Name
Partner Code

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

**CONFIRMATION UNDER THE FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA)  
& COMMON REPORTING STANDARDS (CRS) – INDIVIDUAL ACCOUNT**

[Mandatory for all Investors including Joint-holders of demat account & Minor’s Guardian]

	<b>First / Sole Holder / Minor’s Guardian</b>	<b>Second Holder</b>	<b>Third Holder</b>
Are you a Resident of a Country / territory outside India?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Are you a Resident or Citizen of the United States?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Do you have a US telephone number in the capacity of a resident / citizen of US?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Do you hold any residence / mailing address / C/o addresses / hold-mail address / PO Box address in the US?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Does your POA-holder hold US residence / citizenship?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Do you pay tax in the US?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Do you hold an Identification Number or any identification that indicates US residence / citizenship?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We have understood the information requirements of this Form (read along with the FATCA-CRS instructions) and hereby confirm that the information provided by me/us on this declaration Form & on KYC Form is true, correct & complete. I/We also confirm that I/we have read & understood the FATCA-CRS terms & conditions and hereby accept the same.			
<b>Signature of Applicant</b>	 <b>F19</b>	 <b>S5</b>	 <b>T5</b>

**FATCA- CRS Terms & Conditions**

Towards compliance with tax information sharing laws, such as FATCA & CRS, we would be required to seek additional personal tax & beneficial owner information & certain certifications & documentation from our account holders. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances (including if we do not receive self-declaration from you), we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax-advisor. Should there be any change in any information provided by you, please ensure to inform us within 30 days of such change.

Towards compliance with such laws, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators / tax authorities, we may also be constrained to withhold & pay out sums from your account or close or suspend your account(s)

**FATCA-CRS Instructions**

If you are a US Citizen or Resident or Green-card Holder, please include United States in the foreign country information field alongwith your US Tax Identification Number. The provisions of FATCA are contained in the US Hire Act 2010. It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identification numbers. If no TIN is yet available or has not yet been issued, please provide an explanation & attach this to the form

**ACKNOWLEDGEMENT**

Date: \_\_\_ / \_\_\_ / 201\_\_

Prabhudas Lilladher Private Limited  
3rd Floor, Sadhana House, 570,  
P. B. Marg, Worli, Mumbai – 400018




I/We hereby acknowledge that the following documents were made available to me:

1. Rights and Obligations of Stock Brokers, Sub-brokers and Clients (Trading).
2. Rights and Obligations of Beneficial owner and Depository Participant (DP).
3. Risk Disclosure Document for Capital Market and Derivatives Segments.
4. Guidance Note - Do's and Don'ts for Trading on the Exchange(s) for Investors.
5. Policies and Procedures of Prabhudas Lilladher Private Ltd. pursuant to the SEBI circular dated December 03, 2009.
6. Rights & Obligations of Clearing Member/Participant and its Client (SLBS).
7. Useful Do's and Don'ts for the client.
8. General Terms and Conditions governing securities Trading and Broking services of Prabhudas Lilladher Private Limited.
9. Terms & Conditions for Basic Services Demat Account.
10. Terms & Conditions for Easi facility.
11. Format for Power of Attorney.
12. Tariff Sheet as applicable to Demat Account.

I/We understand that the Voluntary documents executed by me/us are out my/our free will.

I/We hereby confirm that I/We have clearly understood and agree to abide by the Policies and Procedures described by Prabhudas Lilladher Private Limited (PL). I/We have read and understood the Terms and Conditions governing securities trading and broking services of PL as mentioned in para 1 to 18 and agree to abide by the same. I/We also understand and agree that these Policies and Procedures as well as Terms and Conditions can be changed by PL from time to time with prior notice of 15 days through email.

I/We am/are aware that the login Id and password of my trading account will be sent on my Email ID & alerts on Mobile no. furnished in KYC form and any changes thereof

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

Place:

Date: \_\_\_ / \_\_\_ / 201\_\_

**TO BE FILLED BY SB/AP/BRANCH OFFICIALS**

UCC Code allotted to the Client: .....

	Employee Name	Code	Designation	Date	Signature
Documents Verified with Originals By					
In-Person Verification Done By					
Client Interviewed By					

**TO BE FILLED BY PL-BRANCH OFFICE ONLY**

	Employee Name	Employee Code
Introducer		
RM		
Dealer		
BM Name & Signature		

I/We undertake that I/we have made the client aware of 'Policy and Procedures', Tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We will send him a copy of all the KYC documents through Email at his Email ID registered with PL within prescribed time limit. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents will be duly intimated to the Client. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on our PL website for the information of the Clients.

**Signed for and on behalf of  
For Prabhudas Lilladher Pvt. Ltd**

Signature of the Authorised Signatory

Signature of Sub-broker or Authorised Person

Signed by: | \_\_\_\_\_ |

Signed by: | \_\_\_\_\_ |

Date: \_\_\_/\_\_\_/201\_\_\_\_

Date: \_\_\_/\_\_\_/201\_\_\_\_

**FOR HO OFFICE USE ONLY**

1. AOF Received on: \_\_\_\_\_ / \_\_\_\_\_ / 20\_\_\_\_\_

2. AOF Processed on: \_\_\_\_\_ / \_\_\_\_\_ / 20\_\_\_\_\_

3. KYC Fetched from KRA on: \_\_\_\_\_ / \_\_\_\_\_ / 20\_\_\_\_\_

4. KYC Status at KRA:

KYC Verified (New)     Incomplete Old KYC     KYC On Hold     KYC submitted     Not registered

Others \_\_\_\_\_

	TRADING ACCOUNT	DEMAT ACCOUNT
Entered by / Date		
Verified by / Date		
Remarks (if any)		





## INDEX

Sr.	Name of Document	Brief Significance of the Document	Page No
<b>MANDATORY FORM AS PRESCRIBED BY SEBI &amp; MCX</b>			
1	Account Opening Form	Document captures the additional information for Commodity Trading Account <i>(Please also fill KYC Form attached in the beginning of this booklet in case you are opening only Commodity Account)</i>	B 41-43
2	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on Commodity Exchange	O 44
<b>VOLUNTARY FORM AS PROVIDED BY THE MEMBER</b>			
3	Voluntary Terms & Conditions	Document captures voluntary terms & conditions	O 45-48
4	Useful Do's and Don'ts	Document detailing the do's and don'ts while dealing in Commodity Futures & rights of the Client	K 49-50
5	Authorisation for Running Account	Authorisation letter to facilitate maintaining of fund with the member for every pay-in of funds / margin obligation	L 51
6	Open Position Letter	Undertaking to keep open positions at Commodity Exchange within prescribed limits	E 52
7	Margin Deposit Letter	Authorisation Letter to collect margin for dealing in Commodity Exchange	T 53
8	Auto Square-off Letter	Authorisation Letter to square off intra-day trades at Commodity Exchange	1 54
9	Commodity Trading using Wireless Technology	Document relating to Securities Trading using Wireless Technology in Commodity Exchange	2 55
10	ECN Declaration	Authorisation Letter to receive Contract notes & other communication in electronic form on client's E-mail ID	56
11	Confirmation for SB/AP	Confirmation of the arrangement with Sub-broker/Authorized Person	57
12	Acknowledgement	Acknowledgement and office use copy	58
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; MCX</b>			
1	Rights & Obligations (Commodity Trading)	Documents stating Rights & Obligations of Member, Authorised persons and client for trading on Commodity Exchanges (including additional rights & obligations in case of internet wireless technology based trading)	B O O K L E T 2
2	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the Commodities market	
3	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors	

Note: **Booklet 1** to be filled by client and returned to PL. **Booklet 2** to be read, understood & retained with client for future reference

### PL Commodity Markets Private Limited

SEBI Registration details:	SEBI Registration No.: INZ000044733 MCX Membership Code: 40690
Registered & Correspondence office address	3rd Floor, Sadhana House, 570, P. B. Marg, Worli, Mumbai – 400018 Tel.: 022- 6632 2222 ; Fax: 022-6632 2229 E-Mail ID: amitpdesai@plindia.com / Website: www.plindia.com
Compliance Officer Name	Mr. Amit Desai Phone No. 022-6632 2425 E-mail ID: amitpdesai@plindia.com / grievance-cmdt@plindia.com
Name of Director	Mr. Dhiren P. Sheth Phone no. 022-66322321 E-mail ID: jtmd@plindia.com

**For any grievance/dispute:** Please contact Compliance Officer at the above address, phone no. or email id.  
In case not satisfied with the response, you may contact MCX at customersupport@mcxindia.com;  
Phone No.: 022-67318888/022-66494000

Fields marked \* are mandatory fields

Please fill in English and in BLOCK letters

Please ensure to fill the KYC Form in the first part of this booklet in case you are not registered with KYC Registering Agency (KRA) or if the existing details with KRA has changed

**COMMODITY ACCOUNT OPENING FORM**

<b>TRADING ACCOUNT CODE</b>															
-----------------------------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

**ACCOUNT HOLDER DETAILS**

I request you to open a Commodity Trading account in my name as per following details

Name		PAN												
------	--	-----	--	--	--	--	--	--	--	--	--	--	--	--

**ADDITIONAL KYC DETAILS**

KYC Registered with KRA	<input type="checkbox"/> CVL	<input type="checkbox"/> NDML	<input type="checkbox"/> DOTEX	<input type="checkbox"/> CAMS	<input type="checkbox"/> KARVY	<input type="checkbox"/> Not Registered
-------------------------	------------------------------	-------------------------------	--------------------------------	-------------------------------	--------------------------------	---

KYC Details same as registered in KRA	<input type="checkbox"/> Yes	<input type="checkbox"/> No
---------------------------------------	------------------------------	-----------------------------

Gross Annual Income*	<input type="checkbox"/> Below 1 Lac	<input type="checkbox"/> 1-5 Lac	<input type="checkbox"/> 5-10 Lac	<input type="checkbox"/> 10-25 Lac	<input type="checkbox"/> Above 25 Lac
----------------------	--------------------------------------	----------------------------------	-----------------------------------	------------------------------------	---------------------------------------

Net-worth (not older than 1 year)	Rs. _____ as on ____ / ____ /201_____
-----------------------------------	---------------------------------------

Education	<input type="checkbox"/> Graduate	<input type="checkbox"/> Post Graduate	<input type="checkbox"/> Professional	<input type="checkbox"/> High School	<input type="checkbox"/> Others _____
-----------	-----------------------------------	--	---------------------------------------	--------------------------------------	---------------------------------------

PEP Status	<input type="checkbox"/> Politically Exposed Person	<input type="checkbox"/> PEP Relative	<input type="checkbox"/> Not Applicable
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**BANK ACCOUNT DETAILS**

Please provide details of all Bank Accounts from where you wish to make pay-in of funds alongwith proofs thereof. **Only 1st Bank Account marked "Yes" as Default will be considered as default account for pay-out of funds.** Applicant must be the first-holder in bank account marked as Default Bank account.

Bank Name	Branch Name	Bank Account Number	A/c Type (Savings/Cur-rent/Other)	MICR Code (9-digit)	IFSC Code (11characters)	Default (Yes/No)
						YES
						NO
						NO
						NO

Attach Proof (any one):

- (a) Original Cancelled Cheque having name of the account holder
- (b) Copy of Bank Statement/Passbook bearing name & address of the accountholder and MICR/IFSC of Bank Branch.
- (c) Letter from Bank confirming the details of accountholder and MICR/IFSC of Bank Branch.

**DEMAT ACCOUNT DETAILS**

Depository (CDSL/NSDL)	DP Name	DP ID	Client ID	Account Name


Attach Proof (any one):

- (a) Original Client-master bearing DP Sign & Stamp
- (b) Copy of latest Transaction/Holding Statement bearing name & address of the accountholder

**COMMODITY TRADING ACCOUNT DETAILS**

**A. TRADING PREFERENCES – EXCHANGE SEGMENTS**

Please put your full signature in the relevant box.

Name of Commodity Exchange	Date of Consent for Trading	Full Signature
Multi-Commodity Exchange (MCX)	/ /201__	 F01

**B. ADDITIONAL DETAILS**

Mobile belongs to *	<input type="checkbox"/> Self <input type="checkbox"/> Others – Name of Person _____ PAN No. _____ Relationship of Mobile Owner with Applicant: <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parent
E-Mail ID belongs to *	<input type="checkbox"/> Self <input type="checkbox"/> Others – Name of Person _____ PAN No. _____ Relationship of E-mail ID Owner with Applicant: <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parent
I wish to receive trade confirmation SMS/E-mail directly from Exchanges	<input type="checkbox"/> SMS <input type="checkbox"/> E-Mail <input type="checkbox"/> Both
Do you wish to receive Contract Note and other related reports/statement / documents in Electronic Mode? (If not marked, default value would be “Yes”)(If ticked “Yes”, please ensure to fill the ECN given on page# 58)	<input type="checkbox"/> Yes <input type="checkbox"/> No
Do you wish to avail the facility of Internet Trading / Wireless technology? (for Mobile Trading please submit consent letter – Refer page# 57)	<input type="checkbox"/> Yes <input type="checkbox"/> No
Number of years of Investment / Trading Experience in Commodity Trading	_____ years
I authorize and agree to receive call or SMS from PL Commodity Markets Pvt. Ltd. & its associates with reference to products and offerings. This authorization shall override my registration for DND / DNC/ NDNC, if any	<input type="checkbox"/> Yes <input type="checkbox"/> No

**C. DEALINGS THROUGH OTHER AUTHORISED PERSONS (APs) / MEMBERS**

If applicant is dealing thro PL Commodity’s AP, please provide

AP Name \_\_\_\_\_

SEBI Registration Number: \_\_\_\_\_

If applicant is dealing with any other Member/AP (in case dealing with multiple members/APs, provide all details)	Name of Member/AP: _____
	Client Code: _____ Exchange: _____
	Exchange Registration Number: _____
	Member/AP’s Registered Office address: _____ _____
	Details of disputes/dues pending from/to such Member / AP: _____

**D. PAST ACTIONS \***

Details of any action/proceedings initiated/pending/taken by SEBI/Stock Exchange/Commodity Exchange / any other authority against the applicant or its Partners/Promoters/Whole-time Directors/Authorised Persons in charge of dealing in securities during last 3 yrs

No action/proceedings against me/related persons during last 3 years

Yes, the details of actions/proceedings during last 3 years are attached herewith (please provide details on separate sheet)

**E. INTRODUCER DETAILS**

Name of Introducer	_____
Status	<input type="checkbox"/> Sub-Broker <input type="checkbox"/> Remiser <input type="checkbox"/> Authorised person <input type="checkbox"/> Existing Client <input type="checkbox"/> Employee <input type="checkbox"/> Others _____
Address	_____
Signature of Introducer	_____

**F. NOMINATION DETAILS (for commodity trading account)**

Do you wish to nominate any person who will be entitled to receive fund balances lying in your Trading account in the event of your death?		<input type="checkbox"/> Yes <input type="checkbox"/> No (If yes, please fill in below details)																	
Nominee Name *																			
Nominee PAN				Nominee UID															
Nominee Address																			
Nominee E-mail ID			Tel/Mobile No.																

Relationship with Applicant *			
-------------------------------	--	--	--

Date of Birth *			
-----------------	--	--	--

As Nominee is a Minor as on date, I appoint following person to act as Guardian to receive the securities/fund in this account on behalf of the Nominee

Guardian Name																			
PAN				UID															
Address																			
E-mail ID			Tel/Mobile No.																
Relationship with Nominee*			Age *																

Witness Name & Address*			Witness Sign*	
-------------------------	--	--	---------------	--

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

**G. SALES TAX REGISTRATION DETAILS (as applicable State-wise)**

Sr.	Sales Tax	Name of the State	Registration No.	Validity Period up to
1	Local Sales tax			
2	Central Sales Tax			
3	Others (specify)			


**H. VAT DETAILS (as applicable State-wise)**

Sr.	VAT	Name of the State	Registration No.	Validity Period up to
1	Local VAT			
2	Others (specify)			

I hereby declare that the particulars given by me above are true & to the best of my knowledge as on the date of making this application. I agree and undertake to intimate the Member any changes in the details / particulars mentioned by me in this form. I further agree that any false/misleading information given by me or suppression of any material information will render my account liable for termination and suitable action.

I have received, read & understood the contents of Rights & Obligations document, Risk Disclosure document, Dos & Dents & Tariff Sheet and all mandatory & non-mandatory documents. I hereby agree to abide by and be bound by the provisions as outlined in these documents and in the Bye-laws that are in force from time to time

I have also been informed that the standard set of document has been displayed for information on PL's website www.plclients.com and the same is made available to me.

Name			
Signature			

Note: To be signed by Client only and not by his Power of Attorney Holder

Place:

Date: \_\_\_/\_\_\_/201\_\_\_

**TARIFF SHEET  
RELATED TO COMMODITY TRADING ACCOUNT**

**BROKERAGE:**

	Opening%	Same Day Square-up %	Open Position %	Next Day Square-up %	Minimum Paise
Delivery					
Futures					

**OTHER CHARGES:**

- i. In addition to brokerage charges, statutory charges like Service Tax, Stamp Duty, Exchange Transaction Charges & other charges as applicable from time to time shall be borne by client.
- ii. Delayed payment charges @1.5% per month or such other rate as may be applicable and intimated to the client from time to time chargeable on the client's daily debit balance shall be borne by client.
- iii. A charge of Rs. 25/- for issuing physical contract note, provided the client had opted to receive electronic contract note
- iv. Any other charges levied with due intimation to the client, shall be borne by client.

Name			
Signature	✍️ <b>F03</b>		

*Note: To be signed by Client only and not by his Power of Attorney Holder*

Demat A/c Nomination Registration No.		Registration Date	d	d	m	m	2	0	1	y
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<b>Name &amp; Signature of Sub-broker / Authorised Person (alongwith rubber-stamp)</b>	<b>Entered in the system by: (Name &amp; Signature)</b>

**For PL-HO Office use only:**

	Name	Signature	Date
Verified by			
			2 0 1

## VOLUNTARY TERMS AND CONDITIONS

Whereas the client intends to open Commodities trading accounts with PL Commodity Markets Private Limited (hereinafter referred as PLCM) for the purpose of trading at Commodity Stock Exchanges and whereas for the purpose of more fully and conveniently availing of the services agreed to be provided by PLCM and also the additional services that may be made available by PLCM from time to time, the Client, on its own free will and volition, agrees to accept and be bound by the following terms and conditions. The Client understands that these terms and conditions are voluntary i.e., non mandatory in nature but on their acceptance, these shall constitute the contract between the parties and bind them fully and be enforceable by each party against the other.

1. **Authorization to debit additional charges with regard to Trading and Demat Account:** Without prejudice to the other rights and obligations of the parties, the client understands and agrees that PLCM may levy additional charges for any service rendered by PLCM and as may be required by the Client, and recover from the Client all reasonable costs, as may be incidental or consequential for rendering the said services. The said charges will be debited to the client's Trading ledger account with PLCM
2. **Payment by cheque:** Where payment by the client towards margin money is made through cheque / pay order / demand draft issued in favor of PLCM, trades may be executed at the discretion of PLCM only upon realization of the funds of the said cheque/pay order/demand draft.
3. **Margins:** Client agrees to deposit margins as per SEBI/Commodity Stock Exchanges/PLCM requirements. Client authorizes PLCM to dispose the securities and/or benefits thereon, in the event of default in payment of obligations to PLCM. Client warrant that, save to the extent of the rights hereby conferred on PLCM, client is the sole, absolute and beneficial owner of the security and the securities are free from any mortgage, pledge, charge (whether fixed or floating), lien or any other form of encumbrance. Client agrees to give 48 hours advance notice to PLCM excluding clearing holidays, Saturdays & Sundays for withdrawal of client securities not under Lien to PLCM.
4. **Lien:** All, funds of the Client as may be permitted by the Exchange from time to time to be placed with PLCM shall be subject to a lien for the payments or fulfillment of all undischarged liabilities and obligations of the Client in relation to its transactions or owing to any of the group companies of PLCM. PLCM shall be entitled to withhold such, funds of the Client as security towards any such un-discharged liabilities or obligation of the Client and appropriate to itself all such funds at its sole discretion and at any point of time.
5. **Authorization for delivering/pledging shares:** The client understands and agrees that PLCM may deliver to the Exchange any securities held by it on behalf of the client to discharge settlement obligation in respect of securities sold by the client or deliver or pledge the same with the clearing house of the recognized stock exchange or clearing member in any segment where the Client is registered for trading for the purpose of providing margin for the trading positions contracted or to be contracted by the Client or with any scheduled commercial bank, Non-Banking Financial Institution or other financial institution for raising funds to the extent account of the client carries debit balance but without any obligation on its part to so raise funds by pledging the securities and without prejudice to the right of PLCM to enforce, at its option, the collateral security in the securities to recover the debit balance at any time. The client hereby authorises PLCM to do all acts, deeds, undertakings and other formalities necessary to carry out the above delivery/pledge.
6. **Authorization for Inter segment fund balance transfer and stock transfers:** The client hereby authorizes PLCM to transfer its debit/credit balances in the ledger account arising during the course of trades in any segment to its ledger account in any other segment or to transfer any stock lying in its account in any segment to its account in any other segment as often as may be required. The transfers may be completed by passing journal entries in the books of PLCM.
7. **Disclaimer:** The Client understands and agrees that neither PLCM nor any other party disseminating any market data, message or information through the Website of PLCM or in any other media shall be liable for:
  - (a) Any inaccuracy, error, omission or delay in the transmission or delivery of any such data, information or message, or
  - (b) Any loss or damage arising from or occasioned by (i) Any such inaccuracy, error, delay or omission, (ii) Non performance, or (iii) Interruption in making available any such data, information or message, due to either any act or omission by PLCM or any disseminating party or to any "force majeure" (e.g. flood, extraordinary weather condition, earthquake or other act of nature, fire, war, insurrection, riot, labour dispute /unrest,

accident, action of government, communications or power failure, equipment or software malfunction) or any other cause beyond the reasonable control of PLCM or any disseminating party.

- 8. Manner and Mode of placing orders/instructions:** The Client may communicate orders and other instructions to PLCM or the sub-broker/ authorized person as the case may be over phone at the designated contact telephone number, or in writing, or through designated email, or by personally visiting the designated office. Client may use any one or more of these means as may be permitted by the SEBI / Exchanges from time to time for placing orders.
- 9. Non-execution/delay/cancellation of Orders:** The client hereby agrees that PLCM or the Exchanges shall not be liable for non execution or partial execution of any orders caused due to suspension, interruption, or malfunctioning of the online as well as offline trading services, disruptions or congestion of communication net works, hardware or software problems, or failure of the electronic trading system generally in any manner due to one or the other reasons beyond the control of PLCM or the Exchange.
- 10. Client not to act on representations of agents, employees:** Client is aware that PLCM has not authorized any agents, representatives, employees or other persons to make any representation, or to give any promise, assurance, warranty, undertaking or commitment as to return on investment of the Client whether in writing or otherwise on behalf of PLCM.
- 11. Recording of Conversation:** The client is aware and agrees that PLCM may tape record the conversation between the client/client's representative and PLCM, whether over the telephone or in person. PLCM may produce before competent authorities, voluntarily or on such production being required by such authorities, recorded conversation or transcript thereof or both as valid evidence of the content of the conversation so recorded.
- 12. Confidentiality of Client Details:** PLCM may disclose the client information to any person /entity as required under the law or to any broker's Association or organisations in case of dispute in order to take informed decision. The Client hereby agrees and give its consents for the disclosure by PLCM to any person or entity including but not limited to any independent third parties or any entities of PLCM Group, whether within or outside India, of any information and data relating to Client or relating to Client's trading account with PLCM for the purposes of or in connection with, any present or proposed initiatives, including but not limited to any marketing or cross sell initiatives, business proposals, activities, facilities or services availed of or to be availed, by Client in future.
- 13. Disclosure as to Proprietary Trades by PLCM:** PLCM may carry out proprietary trades in addition to trades on behalf of its Clients.
- 14. Severance:** In case any one or more of the terms and conditions contained in this document become invalid, illegal or unenforceable in any respect under any applicable law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereby.
- 15. No Waiver:** No forbearance, relaxation or inaction by any party to require from the other performance or discharge of any obligation to be performed or discharged by the other under this document shall in any way affect, diminish, or prejudice the right of such party to require of the other party at any time such performance or discharge, or performance or discharge of any other obligations under this document or be considered to be a waiver of any rights, unless the waiver is specifically agreed in writing.
- 16. Notices:** All notices or communications issued by PLCM shall be served on the Client in any one or more or all of the following ways at the ordinary business address and/or ordinary place of residence and/or last known address of the client:
  - 16.1** (a) By ordinary post or (b) By registered post (c) Under certificate of posting or (d) By express delivery post or (e) by SMS on registered mobile or by telephonic call or (f) By affixing it on the door at the last known business or residential address or (g) By oral communication to the party or on the last known telephone number or on the recording machine of such number or (h) By advertising it in at least one prominent daily newspaper having circulation in the area where the last known business or residential address of the client is situated or (i) By publishing it in the website of PLCM wherein secured log-id and password to Client is provided or (j) By a notice posted on the notice board of the Exchange if no address be known or (k) By electronic mail or fax or (l) By hand delivery or By Courier or any other mode as may be allowed for communication.
  - 16.2** Notwithstanding anything stated above, communication relating to orders, margins, maintenance calls and other similar matters in the ordinary course of dealings between PLCM and the Client may be made orally.

**17. Electronic Contract Note (ECN) and SMART facility:**

- 17.1. Client agrees to receive contract notes in Electronic/Digital Form (ECN) authenticated by means of a digital signature in lieu of Physical Contract notes through e-mail by authorizing PLCM in this connection and registering the e-mail Id (s) through the KYC form. The Client shall access and verify the ECN and all information contained therein, In case of discrepancy the Client, shall inform PLCM either in writing or via E-mail within 2 working days of the receipt of the same.
- 17.2. Client agrees to enroll for the Strategic Monitoring and Review Tool (SMART) Account to view Back Office details, Research Reports, etc., through PLCM website [www.PLCMclients.com](http://www.PLCMclients.com). Client authorizes PLCM to allot User ID & Password and communicate the Password to client's registered e-mail Id.
- 17.3. Client undertakes to inform any change in my E-mail ID through duly signed Modification Form or any other mode permitted by PLCM from time to time. Till change of email ID is informed to PLCM, e-contracts, etc shall be sent to existing email ID of Client.
- 17.4. Client acknowledge that the Client registration documents will be available on PLCM website [PLCMclients.com](http://PLCMclients.com) and ECN will be available on the said site for a period of at least 120 calendar days from the date of trade. The Client can login in to his account and view/save/print the ECN. Should the Client experience any difficulty in opening the ECN, PLCM may, on advice by the Client, make the Contract Note available by any other means (e-mail, electronic mail attachment, or in the form of an available download from the back office web site or by delivery of a hard copy). Client's failure to advise PLCM of such a difficulty shall amount to valid delivery and viewing of the document by the Client.
- 17.5. Client agree and understand that SMART login facilitates to view and verify Client's trade details, financial details, margin details and security details with PLCM's records from time to time. Client agrees to inform any discrepancies immediately on notice thereof. Client authorizes PLCM to reverse the excess credit of shares in client's BO Account with PLCM and / or excess credit from my ledger account with PLCM. Client agrees and undertakes to immediately return excess funds / Securities received from PLCM. Client undertakes to keep login ID /password confidential and be solely responsible for unauthorized use thereof.

**18. Electronic Transmission of other Documents:** The Client who have opted for ECN agrees that PLCM may transmit to the Client any statements, documents or intimation including, but not limited to, Margin Statement, Statements of Funds and Securities, margin and maintenance calls & other notices/communications in electronic mode either at the email ID designated for delivery of ECN or to the mobile number of the Client or both and, in case of non receipt of bounced mail/non delivery of SMS notification, PLCM shall be deemed to have fulfilled his obligation to deliver to the Client such documents. Discrepancies if any in documents should be brought to the notice of PLCM within seven working days from issuance failing which the documents shall be deemed to be true and correct record of transactions stated therein & shall be binding on the client.

**19. Electronic Payment Gateway for Net Banking Services:** PLCM may provide on its internet trading website, without additional cost to the Client, access to Electronic Payment Gateways provided by various banks for facilitating transfer of funds from Client's bank account to the account of the Client with PLCM. Client understands that PLCM is only providing access to the electronic fund transfer facility provided by the banker of the Client through PLCM's website by means of an interface and is not liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous elements, frauds, and/or any incidental or consequential claims arising thereout. Client undertakes not to make PLCM a party to any litigation, claim, dispute, difference or complaint that the Client may initiate in respect of, arising out of or in connection with any transactions on the Gateway and agrees that PLCM's liability shall at all time be limited to the amount actually received in its account by electronic transfer from Client's account with the Bank.

**20. Pay-out of funds:** Client agrees and understands that PLCM would be free to decide the mode of fund pay-out, viz., either as direct credit to client bank account by way of NEFT/RTGS/Fund Transfer or by way of Account Payee Cheque in favor of client as per cheque print name registered with PLCM. Client agrees that if any funds are moved by PLCM to client bank account that are not due to client for any reasons including but not limited to an error or fraud, client undertake to immediately return the funds to PLCM. Client shall be solely liable for any losses and/or delayed credit arising out of any mistake by client in quoting Bank account number and client name, bank name, branch name & IFSC code or updating PLCM for any changes therein.



**21. Internet / Wireless Technology based Trading facility:**

- 21.1. PLCM offers Internet and mobile Trading facility for transaction in securities on the concerned Exchanges (hereinafter referred to as “the Internet/wireless Trading system”) through Exchange approved software. The Client can route its orders to PLCM over the internet/mobile/laptop with data card or any other devices which use internet protocol for purchasing, selling and dealing in securities. The Client may avail of such Trading facility provided by PLCM by complying with the formalities prescribed thereof.
- 21.2. Non-usage of Internet/Wireless Trading Facility: If the Client does not use the Internet/Wireless Trading Facility for a continuous period of 3 months or such other period as PLCM may notify, the facility may be deactivated without notice and the Client shall comply with the prescribed formalities for reactivating the facility. Trades can, however, be executed at all time by placing orders off-line with the concerned branch of PLCM.
- 21.3. The client understands and agrees that PLCM has different product of the Internet Trading /Wireless Trading software which have been approved by the Exchanges and the client shall be allotted such product as may be chosen by him. The client also understands and agrees that depending on the trading activity of the client, PLCM shall have the exclusive right and liberties to change the product version allotted to the client and allot a different product version of the Internet Trading/Wireless Trading facility.
- 21.4. Orders of Client subject to review by PLCM: The Client agrees that the PLCM may, on being suspicious of any of the transactions, review any order placed by a Client, which may cause delays in the processing of the Client’s order or may result in rejection of such order.”

**22. Extra Ordinary Events and termination/suspension of trading facility:** PLCM will not be liable for losses caused directly or indirectly by government restriction, Exchange rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, lack of connectivity, congestion or disruption of communication network or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond PLCM’s control resulting in non-execution, partial or incomplete execution of orders and the resulting financial loss, if any PLCM may at any time terminate, discontinue or temporarily suspend trading facility provided to the Client in the event of any such extraordinary event occurring without giving prior notice to the Client.

**23. Amendments to the terms and conditions:** PLCM reserves the right to amend the terms and conditions herein contained by adding, deleting, modifying or varying the provisions thereof by giving 15 days notice to the Client. In the event where the client has not objected to revised terms and conditions within 15 days of receiving the notification, the same shall be binding on the client.

Yours faithfully,

 F04

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

**DEALING IN COMMODITY FUTURES****Do's**

- Familiarize yourself with all the provisions of Forward Contracts (Regulations) Act, 1952 dealing with futures trading in commodities and amendments thereof from time to time.
- Understand the provisions and rates relating to the sales tax, value added tax, APMC Tax, Mandi Cess and Tax, octroi, excise duty, stamp duty, etc., as applicable on the underlying commodity of any contracts offered for trading by MCX.
- Read, understand and be updated about the guidelines and circulars of the Exchange and of SEBI issued from time to time and kept on the respective websites.
- Read the commodity contracts circulars issued & kept on MCX website and carefully note the contract specifications of the commodity in which you wish to trade. The contract specifications are subject to change from time to time.
- Before entering into buy and sell transactions please be aware of all the factors that go into the mechanism of pricing, trading, clearing and settlement.
- Read the product note of the commodity in which you wish to deal to understand the commodity and parameters that impact on the trading and settlement of the commodity.
- Understand the Delivery & Settlement Procedures given in the Exchange Circular of the commodity kept on the Exchange website that you wish to deal in the futures market.
- Study historical and seasonal price movements of the commodity that you wish to deal in the futures market.
- Keep track of Governments' Policy announcements from time to time of the commodity that you wish to deal in the futures market.
- Apply your own prudent judgment for investments in commodity futures and take informed decisions.
- Comply with Taxation and other Central Government/State Governments regulatory issues.
- Go through all Rules, Bye Laws, Regulations, Circulars and directives issued by MCX.
- Since futures trading attract various types of margins, be aware of the risks associated with your positions in the market and margin calls made from time to time.
- Collect/Pay Mark-to-Market margins Cheque on your futures positions on a daily basis from/to your Member.
- Be aware of your risk taking ability and fix stop-loss limits. Liquidate your positions at such levels to reduce further losses, if any.
- In case of any doubt/problems, contact Exchange's Help Desk or email at customersupport@mcxindia.com
- Do contact our CR team at 022-66322385 for any trade related queries and contact at grievancecmdt@plindia.com for your grievance for services, if any.
- Do insist on getting Client Code and ensure all your trades are done under the said Client Code.
- Do cross check the genuineness of trades carried out at MCX through the trade verification facility available on MCX website.
- The trades can be verified online at <http://www.mcxindia.com/SitePages/TradeVerification.aspx> where trade information is available up to 5 working days from the trade date.

**Don'ts**

- Do not fall prey to market rumours.
- Do not go by any explicit/ implicit promise made by analysts/ advisors/ experts/ market intermediary until convinced.
- Do not take trading decisions based on reports/ predictions made in various print and electronic mediums without proper evaluation.
- Do not deal based on Bull/Bear run of commodity markets sentiments.
- Do not trade on any product without knowing the risks associated with it.

- Do not execute Cash / Suspicious / Benami transactions failing which the Member will be compelled to report such transactions to Director FIU-IND, New Delhi under the provisions of Prevention of Money Laundering Act.
- Do not authorise any other person including the Member's employees/Authorised Person to place order on your behalf.
- However, if authority to place order on your behalf is given to a third person, then please ensure to check contract notes, financial details and other documents sent to you, as loss, if any, for trades executed on your behalf by a third person will have to be fully borne by you only.

#### **RIGHTS OF A CLIENT**

- You are entitled to receive funds towards your pay out within 48 hours. In case of any disputes with the Member regarding the trades done on the Exchange platform and/ or pertaining to non-receipt of payments due from the Member, the Client could contact the Exchange for suitable redressal as per Bye laws of the Exchange including use of mediation/ Arbitration mechanisms of the Exchange. The Clients would be required to product copies of the agreements (KYC, Member-Client Agreement & Risk Disclosure Agreement, etc.) entered into by them with their Member and copies of the contract notes, bills, proof of payment(s)/ deliveries made to the member pertaining to the period of dispute and statement of accounts duly issued by the Member etc., for obtaining relief through the process of Arbitration. Hence, Clients are advised to obtain copies of these from Member(s) and keep such copies with them. Further, all copies of all correspondence to and from Member(s) may be preserved for producing them to the Arbitrators, if required.
- All rights as per the Rules, Bye Laws and Regulations of the Exchange are available to a Client in respect of all transactions traded on the Exchange and for which the Clients have a contract note duly issued by the Member.
- In case of any disputes in respect of the trades on the Exchange or in the contract notes/ monthly statements or any complaint against the Member, take up the issue with Member directly. In case of non-resolution / grievances, file written complaint against the Member with the Exchange within 6 months from the date of the cause of action. The Client Complaint Form is available on the MCX official website in the following link -[http://www.mcxindia.com/investorrelations/Grievances/client\\_ccf.htm](http://www.mcxindia.com/investorrelations/Grievances/client_ccf.htm)

**Yours faithfully,**

 **F05**

*Note: To be signed by Client only and not by his Power of Attorney Holder*

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

Date: \_\_\_ / \_\_\_ / 201\_\_

**VOLUNTARY**

PL Commodity Markets Pvt. Ltd.  
3rd Floor, Sadhana House,  
570, P. B. Marg, Worli,  
Mumbai – 400018

**Sub: Authorization for maintaining Running Account**

Dear Sir(s),

I am a registered client with you and dealing in Commodity Market at MCX having client code as mentioned below.

I am aware that payout / dividend received / credited from the exchange(s) against settlement of transaction as per settlement cycle is available within 1 working day of the payout from the Exchange. It is difficult for me to make available the required funds on every pay-in of funds obligation / margin obligation, hence I request you to maintain my account on a running basis and retain the payout received / credit balance in my account for my future obligation / margin obligation or other liabilities unless I instruct otherwise.

If payment of funds is required, I shall request you in writing or through the web option for funds withdrawal on the web login. Further it may be noted that if required I may revoke this authorization at any time after giving request in writing.

This running account authorisation would continue until it is revoked by me. The actual settlement of funds shall be done at least once in the preference period selected below:

Once in a calendar Quarter                      OR                       Once in a calendar month

While settling the account having outstanding obligations on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.

I authorize you to retain an amount upto Rs. 10,000/- or such other amount as may be prescribed by MCX / SEBI from time to time to address the administrative / operational difficulties at your end in periodic settlement of my account.

I shall bring any dispute arising from the statement of account or settlement so made to your notice within 7 working days from the date of receipt of funds or statement, as the case may be. In case of non receipt of any such communication the statement / settlement of running account shall be considered as final as agreed and accepted by me.

**Yours faithfully,**

 **F06**

Note: To be signed by Client only and not by his Power of Attorney Holder-  
Client Code: \_\_\_\_\_

Date: \_\_\_ / \_\_\_ / 201\_\_

**VOLUNTARY**

PL Commodity Markets Pvt. Ltd.  
3rd Floor, Sadhana House,  
570, P. B. Marg, Worli,  
Mumbai – 400018

**Sub: Undertaking to keep my/our open positions of commodity forward contracts/  
commodity derivatives at MCX within prescribed limits**

**Dear Sir(s),**

I, the undersigned, have taken the cognizance of circular no. MCX/338/2006 dated August 21, 2006, issued by the MCX on the guidelines for calculation of net open positions permitted in any commodity and I hereby undertake to comply with the same. I hereby declare & undertake that I will not exceed the position limits prescribed from time to time by MCX or SEBI and such position limits will be calculated in accordance with the contents of above stated circular of MCX as modified from time to time.

I undertake to inform you and keep you informed if I or any of my partner/director/karta/trustee or any of the partnership firm/company/HUF/Trust in which I or any of the above such persons is a partner/director/karta/trustee, takes or holds any position in any commodity forward contract/commodity derivative on MCX through you or through any other member(s) of MCX, to enable you to restrict my position limit as prescribed by the above referred circular of MCX as modified from time to time.

I confirm that you have agreed to enter orders in Commodity forward contracts/commodity derivatives for me as your client on MCX only on the basis of my above assurances and undertaking.

I authorize you to liquidate my open positions if I violate prescribed limits for net open position as prescribed by MCX/SEBI from time to time.

I further undertake to bear any liability /penalty/charges levied by MCX/SEBI for non-compliance of the aforesaid circular of MCX as modified from time to time.

the statement / settlement of running account shall be considered as final as agreed and accepted by me.

**Yours faithfully,**

 **F07**

Note: To be signed by Client only and not by his Power of Attorney Holder-  
Client Code: \_\_\_\_\_

Date: \_\_\_ / \_\_\_ / 201\_\_

**VOLUNTARY**

PL Commodity Markets Pvt. Ltd.  
3rd Floor, Sadhana House,  
570, P. B. Marg, Worli,  
Mumbai – 400018

**Sub: Margin Deposit Letter**

**Dear Sir/s,**

A per SEBI/MCX requirements and as per the Member Client Agreement entered into by me for trading in Commodities at MCX, I am required to maintain with you margin towards my Initial Margin and other margin obligations of MCX.

Accordingly I shall transfer securities or such other approved instruments from my account to your account towards margin for dealing in commodities at MCX. I may also inform & understand that-

1. Any addition, substitution and/or replacement made by me from time to time will be treated by you as margin for dealing in commodities and this letter will also be applicable to addition, substitution and/or replacement made by me.
2. You will arrange to transfer to me all benefits accrued on the securities or such other approved instruments from time to time if my obligations for dealing in commodities at MCX or otherwise are fulfilled
3. You are authorised to dispose the securities or such other approved instruments and/or benefits thereon, if I do not fulfill my obligations for dealing in commodities at MCX or otherwise.
4. I warrant that, save to the extent of the rights hereby conferred on PL Commodity Markets Pvt. Ltd., I am the sole, absolute and beneficial owner of the security / such other approved instruments and the securities or such other approved instruments are free from mortgage, pledge, charge (whether fixed or floating), lien or any other form of encumbrance.
5. I/You are also authorised to pledge the said securities or such other approved instruments with approved authority for the purpose of availing exposure
6. I shall provide details to PL Commodity Markets Pvt. Ltd., as per the prescribed format duly signed by me at the time of placing the securities or such other approved instruments towards margin with PL Commodity Markets Pvt. Ltd.
7. In the event of my non furnishing of details as per the prescribed format, the transferred securities or such other approved instruments may not get accounted by PL Commodity Markets Pvt. Ltd., on my behalf and the securities or such other approved instruments may lie in the Suspense Account till my submission of details as stated in (6) above.
8. In case I intend to withdraw any securities or such other approved instruments placed with PL Commodity Markets Pvt. Ltd., but not utilized for margin, on any day, a request shall be sent so as to reach PL Commodity Markets Pvt. Ltd. latest by 2:00 p.m. on that day. PL Commodity Markets Pvt. Ltd. shall release such securities or such other approved instruments within 48 hours of receipt of such withdrawal request

**Yours faithfully,**

 **F08**

Note: To be signed by Client only and not by his Power of Attorney Holder-  
Client Code: \_\_\_\_\_

Date: \_\_\_ / \_\_\_ / 201\_\_

**VOLUNTARY**

PL Commodity Markets Pvt. Ltd.  
3rd Floor, Sadhana House,  
570, P. B. Marg, Worli,  
Mumbai – 400018

**Sub: Auto Square-off Letter**

**Dear Sir/s,**

I request you to grant me higher trade limit for executing intra-day trades.

I agree and undertake to square-off my open trades on the same day on or before 11.00 p.m. or such other time as may be informed to me through email or otherwise. In the event of my failure to square off all outstanding intraday trades by 11.00 p.m. or such other time as may be intimated to me from time to time, you are authorized to cancel all pending intraday orders and to square-off my open position on the same day at your discretion at market rate. If due to unavoidable situation, if my trade(s) is not squared-off, then I authorize you to square up the same on subsequent trading session at the Best Market Rate at your discretion.

Notwithstanding the above, I agree that if the mark to market losses on my intraday positions reaches the specified percentage of margin deposit, as may be intimated from time to time, the entire outstanding intraday positions of my future contracts may be closed /squared up by you on occurrence of such event.

If due to power failure, connectivity failure, circuit breakers, lack of market depth or any other reason, my open trade is not square-off on the same day, you may square-off the same on the subsequent trading session.

I agree that in all the above instances the resulting loss, if any, shall be fully borne by me.

**Yours faithfully,**

 **F09**

Note: To be signed by Client only and not by his Power of Attorney Holder-  
Client Code: \_\_\_\_\_

Date: \_\_\_ / \_\_\_ / 201\_\_

**VOLUNTARY**

PL Commodity Markets Pvt. Ltd.  
3rd Floor, Sadhana House,  
570, P. B. Marg, Worli,  
Mumbai – 400018

**Dear Sir,**

**Sub: Commodities Trading through Wireless Technology**

I am registered as your client with client code as stated below.

I have submitted the account opening form to you whereby the rights and obligations of member, Authorised person and client for executing trades in Commodity market. The aforesaid rights and obligations for trading through wireless technology have been read and understood by me.

I am interested in carrying out commodities trading through use of wireless technology which shall include devices such as mobile phone, laptop with data card etc using internet Protocol (IP).

I am aware that the member shall comply with all requirements applicable to internet based trading, Commodities trading using wireless technology as may be specified by SEBI and Exchanges from time to time.

I am fully aware of and understand the risk associated with availing of a service for routing orders over the commodities trading through wireless technology and I shall be fully liable and responsible for any and all acts done in the client username/password in any manner whatsoever.

I understand that your website www.plclients.com shall provide detailed information about trading done through the use of wireless technology. I understand that I will get the information by using Login ID/Password provided to me at the time of registration as your client.

I agree that the information sent by you on my E-mail ID/ Wireless Device would be deemed to be a valid delivery of such information by you. The aforesaid information regarding order and trade confirmation shall also be provided to me on the device used for Commodities trading through the use of wireless technology.

I am aware that authentication technologies and strict security measures are required for the commodities 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 Member.

In case the devices used by me for securities trading through wireless technology is lost, misplaced, stolen, etc. I shall inform the same to you within 24 hours from the occurrence of such event and request you to deactivate my Login Id and / or Password. I be solely liable to settle all transactions executed in my trading account using such device or otherwise.

I therefore request you to enable me for trading through use of wireless technology in Commodities.

**Yours faithfully,**

 **F10**

Note: To be signed by Client only and not by his Power of Attorney Holder

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

\* In case of Loss, misplacing of device due to any reason, Please inform to our Customer Connect Team at PL's Head office on 022-66322366, Email: customerconnect@plindia.com.



## ELECTRONIC CONTRACT NOTE [ECN] – DECLARATION

**VOLUNTARY**

PL Commodity Markets Pvt. Ltd.  
Member: Multi Commodity Exchange Of India Ltd.  
3rd floor, Sadhana House  
570, P. B. Marg, Worli,  
Mumbai - 400 018

Dear Sir,

I, \_\_\_\_\_ residing at


\_\_\_\_\_ and also a client with Member M/s PL Commodity Markets Pvt. Ltd. of Multi Commodity Exchange of India Limited undertake as follows:

- I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
- I am aware that the Member has to provide electronic contract note for my convenience on my request only.
- Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My Email ID is \_\_\_\_\_. This has been created by me and not by someone else.
- I am aware that this declaration form should be in English or in any other Indian language known to me.

Please reproduce the following lines in own handwriting of client in blank space given below:

The above declaration has been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.

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

Client Name & Address		Signature of Client	 <b>F11</b>									
Client's PAN No.		Unique Client Code										
Place		Date			/			/	2	0	1	

### For PL-Commodity Office Use:

Received Date		Processed by	
Processed Date		Signature Verified by	

## CONFIRMATION OF THE ARRANGEMENT WITH AUTHORIZED PERSON

**VOLUNTARY**

Date: \_\_\_ / \_\_\_ / 201\_\_

PL Commodity Markets Pvt. Ltd.  
Member: Multi Commodity Exchange of India Ltd.  
3rd floor, Sadhana House  
570, P. B. Marg, Worli,  
Mumbai - 400 018

Dear Sir,

I confirm that I have been introduced to PL Commodity Markets Private Limited (PL Com) by an Authorised Person (AP) (as mentioned below) appointed by PL Com pursuant to relevant Exchange (s) norms.


In this connection I am aware of the following:

1. The AP shall not receive or pay any money or securities in his/her/its own name or account. All receipts and payments of securities and funds shall be made only in the name or account of the PL Com;
2. The AP shall receive his/its remuneration-fees, charges, commission, salary etc for his/its services only from PL Com and he/she/it shall not charge any amount whatsoever from the clients;

In view of the foregoing, I acknowledge that the AP is not authorised by PL Com to enter into any private arrangement with any clients of PL Com including those introduced by him. I further agree and accept that I will not hold PL Com responsible for any loss, damage, other liability or consequence, direct or indirect, arising out of any error of commission or omission by the AP with regard to any dealings and or transactions based on or resulting out of any private agreements (if any), between me and the AP.

I further agree and accept that I will not hold PL Com responsible for any loss, damage, other liability or consequence, direct or indirect, arising out of my action in leaving such blank, partially filled up and/ or executed /signed documents with the AP.

**Yours faithfully,**

 <b>F12</b>
Client Code :

I hereby agree for the arrangement with the client
<b>Signature</b>
<b>AP Name</b>
<b>AP Code</b>

## ACKNOWLEDGEMENT

Date: \_\_\_ / \_\_\_ / 201\_\_

PL Commodity Markets Pvt. Ltd  
Member: Multi Commodity Exchange of India Ltd.  
3rd Floor, Sadhana House, 570,  
P. B. Marg, Worli, Mumbai – 400018

I hereby acknowledge that the following documents were made available to me:

1. Rights and Obligations of Members, Authorised persons and Clients (Commodities Trading).
2. Risk Disclosure Document for Commodities Market.
3. Guidance Note - Do's and Don'ts for Trading on Commodities Exchange(s) for Investors.

I understand that the Voluntary documents executed by me are out my own free will.

I hereby confirm that I have clearly understood and agree to abide by the Policies and Procedures described by PL Commodity Markets Private Limited (PLCMPL). I have read and understood the Terms and Conditions governing commodities trading and broking services of PLCMPL as mentioned in para 1 to 18 and agree to abide by the same. I also understand and agree that these Policies and Procedures as well as Terms and Conditions can be changed by PLCMPL from time to time with prior notice of 15 days through email.

I am aware that the login Id and password of my trading account will be sent on my Email ID & alerts on Mobile no. furnished in KYC form and any changes thereof

**Yours faithfully,**

 **F13**

Note: To be signed by Client only and not by his Power of Attorney Holder

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

Place:

Date: \_\_\_ / \_\_\_ / 201\_\_

**TO BE FILLED BY SB/AP/BRANCH OFFICIALS**

UCC Code allotted to the Client: .....

	Employee Name	Code	Designation	Date	Signature
Documents Verified with Originals By					
In-Person Verification Done By					
Client Interviewed By					
<b>TO BE FILLED BY PL-BRANCH OFFICE ONLY</b>					
Introducer					
RM					
Dealer					
BM Name & Signature					

I/We undertake that I/we have made the client aware of 'Policy and Procedures', Tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We will send him a copy of all the KYC documents through Email at his Email ID registered with PLCMPL within prescribed time limit. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents will be duly intimated to the Client. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on our PL website for the information of the Clients.

**Signed for and on behalf of  
For PL Commodity Markets Pvt. Ltd  
Signature of the Authorised Signatory**

Signature of Sub-broker or Authorised Person

Signed by: | \_\_\_\_\_ |

Signed by: | \_\_\_\_\_ |

Date: \_\_\_/\_\_\_/201\_\_\_

Date: \_\_\_/\_\_\_/201\_\_\_

**FOR HO OFFICE USE ONLY**

1. AOF Received on: \_\_\_\_\_ / \_\_\_\_\_ / 201\_\_\_
2. AOF Processed on: \_\_\_\_\_ / \_\_\_\_\_ / 201\_\_\_
3. KYC Fetched from KRA on: \_\_\_\_\_ / \_\_\_\_\_ / 201\_\_\_
4. KYC Status at KRA:  
 KYC Verified (New)     Incomplete Old KYC     KYC On Hold     KYC submitted     Not registered  
 Others \_\_\_\_\_

	<b>COMMODITY TRADING ACCOUNT</b>
Entered by / Date	
Verified by / Date	
Remarks (if any)	