

Client Registration

Non-Individual

TRADING-DEMAT-COMMODITY ACCOUNT



Client Name: _____ Application Sr. No.: _____

Client Code:

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BO. ID:

1	2	0	1	1	3	0	0								
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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

Sr. No.	Particulars	Registration No. & Date
1.	Stock Broker	SEBI: INZ000196637; November 3, 1994*
2.	Depository Participant	SEBI: IN-DP-439-2019; May 14, 1999*
3.	Mutual Fund Distributor	AMFI ARN No.29889

*the dates refer to the earliest registrations acquired and not to the current registration no. indicated herein.

Broking Membership Type

Exchange	Segment	Membership Type
National Stock Exchange of India Limited ('NSE')	Capital Market	Trading cum Self Clearing Member
	Futures & Options	Trading Member
	Currency Derivatives	Trading cum Clearing Member
BSE Limited ('BSE')	Capital Market	Self Clearing Member
	Futures & Options	Trading Member
	Currency Derivatives	Trading Member
Multi Commodity Exchange of India Limited ('MCX')	Commodity Derivatives	Trading cum Clearing Member

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: Mrs. Snehal Kathrani Phone No. (91) (22) 66322420 E-mail ID: snehal kathrani@plindia.com

Managing Director Name: Mrs. Amisha N. Vora 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) 66322450 (DP related)

In the event of an unsatisfactory response to your grievance, please contact the concerned exchanges on the details given below ;

Exchange/ Depository	Email	Telephone No.
NSE	ignse@nse.co.in	022 2659 8191
BSE	is@bseindia.com	022 2272 8016/8282
MCX	grievance@mcxindia.com	022 6731 8888
CDSL	complaints@cdslindia.com	1800-22-5533

CHECKLIST FOR FILLING NON-INDIVIDUAL FORM

GENERAL (applicable to all AOFs)

- ☐ Name on all proof documents should match with that given on AOF
- ☐ Copies of proof documents are self-attested, clear & legible
- ☐ Photos affixed should bear signatures across it
- ☐ Client's signature is put at all required places under relevant rubber stamp
- ☐ Signature is uniform through AOF/DDPI/POA & all proof documents
- ☐ Rubber Stamp is exactly as per name mentioned on AOF
- ☐ Documents of Individuals (Karta, partners, directors etc.) bear In-person Verification Stamps
- ☐ "Original seen & verified" stamp to be affixed by SB/AP/Branch officials on copies of all identity & address proof documents
- ☐ Proof of Financial Details is attached if client has opted for trading in F&O
- ☐ Cancellation / overwriting are authenticated by full sign
- ☐ E-mail ID, Mobile number, Gross Income and Net-worth details are provided mandatorily.
- ☐ Tariff Sheet is duly filled & signed by the client
- ☐ PMLA Categorisation Form duly filled & signed by SB/AP/Branch official
- ☐ PL Branch AOFs – Details of Introducer/Dealer/RM is provided
- ☐ DP Client Master is entered in PLClients

CORPORATE ACCOUNT (DOMESTIC & FOREIGN BODY CORPORATE)

- ☐ Non Individual KRA-KYC Form in name of Corporate
 - ☐ 21 digit CIN (Corporate Identification Number) on KYC Form
 - ☐ Details & photos of Directors, Individual promoters and Ultimate Individual Beneficial Owner (UIBO) * on KRA-KYC Annexure
 - ☐ KRA-KYC Annexure signed at the bottom left-side of the page
 - ☐ Pan Card of Corporate Investor
 - ☐ Proof of Correspondence & Registered Office address
 - ☐ Certified copies of MOA, AOA & Incorporation Certificate (bearing Registrar's Sign & stamp)
 - ☐ PAN Card and Address Proof of (a) Whole-time or two Directors (b) Individual promoters and (c) UIBO
 - ☐ List of Directors certified by Chairman / Managing Director / Company Secretary
 - ☐ Certified True Copy of Board Resolution (on company's letterhead) mentioning manner of operation by signatories
 - ☐ Specimen Signature with photograph of Authorised Signatory (on company's letterhead)
 - ☐ Copies of Balance Sheets for last 2 financial years
 - ☐ Copy of latest shareholding pattern
 - ☐ Bank Statement/Passbook + Original cancelled cheque in the name of Corporate Investor
 - ☐ Proof of Demat Account (if not opened with PL-DP)
 - ☐ Undertaking to submit copy of Balance Sheet of immediate previous financial year in case it is not finalized as on date of Account opening.
 - ☐ All Signatures on AOF & documents under Company's rubber stamp
- *- UIBO can be identified in the share-holding pattern of the company or its holding company. For more details on UIBO please refer our guidelines on Corporate account kept in plclients → Utility → Download Forms

HUF ACCOUNT

- ☐ Non Individual KRA-KYC Form in the name of HUF entity
- ☐ Karta's details & photos on Annexure of KRA- KYC Form
- ☐ Pan Card of HUF Entity and Karta
- ☐ Bank Statement/Passbook in the name of HUF
- ☐ Address Proof in the name of HUF and Karta
- ☐ Declaration by Karta giving details of Co-parceners
- ☐ Signature by Karta under HUF stamp at all places

- ☐ Signature of Co-parceners with their names at the bottom of DDPI/POA
- ☐ Proof of Demat Account (if not opened with PL-DP)

PARTNERSHIP ACCOUNT

- ☐ Non-Individual KRA-KYC Form & Trading AOF in name of Firm
- ☐ Partner's details & photos on Annexure of Non-Individual KRA- KYC Form
- ☐ PAN Card & Address proof of Partnership Firm and all partners
- ☐ Bank Statement/Passbook + Original cancelled cheque in the name of Firm
- ☐ Copy of Partnership Deed
- ☐ Registration Certificate for registered Firm
- ☐ Consent Letter signed by all partners for opening Trading / Demat account with names & specimen signatures of partners authorised to operate the Trading account (on firm's letterhead)
- ☐ Copy of Balance Sheet for last 2 years
- ☐ Proof of Demat Account (if not opened with PL-DP)
- ☐ Undertaking to submit copy of Balance Sheet of immediate previous financial year in case it is not finalised as on date of Account opening.

Instructions/ Guidelines for filling Non-individual KYC Application Form	
A. General Instructions	
<ol style="list-style-type: none"> 1. Self-attestation of documents is mandatory. 2. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per below list mentioned list. 3. If any proof of identity or address is in a foreign language, then translation into English is required. 4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted. 5. If correspondence & permanent addresses are different, then proofs for both have to be submitted. 6. Sole proprietor must make the application in his individual name & capacity. 7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/ PIOCard/ OCI Card and overseas address proof is mandatory. 8. For foreign entities, CIN is optional; and in absence of DIN no. for the directors, their passport copy should be given. 9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted. 10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/ Passport of Minor/Birth Certificate must be provided. 11. Politically exposed persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country e.g., Head of State or of Government, senior politician, senior government/ judiciary/military officer, senior executive of state-owned corporation, important political party official, etc. 	
B. Proof of Identity (Pol)	
<ol style="list-style-type: none"> 1. PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D). 2. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card 3. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished. 4. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked. 5. Others – Identity card with applicant's photograph issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members;and Credit cards/Debit cards issued by Banks 	
C. Proof of Address (PoA)	
<ol style="list-style-type: none"> 1. PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force. 2. Others includes – Utility bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India 3. Identity card with applicant's photograph and address issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their members. 4. Self-declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts. 5. Proof of address in name of spouse may be accepted. 6. Registered lease or Sale agreement/ Flat maintenance bill / Insurance copy / Ration card / Latest Property tax 7. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card. 	

D. Exemptions/Clarifications to PAN (*Sufficient documentary evidence in support of such claims to be collected)
<ol style="list-style-type: none"> Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc. Investors residing in the state of Sikkim. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India. In case of institutional clients, namely FIIs, MFs, VCFs, FVCIs, Scheduled commercial bank, Multilateral and Bi-lateral development financial institutions, State Industrial development corporations, insurance companies registered with IRDA and public financial institutions as defined under section 4A of the Company Act 1956, custodians shall verify the PAN card details with the original PANs and provide duly certified copies of such verified PAN details to the intermediary.
E. List of people authorized to attest the documents:
<ol style="list-style-type: none"> Authorized officials of Asset Management Companies (AMCs). Authorized officials of Registrar & Transfer Agent (RTA) acting on behalf of the AMC. KYC compliant mutual fund distributors affiliated to Association of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD)'. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy). In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/ Consulate General in the country where the client resides are permitted to attest the documents.
F. Online Mode Processing of KYC
<ol style="list-style-type: none"> ONLINE KYC <ul style="list-style-type: none"> Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal. The documents should be digitally signed using DSC. Intermediary attestation on documents (OSV) is exempted.

Type of Entity	Additional Documents Required over and above PAN, POI and POA
Corporate	<ul style="list-style-type: none"> • Copy of Balance Sheet for the last to financial years (to be submitted every year). • Copy of latest share-holding pattern including the list of all those holding control, either directly or indirectly , in the company in terms of SEBI takeover regulations, duly certified by the company secretary/ whole time director/ MD (to be submitter every year). • Photograph, POI, POA, PAN and DIN number of the whole time Director/ 2 directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control—either directly or indirectly. • Copy of Memorandum and Articles of Association and Certificate of Incorporation. • Copy of Board Resolution for Investment in security markets. • Authorized signatories list with specimen signatures. • Shareholding pattern.
Partnership Firm	<ul style="list-style-type: none"> • Copy of Balance Sheet for the last to financial years (to be submitted every year). • Certificate of Registration (for registered partnership firms only). • Copy of Partnership Deed. • Authorized signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners. • Shareholding pattern.
Trust	<ul style="list-style-type: none"> • Copy of Balance Sheet for the last to financial years (to be submitted every year). • Certificate of Registration (for registered Trusts only). • Copy of Trust Deed. • List of Trustees certified by Managing Trustees/ CA • Photograph, POI, POA, PAN of Trutees.
HUF	<ul style="list-style-type: none"> • PAN of HUF. • Deed of Declaration of HUF or List of Co-Parceners. • Bank Passbook / Bank statement in the name of HUF. • Photograph, POI, POA, PAN of KARTA.
Banks/Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years • Authorized signatories list with specimen signatures.
Unincorporated Association or a Body of Individuals	<ul style="list-style-type: none"> • Proof of existence or Constitution document. • Resolution of Managing Body and power of Attorney granted to transact business on its behalf.
Army/Government Bodies	<ul style="list-style-type: none"> • Copy of Constitution/Registration or Annual report/Balance Sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Army/Government Bodies	<ul style="list-style-type: none"> • Self certification on letterhead. • Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Society Registration Act. • List of managing committee members. • Committee Resolution for persons authorized to act as authorised signatories with specimen signatures. • True copy of society rules and by-laws certified by Chairman/Secretary.
FPI Category I	<ul style="list-style-type: none"> • FPI Certificate • Constitution Documents • Copy of Board Resolution (optional) • Shareholding pattern and Ultimate Beneficiary Owners List (UBO) • Authorized signatories list with specimen signatures.
FPI Category II	<ul style="list-style-type: none"> • FPI Certificate • Constitution Documents • Copy of Board Resolution • Shareholding pattern and Ultimate Beneficiary Owners List (UBO) with UBO proof of identity • Authorized signatories list with specimen signatures.

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Know Your Client (KYC)**Application Form (For Non-individuals Only)**

- please fill form in English & in BLOCK letters
- fields marked * are mandatory
- fields marked * are pertaining to CKYC & mandatory only if processing CKYC also

Application No. Application Type ☐ New KYC ☐ Modification KYC**1. Entity Details** (please refer guideline)PAN*

Please enclose a duly attested copy of your PAN card

Name (same as ID Proof) Incorporation Date* – – Commencement Date* – – Incorporation Place* Registration Number*

Entity Type* (please tick v) ☐ Private Ltd. Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership
☐ Trust/Charity/NGO ☐ HUF ☐ FPI Category I ☐ FPI Category II
☐ AOP ☐ Bank ☐ Government Body ☐ Defense Establishment
☐ Body of Individuals ☐ Non-government Organisation
☐ Other _____ (Please specify)

2. Proof of Identity* (please refer guidelines)

- ☐ Official Valid Document(s) in respect of person authorized to transact
- ☐ Certificate of Incorporation/Formation
- ☐ Registration Certificate
- ☐ Memorandum of Association ☐ Partnership Deed ☐ Trust Deed ☐ Board Resolution
- ☐ Power of attorney granted to its manager, office, employees to transact on its behalf
- ☐ Activity Proof-1 (for Sole Proprietorship Only) ☐ Activity Proof-2 (for Sole Proprietorship Only)

3. Address Details* (please refer guidelines)**A. Registered Address***Line 1* Line 2 Line 3 City/ Town/ Village* District* State* Pin Code* Country* **B. Correspondence/Local Address in India (if different from above)***Line 1* Line 2 Line 3 City/ Town/ Village* District* State* Pin Code* Country* **(Applicant's Signature)**

Proof of Address* (attested copy of any one POA to be submitted - #Not more than 3 months old)		
<input type="checkbox"/> Certificate of Incorporation/Formation <input type="checkbox"/> Registration Certificate <input type="checkbox"/> Other document <u> (Please specify) </u>		
<input type="checkbox"/> Latest Telephone Bill# (Landline only) <input type="checkbox"/> Latest Electricity Bill# <input type="checkbox"/> Latest Bank Account Statement#		
<input type="checkbox"/> Registered Lease/Sale Agreement of Office Premises PoA validity/expiry (date) D D – M M – Y Y Y Y		
<input type="checkbox"/> Any other proof of address documents (as listed in guideline)		
4. Contact Details		
Email-ID 1 		
Mobile No. 		
Email-ID 2 		
Mobile No. 		
Tel. (Office) Fax 		
5. Annexure Submitted		
Number of Related Persons <input type="checkbox"/>		
6. Remarks/ Additional Information		
7. Applicant Declaration		
<p>I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/ We may be held liable for it.</p> <p>I/We hereby consent to receiving information from CVL KRA through SMS/ Email on the above registered number/Email address.</p> <p>Date DD – MM – YYYY</p> <p>Place _____</p>	Applicant Digital Signature (DSC)	Applicant Wet Signature
8. For Office Use Only		
KYC Carried Out by*	Intermediary Details*	
KYC Date D D – M M – Y Y Y Y Employee Name _____ Employee Code _____ Designation _____	<input type="checkbox"/> Self-certified documents received (originals verified) <input type="checkbox"/> True Copies of documents received (attested) Intermediary Name: Prabhudas Lilladher Private Limited	
(Employee Signature & Stamp)	(Intermediary Signature & Stamp)	

Know Your Client (KYC)**Application Form (For Non-individuals Only)**

- please fill form in English & in BLOCK letters
- fields marked * are mandatory
- fields marked * are pertaining to CKYC & mandatory only if processing CKYC also

Application No. Application Type ☐ New KYC ☐ Modification KYC**1. Identity Details of Related Persons** (please refer guideline overleaf)PAN*

Please enclose a duly attested copy of your PAN CARD

Name (same as ID Proof) Maiden Name* (if any) Father/Spouse's Name* Date of Birth* Gender* ☐ Male ☐ Female ☐ TransgenderNationality* ☐ Indian ☐ Other (Please specify) **Related Person Type***☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner☐ Beneficiary ☐ Authorized Signatory ☐ Beneficial Owner☐ Power of Attorney Holder ☐ Court Appointed Official Proprietor ☐ Other (Please specify) DIN (Mandatory if related person is a Director)(Recent passport
size photo)**Proof of Identity (POI) submitted for PAN exempted cases** (please tick)☐ A-Aadhar No. (please enter last 8 digits of Aadhar)☐ B-Passport No. Expiry Date : ☐ C-Voter-id Card Expiry Date : ☐ D-Driving License ☐ E-NREGA Job Card ☐ F-NPR ☐ Z-Others Identification No. **2. Address Details*** (please refer guidelines overleaf)**A. Correspondence/ Local Address**Line 1* Line 2 Line 3 City/ Town/ Village* District* State* Pin Code* Country* Address Type* ☐ Residential ☐ Business ☐ Residence/Business ☐ Regd. Office☐ Unspecified

(Applicant's Signature)

B. Permanent residence address of applicant, if different from above A/ Overseas Address* (Mandatory for NRI Applicant)

Line 1*

Line 2

Line 3

City/ Town/ Village* District*

State* Pin Code*

Country*

Address Type* ☐ Residential ☐ Business ☐ Residence/Business ☐ Regd. Office
☐ Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence & permanent address each to be submitted)

☐ A-Aadhar No. (please enter last 8 digits of Aadhar)

☐ B-Passport No. Expiry Date : - -

☐ C-Voter-id Card Expiry Date : - -

☐ D-Driving License

☐ E-NREGA Job Card

☐ F-NPR

☐ Z-Others Identification No.

C. Contact Details (IN CAPITAL)

Email*

Mobile No* Tel. Res.

Tel. Off.

D. Applicant Declaration

<p>I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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,</p> <p>I am/We are aware that I/We may be held liable for it. I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address. I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details.</p> <p>I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and Other Intermediaries with whom I have a business relationship for KYC purposes only.</p> <p>Date : <input type="text"/> - <input type="text"/> - <input type="text"/></p> <p>Place : _____</p>	<p>Applicant E-Sign</p>	<p>Applicant Wet Signature</p>
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E. For Office Use Only

In-Person Verification (IPV) carried out by*	Intermediary Details*
<p>IPV Date <input type="text"/> - <input type="text"/> - <input type="text"/></p> <p>Emp. Name _____</p> <p>Emp. Code _____</p> <p>Emp. Designation _____</p>	<p><input type="checkbox"/> Self-certified document copies received (OVD)</p> <p><input type="checkbox"/> True copies of documents received (Attested)</p> <p>Intermediary Name: Prabhudas Lilladher Private Limited</p>
<p>Employee Signature & Stamp</p>	<p>Institution Name & Stamp</p>

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

TRADING AND DEMAT ACCOUNT RELATED DETAILS (to be filled by PL-HO)															
TRADING ACCOUNT CODE															
DEMAT ACCOUNT ID	1	2	0	1	1	3	0	0	0						

ACCOUNT HOLDER DETAILS															
We request you to open account in our name 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							

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"/> CAMS <input type="checkbox"/> KARVY <input type="checkbox"/> Not Registered	<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	<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	<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"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25 Lac-1 Crore <input type="checkbox"/> Abv 1 Cr	<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"/> 25 Lac-1 Crore <input type="checkbox"/> Abv 1 Cr	<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"/> 25 Lac-1 Crore <input type="checkbox"/> Abv 1 Cr
Net-worth * (not older than 1 year)	Rs. _____ as on ____ / ____ /202__	Rs. _____ as on ____ / ____ /202__	Rs. _____ as on ____ / ____ /202__
Nature of Business			
Registered in *	<input type="checkbox"/> India <input type="checkbox"/> _____	<input type="checkbox"/> India <input type="checkbox"/> _____	<input type="checkbox"/> India <input type="checkbox"/> _____
SEBI Registration No & Date (applicable to CM/FIs/FIIS/OCBs)			
RBI Registration No & Date (applicable to Banks/NBFCs)			
Clearing Member Details (to be filled if 1st applicant is a Clearing Member)	Stock Exchange Name: CC/CH Name: CM ID: Trading Member ID:		
GST Registration details.			

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. *Mandatory fields

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			

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

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Exchanges	NSE & BSE					MCX
All Segments	Cash/Mutual Fund	F&O	Currency	Debt	SLB	Commodity Derivatives

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

*Client subscribing to commodity derivative segments should compulsorily select one of the below categories. (Please refer instruction checklist point no. 15, given on page no.5)

- ☐ Farmer
 ☐ Value Chain Participant
 ☐ Proprietary trader
☐ Domestic Financial Institutional
 ☐ Foreign Participant
 ☐ Others

B. ADDITIONAL DETAILS	
Mobile belongs to *	<input type="checkbox"/> Authorised Signatory <input type="checkbox"/> Director/Promoter <input type="checkbox"/> Karta of HUF <input type="checkbox"/> Partner <input type="checkbox"/> Trustee
	<input type="checkbox"/> Others (please specify) _____
E-mail ID belongs to *	<input type="checkbox"/> Authorised Signatory <input type="checkbox"/> Director/Promoter <input type="checkbox"/> Karta of HUF <input type="checkbox"/> Partner <input type="checkbox"/> Trustee
	<input type="checkbox"/> Others (please specify) _____
We 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. ____)	<input type="checkbox"/> Yes <input type="checkbox"/> No
Number of years of Investment / Trading Experience	_____ years
We 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/our 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)	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 / or its Promoters / Whole-time Directors / Partners / Karta / Trustees / Authorised Persons in charge of dealing in securities during last 3 years




- ☐ No action/proceedings against us/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	

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

B. OPTION FOR ISSUANCE OF DIS (tick any one of the option)
<input type="checkbox"/> I / We do not require Delivery Instruction Slip (DIS) booklet for the time being, since I / we have issued a Demat Debit & Pledge Instruction (DDPI) / Power of Attorney (POA) / registered for e-DIS / executed PMS agreement in favour of / with _____ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions]. However, the DIS booklet should be issued to me / us immediately on my / our request at any later date.
<input type="checkbox"/> I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening of my / our Demat account though I / we have issued a Demat Debit & Pledge Instruction (DDPI) / Power of Attorney (POA) / registered for e-DIS / executed PMS agreement in favour of / with _____ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions]

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. We declare that the particulars given by us above are true & to the best of our knowledge as on the date of making this application. We agree and undertake to intimate the DP/Member any changes in the details / particulars mentioned by us in this form. We further agree that any false/misleading information given by us or suppression of any material information will render our account liable for termination and suitable action. 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	Second Holder	Third holder
Name			
Signature	 F14	 S1	 T1

Note: To be signed by Authorised Signatory/ies under Rubber Stamp and not by Power of Attorney Holder

TARIFF SHEET
RELATED TO TRADING & DEMAT ACCOUNT

MANDATORY

BROKERAGE:

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

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				
Currency Option				
Commodity Option				
Others				

OTHER CHARGES:

- Account Opening Charges plus applicable tax if any
- In addition to brokerage, statutory charges like GST, 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.
- 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.
- Delayed payment charges @1.5% per month or such other rate applicable and intimated to the client, shall be borne by client.
- 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)
- A charge of Rs. 25/- for issuing physical contract note, provided the client had opted to receive electronic contract note
- 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 DDPI/POA <input type="checkbox"/> Lifetime No AMC	<input type="checkbox"/> Standard No DDPI/POA <input type="checkbox"/> Economy	<input type="checkbox"/> Supersaver <input type="checkbox"/> Gold
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(CDSL Actual AMC charges shall be applicable every year)

(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	Second Holder	Third holder
Name			
Signature	 F15	 S2	 T2

Note: To be signed by Authorised Signatory/ies and not by Power of Attorney Holder

Client Code		Date	d	d	m	m	2	0	2	y
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Name & Signature of Sub-broker / Authorised Person (alongwith rubber-stamp)	Entered in the system by: (Name & Signature)
--	--





For PL-HO Office use only:

	Name	Signature	Date
Verified by			

DEMAT DEBIT AND PLEDGE INSTRUCTION

UCC / Trading Code																	
BO ID	1	2	0	1	1	3	0	0	0								
First-holder's Name																	
Second-holder's Name																	
Third-holder's Name																	

I/We, the undersigned Beneficial Owner(s), do hereby appoint Prabhudas Lilladher Pvt. Ltd. (PLPL) to exercise the following powers and authorities on my behalf: -

Sr.	Purpose	Signature of Client
1	Transfer of securities held in my beneficial owner account towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by me on the Stock Exchange through you	
2	Pledging / re-pledging of securities in your favor for the purpose of meeting my margin requirements in connection with the trades executed by me on the Stock Exchange.	
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	
4	Tendering shares in open offers through Stock Exchange platforms	

(a) Put full signature in each box separately (b) In case of demat a/c with joint holders, all holders must sign in the respective boxes (c) Non-Individual account holders to sign under entity rubber-stamp

In connection with the instructions PLPL may debit or transfer securities for the purpose of delivering the same to the clearing house of the respective Stock Exchange(s) directly or through PLPL's (Trading Member) Pool Account towards any segment in respect of securities sold by me/ us through PLPL. PLPL may from time to time open such other demat accounts in addition to the account numbers mentioned below in **Annexure A**, for the above purpose from time to time. In case of any change in the below account numbers, PLPL is authorized to transfer the securities to the new account number(s) with prior intimation to me/ us regarding such change(s).

ANNEXURE – A

1	1201130000000023	To meet client's BSE Delivery Obligation in Cash Segment
2	1201130000003915	To meet client's NSE Delivery Obligation in Cash Segment
3	1201130000230054	To meet client's BSE Delivery Obligation in SLB Segment
4	1201130000230035	To meet client's NSE Delivery Obligation in SLB Segment
5	1201130000961993	To be used as Client Securities Margin Funding Account (BSE)
6	1201130000962015	To be used as Client Securities Margin Funding Account (NSE)
7	1201130000962021	To be used as Clients Securities Margin Pledge Account
8	1201130000962000	To be used as Clients Securities Margin Pledge Account
9	IN30386810000203	To be used as Clients Securities Margin Pledge Account

This authorization shall be valid until I/we revoke the same by a written communication to your DP & Securities Division at Mumbai.

Execution Date: __ / __ / 202__

**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. 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 authorise 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	 F16	 S3	 T3

Place:

Date: __/__/202__

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, Commodity 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 authorizes 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 organizations 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. 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 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 therefore.
- 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 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, 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,

 **F17**

Client Code: _____

SECURITIES TRADING USING WIRELESS TECHNOLOGY

Date: ____ / ____ / 202____

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),

We are registered as your client with Client Code as stated above.

* have submitted the account opening form to you whereby the rights and obligations of stock brokers, sub-brokers and clients for executing trades at Equity segment/ Equity Derivative segment/Currency Derivatives segment/ Commodity Derivatives segment of National Stock Exchange of India Ltd. (NSE) / BSE Ltd. (BSE) and/or in Commodity Derivatives Segment at Multi Commodity Exchange of India Ltd. (MCX) are mentioned. The aforesaid rights and obligations for trading through wireless technology have been read and understood by me.

*We are 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).

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

We understand that your website www.plclients.com shall provide detailed information about securities trading done through the use of wireless technology. We understand that we will get the information by using Login Id/ Password provided to us by you at the time of registration as your client. We 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 Trading system, as the case may be.

We agree that the information sent by you on our 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 us on the device used for securities trading through the use of wireless technology.

We are 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 our Login Id and / or Password is not revealed to any third party. In case the device used by us for securities trading through wireless technology is lost, misplaced, stolen, etc. we shall inform the same to you within 24 hours from the occurrence of such event and request you to deactivate our Login Id and / or Password. We will be solely liable to settle all transactions executed in my trading account using such device or otherwise.

We therefore request you to enable us for carrying securities trading through use of wireless technology.

Yours faithfully,

 F18

Client Code: _____

****Note:** In case of loss, misplacing of device due to any reason, please inform the Customer Connect Team at PL's Head Office Phone no. 022-66322366, email: customerconnect@plindia.com

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

Sub: Authorization for maintaining Running Account

Dear Sir(s),

We are registered client with you and dealing in Capital Market/ Derivative Segment/ Currency Derivative Segment/ Commodity Derivative Segment having client code as mentioned below.

We are 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 us to make available the required funds on every pay-in of funds obligation / margin obligation, hence we request you to maintain our account on a running basis and retain the payout received / credit balance in our account for our future obligation / margin obligation or other liabilities unless we instruct otherwise.

If payment of funds is required, we 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 we may revoke this authorization at any time after giving request in writing.

This running account authorization would continue until it is revoked by us. 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 a sum in accordance with SEBI circular no. SEBI/HO/MIRSD/DOP/P/CIR/2021/577 dated June 16, 2021.

We 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 us.

Yours faithfully,

 **F19**

Client Code: _____

Date: ____ / ____ /202__

Date: ____ / ____ / 202____

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,

We are registered as your client with Client Code as mentioned below for the purpose of trading in the Capital Market Segment. We are 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, we state that Know Your Client details as submitted by us for the securities broking may be considered for this purpose and we further confirm that the details contained in same remain unchanged as on date. We are 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.

We 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).

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

We therefore request you to register us 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,

 F20

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

Date: ____ / ____ /202____

Prabhudas Lilladher Private Limited
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,

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.

Yours faithfully,

 **F21**

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

Client Code: _____

Date: ____ / ____ /202____

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

Sub: Auto Square-off Letter

Dear Sir,

I/We request you to grant me/us higher trade limit for executing intra-day trades at permitted Stock Exchange(s).

I/We agree and undertake to square-off my/our open intraday trades on the same day any time before 20 minutes of normal market close or such other time as may be informed to me/us through email or otherwise. In the event of my /our failure to square off all outstanding intraday trades by the predefined time or such other time as may be intimated to me/ us from time to time, you are authorized to cancel all pending intraday orders and to square-off my /our open intraday position on the same day at market rate at your discretion.

Notwithstanding the above, I/We agree that if the mark to market losses on my/our positions at Cash segment and/or Derivatives and/or Currency Derivatives and/or Commodity Derivatives and/or other segment(s) reaches the specified percentage of margin deposit, as may be intimated from time to time, the entire outstanding positions in such segment(s) 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/our open trade is not square-off on the same day, you may square-off the same on the subsequent trading session(s) at market rate at your discretion.

I/We agree that in all the above instances the resulting loss and/or penalties, if any, shall be fully borne by me/us.

Yours faithfully,

 **F22**

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

Client Code: _____

CONFIRMATION OF THE ARRANGEMENT WITH SUB-BROKER/AUTHORIZED PERSON

VOLUNTARY

Date: ____ / ____ /202__

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

We confirm that we 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 we are 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, we 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. We further agree and accept that we 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 us and the SB/AP.

We agree that all debit instruction slips and other documents in respect of our 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.

We further agree and accept that we 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,




 **F23**

Client Code: _____

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

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

[Mandatory for all Investors including Joint-holders of demat account]

	First / Sole Holder	Second Holder	Third Holder
Place & City of Incorporation			
Country of Incorporation			
Address for Tax purpose (include City, State, Country & Pin-code)			
Address Type	<input type="checkbox"/> Registered Office <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Residential/Business	<input type="checkbox"/> Registered Office <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Residential/Business	<input type="checkbox"/> Registered Office <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Residential/Business
FATCA COMPLIANCE CONFIRMATION INDICIA (Please tick appropriate boxes)			
Do your organisation / entity hold a mailing address / communication 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
Do you have a US telephone number?	<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 organisation have a US Beneficiary?	<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 any of your Director/Promoter /Authorised Signatory/DDPI/POA-holders holding 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
Does your organisation have one or more US Beneficial owners / Shareholders with more than 10% ownership on vote or value of stock?	<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 organisation have partners owning more than a 10% profit or capital interest in a partnership?	<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 any US "owner" of a grantor trust or, to the extent provided in regulations, more than 10% beneficial interest in a trust?	<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 organisation / entity 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
Are you a Tax Resident of any country/ies other than 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
<i>(If above answer is 'Yes', please provide below details of country/ies in which you are a resident for tax purposes (including US))</i>			
Country **			
Foreign Address **			
Tax Identification Number ** (If no TIN, kindly provide its functional equivalent)			
Identification Type **			
We have understood the information requirements of this Form (read along with the FATCA-CRS instructions) and hereby confirm that the information provided by us on this Form is true, correct & complete. We also confirm that we have read & understood the FATCA-CRS terms & conditions and hereby accept the same.			
Signature of Applicant	 F24	 S5	 T5

**** In case of being Tax resident in more than one country, please attach an annexure in same format separately, duly signed at the bottom by the applicant. Kindly provide self-attested copy of TIN document**

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

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




We hereby acknowledge that the following documents were made available to us:

- 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.

We understand that the Voluntary documents executed by us are out our free will.

We hereby confirm that we have clearly understood and agree to abide by the Policies and Procedures described by Prabhudas Lilladher Private Limited (PL). 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. 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.

We are aware that the Login ID and password of our trading account will be sent on our Email ID & alerts on Mobile no. furnished in KYC form and any changes thereof

	First / Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signature	 F25	 S6	 T6

Place:

Date: ____/____/202____

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					

We undertake that we have made the client aware of 'Policy and Procedures', Tariff sheet and all the non-mandatory documents. We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. We will send him a copy of all the KYC documents through Email at his Email ID registered with PL within prescribed time limit. 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. 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: ____ / ____ / 202 ____

Date: ____ / ____ / 202 ____

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)		

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Prabhudas
Lilladher

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